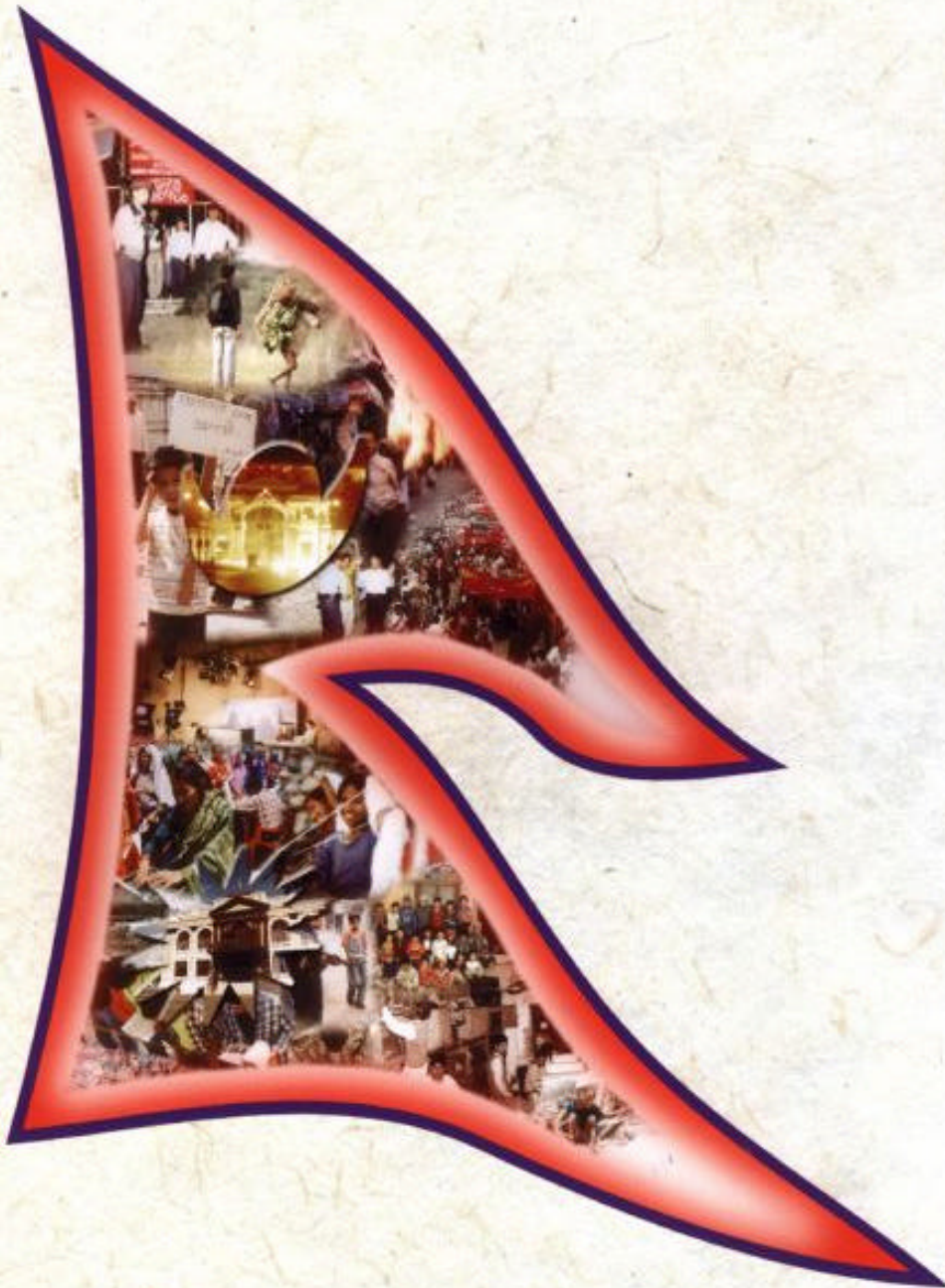


ENABLING STATE PROGRAMME



...towards 'pro-poor' governance in Nepal

ESP

FOURTH REPORT

31 January 2003 for OPR



ENABLING STATE PROGRAMME
 ...towards 'pro-poor' governance in Nepal

Report for 'Output-to-Purpose' Review

INTRODUCTION

This report and its ten annexes are based on the outcomes of the ESP Retreat held between 16 and 18 January 2003 at Nagarkot in preparation for the ESP 'output-to-purpose' review due to commence on 3 February 2003.

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Focus : (i) Current status of ESP
 (ii) Programme strategy, approach and management
 (iii) Issues listed under 'Scope of Work' identified in the ToRs for the OPR
 (iv) Outcomes of the September 2002 revised focus for ESP

The report contains the following sections:

1. Current status of ESP activities
2. Overview of original ESP concept and current position
3. ESP strategic focus, strengths and weaknesses
4. Linkages to the DFID Nepal programme
5. Disseminating understanding of pro-poor governance
6. Relationship with PMO
7. Exploratory activities and satellite projects
8. Using Nepalese consultants
9. Responding outside of the Kathmandu Valley
10. Internal management
11. Monitoring of ESP
12. Satellite project monitoring
13. Financial management arrangements
14. Possible new ways of working for ESP

1. ESP STATUS REPORT AS OF 31 JANUARY 2003

PROGRESS ON NEW STRATEGIC FOCUS SET FOR PERIOD TO FEB 03

A. MEDIA - *building a coalition of representative groups to develop a strategy and programme for strengthening the media*

ACTION: Media teams established under a lead media consultant to work on (i) institutional strengthening of central print media organisations (PCN, FNJ, and RSS), (ii) improving coverage of the conflict, (iii) giving voice to the poor through the media, and (iv) updating the regulatory framework. Preliminary project document has been submitted re output (i), and ESP has given feedback to assist preparation of second draft. Reports re outputs (ii), (iii) and (iv) due in February 03.

B. DALITS - *developing a consortium of Dalit support groups to build capacity to improve Dalit representation and participation in governance processes*

ACTION: Concept note for institutional strengthening project with a consortium of the six national dalit organisations approved by DFIDN. Project document has been completed and resides with DFIDN awaiting approval pending meeting due on 7 February.

C. INDIGENOUS GROUPS - *undertaking a situational analysis as a preliminary to longer term work*

ACTION: Research and project scoping is currently being undertaken by the Nepal Federation of Indigenous Peoples and Nationalities (NEFEN).

D. HMGN AND NGO COLLABORATION - *building on successful work undertaken with women groups and the Department of Women Development*

ACTION: Because of the recent changes in government, it has not been possible to do much in respect of this strategy. The situation will be reviewed during the OPR. Work with DWD is suspended because of the recently informed DFID policy position.

E. PUBLIC/PRIVATE AND CROSS-PARTY APPROACHES TO CONFLICT RESOLUTION - *encouraging and supporting initiatives in this area.*

ACTION: Following approval by DFIDN of a concept note on a National Peace Dialogue through Civil Society a series of rallies and workshops are being carried out around the country. A Peace Bulletin has also been published. This work is being led by Daman Nath Dhungana. Rethink on how to proceed now necessary because of ceasefire and planned peace talks.

F. POLICE REFORM – *launching the Police reform support project*

ACTION: Given DFIDN's reluctance to give the go-ahead for starting the Nepal Police Development Project (project document submitted in May 02 was originally approved and then put on hold), ESP is providing support to the Police Adviser in the preparation of a new assessment report due in February 03. DFIDN agreed the work of the adviser would be funded as an ESP exploratory activity.

STATUS OF ESP AS OF 31 JANUARY 2003

	COMPLETED PROJECTS	Agency	Status	Remarks
1	Governance (Public Administration) Bill Project <i>(mini-project)</i> [Spent: £ 36,500/6 months]	MOGA and CSDG	Completed Oct 2001	Bill has been prepared and awaits action by Parliament
2	E-governance in Mechi Zone <i>(mini-project)</i> [Actual: £13,800/9 months]	INFOCOM plus Ilam, Jhapa Panchthar and Taplejung Districts	Completed April 2002 Application of IT in local governance	Results have contributed the IT masterplan currently being undertaken for MLD (see <i>Activity 22</i>)
3	Development of masterplan for Karnali Zone <i>(mini-project)</i> [Spent: £13,700/10 months]	NPC and KIRDARC	Completed Jul 2002; video and. Nepali book on video published; English book also published in Nov 02 and distributed; masterplan completed	KIRDAC has held national workshop to present plan, video and books; KIRDAC has also submitted the masterplan to NPC, the PMO and other agencies for consideration.
4	District Periodic Planning Project [Spent: £ 161,000/10 months]	ADDCN and 17 DDCs	Terminated Sep 2002 because of HMGN decision not to extend term of local elected representatives and negating DPP process	Project completed 10 of the 19 planned months and spent around 60% of the budget allocation for 9 of the 17 planned districts; could be revived once elected local bodies are restored
5	Supporting national voter education poster campaign <i>(mini-project)</i> [Spent: £32,000/2 months]	Election Commission with NDI	Completed Oct 2002	Posters have been printed and are safely stored with NDI; Election Commission will run campaign in 75 districts when election is eventually run
	ON-GOING PROJECTS	Agency	Status	Remarks
6	Community Mediation Project started March 2001 [Actual: £ 340,000/3 years]	CVICT and Ilam, Jhapa and Saptari Districts	Operational - in 45 VDCs of the three districts; 32 women advocacy committees have been formed; all community level training has been completed according to schedule; refresher training for mediators and TOT for women are currently ongoing at the field level	65% (£222,000) of project budget released; DFIDN is discussing with other donors/parties ways of expanding the community mediation process to other districts
7	Self Reliant Development of the Poor by the Poor Project Started January 2002 [Actual: £ 2,800,000/6 years]	RSDC and 5 Districts	Operational in 8 VDCs in Makwanpur and 12 in Sarlahi; the 2 in Darchula, and 3 in Baitadi have had to be suspended because of the security situation; no activities have been started in Khotang for the same reason.	8% (£233,000) of project budget has been released. DFIDN and ESP are in discussions with the project implementers to decide ground rules for possible shift of work to alternative districts
8	NGO Federation Project started October 2002 [Actual: £ 732,000/3 years]	NGOFed	Operational - project office set up and steering committee is functioning; selection of OU management course candidates completed	7.5% (£55,000 including £12,000 for OU course) of project budget spent.

	ON-GOING PROJECTS	Agency	Status	Remarks
9	Human Rights Protection <i>(mini-project)</i> started October 2002 [Actual: £23,000/4 months]	CHRHL	Handbook on human rights have been widely disseminated, including armed police and 12 of their district centres, all civil police district HQs, and all District Administration offices; the twelfth episode of the radio programme "Shanti Abhiyan" has been broadcast. One day training workshop organised for media	37% (£8,600) of project budget released. Small booklet with summary version of the handbook have been distributed to different colleges and schools in Kathmandu Valley; 25000 copies of revised handbook to be distributed nationwide
10	National Peace Dialogue through Civil Society <i>(mini-project)</i> started November 2002 [Actual: £20,000/3 months]	Peace Forum of FPSD (Daman Nath Dhangana)	Aim is to create public pressure on both the government and Maoists to work towards peaceful solution of conflict	45% (£9,000) of project budget released. Rallies and workshops held. Two issues of Peace Bulletin published. With announcement of ceasefire (29 Jan 03) and peace talks due to begin the Peace Forum will now revise its approach.
11	Strengthening Prime Ministers Office Project started January 2003 [Actual: £ 698,000/2 years]	PMO	HMGN approval given in Sep 2002; Steering Committee formed; Project Coordinator recruited and started work on 1 Jan 03.	2% (£18,000) agreed as initial funding. The PMO and CS are initiating action through the Cabinet to formally merge the Cabinet Secretariat with the PMO, a first critical feature of the project
12	Dalit Commission Project <i>(mini-project)</i> started January 2003 [Actual: £22,000/3 months]	National Dalit Commission	Survey and study on Dalit human rights violations in Maoist affected areas covering 14 districts; finalisation of a Bill legalising the National Dalit Commission	The findings of the task force will be shared with government institutions and relevant stakeholders at various levels for the adaptation of appropriate measures safeguarding the rights of Dalit people.
13	FNCCI Anti-Corruption Project will start February 2003 [Actual: £196,000/2 years]	FNCCI	Project approved by DFIDN on 23 Jan.	Implementing agency will now be selected by FNCCI and ESP. Project steering committee will be formed
	HOVERING PROJECTS	Agency	Detail	Remarks
14	Nepal Police Development Project [Estimate: see detail box]	Nepal Police	Two project documents submitted in May 02 to DFIDN (i) £ 2.75 million including RTC refurbishment (ii) £ 0.45 million without refurbishment	Project on hold until assessment report by police consultant (appointed in Oct 02) is considered in Feb 2003. Preliminary work underway (£10,000 spent on office and other activities) through an expanded exploratory activity process

	AWAITING DFIFN APPROVAL	Agency	Detail	Remarks
15	Dalit Support Project [Estimate: £900,000/3 years]	Consortium of six Dalit organisations (incl DNF)	Concept note accepted by DFIDN; full project document completed and with DFIDN. Meeting scheduled on 7 Feb 03 to discuss document	Focus of project will be, in the first place, strengthening national level Dalit NGOs
	DEVELOPING PROJECTS	Agency	Detail	Remarks
16	Penal Reform Project [Estimate: £900,000/3 years]	MOH and DOPM	A comprehensive penal reform plan for MOH and DOPM has been prepared. Plan has been endorsed by Minister of Home Affairs (22 Nov)	DFIDN has agreed to support some elements of reform plan. A draft project document has been submitted and discussion will be held with DOPM in early Feb 03 prior to preparation of final draft
17	Parliament Research and Information Centre (PRINCE) Project [Estimate: £5 million/10 years]	Parliament Secretariat	DFIDN have approved seeking 'expressions of interest' from potential implementers of project	DFID East Kilbride published advert in OJEC but forgot to publish in Economist. Closing date now for EOI is 28 Feb 03
18	Institutional strengthening of key media organisations	FNJ, PCN and RSS	Lead media consultant contracted and work underway	Four outputs including project doc (due Jan 03), reports of conflict coverage and giving voice to poor, and legal reforms (due Feb 03)
19	Janajati Empowerment Project	NEFEN	Agreement is signed between NEFEN and ESP for project scoping.	Project document is due on March 03.
20	Establishing an independent institute for policy studies	Consortium	Prime stakeholder identification completed.	Project concept note approved by DFIDN. IFDS has been contracted to carry out preliminary work. Draft project document has been submitted.
	POTENTIAL PROJECTS	Agency	Detail	Remarks
21	Strengthening Auditor Generals Office	OAG	NASC undertaking exploratory work has submitted first draft with assessment of current status and immediate needs	Once report is finalised discussions will be held with DFIDN on how to proceed given other donor involvement
22	Developing an IT master plan for local government	MLD	Consultants commissioned for exploratory activity have submitted draft report which is under consideration	EA has begun and results will be fed into other DFIDN work on local government when it resumes
23	Improving management and administration of political parties	NC, UML, RPP, NSP (possibly through GM Singh Academy or Kathmandu University)	Discussions taking place with political parties	ESP currently examining scope, modus operandi and implementing partners; will be putting proposals to DFIDN by end of Feb 03

	PROJECTS ON HOLD	Agency	Detail	Remarks
24	Public Accounts Committee Project [Estimate: £150,000/2 years]	PAC	Dissolution of Parliament has prevented discussions on preliminary project document with PAC	This will be revived once new Parliament is in place
25	Strengthening the State Affairs Committee	SAC	On hold following dissolution of parliament	Discussions due with Parliament Secretariat on how to assist all working parliamentary committees
26	Increasing women's participation in the major political parties	NC, UML, RPP, NSP (through IHRICON)	On hold following establishment of government without political party representation	Will be part of discussions with political party representatives
	OTHER ACTIVITIES	Agency	Detail	Remarks
27	Assessment study on VDC capacity in relation to sectoral devolution	NAVIN	Exploratory study underway	Report due in Feb 03
28	Identifying key media issues relating to women	ASMITA	Draft report submitted and will submit the final report by first week of February.	End results likely to be included in overall ESP media strategy (see <i>Activity 18</i>)
29	Analysing the methodology of corruption	ESP with freelance journalist	Nepali book published and well received; English version published in Oct 02; a second updated Nepali edition will be published in Mar 03	The book "Anatomy of Corruption" has received high praise (both language versions) in the press.
30	Detailed research studies on the current conflict and the Maoist movement	Deepak Thapa and Surendra Bhandari	Authors nearing completion of final draft	Two books due for publication in Mar or Apr 03
31	Increasing involvement in ESP by HMGN agencies	PMO, ESP and NASC	Workshop report and recommendations received from NASC	Concept papers on a number of project ideas raised in workshop now being prepared by NASC
32	Improving service delivery through Community Enabling Centres (CECs)	Jhapa (Sahara East) Syangja (Sahara West) Kailali (STEP) Makwanpur (CDO) Baglung (DYC)	First pilot in Syangja assessed as very successful, additional pilots are being replicated in three other regions through local NGOs. In total 28 CECs are established in five districts.	End result will be book outlining how other districts can take forward the learning from the pilots. Based on the learning, CECs' scope could be broadened and possibly address some of ESPPU objectives.
33	Video documentary on violence issues confronting women	Sancharika Samuha	Comments/feedback on first draft video documentary provided, editing is underway and the final version will be submitted by the end of January	English version of video received on 31 Jan.
34	Promotion of local level investigative journalism	Helpline	Exploratory activities underway in six districts Dadeldhura, Dolakha, Taplejung, Salyan, Surkhet and Kapilbastu	Report due in Mar 03 with likely publication of a number of case studies in book form as a guide for local journalists. As of Dec 56 cases/ news stories were reported through five national broadsheets

	OTHER ACTIVITIES	Agency	Detail	Remarks
35	Research study on land rights advocacy	Community Self Reliance Centre	Draft report submitted and the final report will be submitted by the end of March 03 incorporating feedback/comments.	District and VDC level workshops completed in all districts.
36	Provision of legal aid for the poor	Nepal Bar Association	Discussions have been held to look at how to link this with the penal reform project	Awaiting shape of penal reform project before possibly taking this forward in Mar 03
	IDEAS TAKEN OVER BY DFIDN	Agency	Detail	Remarks
37	Establishing an effective project screening process overseen by the National Planning Commission	NPC	Exploratory activities completed.	DFIDN to advise NPC directly
38	Civil Service Reform Project	MOGA	One component in HMGN Governance Reform Programme initiated through ADB. Draft project document prepared.	DFIDN to liaise directly with MOGA and ADB
39	Strengthening the Commission for the Investigation of the Abuse of Authority	CIAA	Comprehensive needs assessment completed and shared with other major donors	DFIDN now working directly with CIAA
	DFIDN REJECTED PROJECTS	Agency	Detail	Remarks
40	Central Department of Public Administration Project [£180,000]	CDPA	Rejected as not a priority area for DFIDN	CDPA have been informed of and accept the decision
41	National Association of VDCs in Nepal Project [£ 652,000]	NAVIN	Rejected on grounds of lack of strategic focus, overlapping with LGSP, and long term sustainability of activities	ESP is currently supporting development of NAVIN strategic plan and some research activities (see Activity 27)
42	Human Rights Education Project [£ 1,120,000]	INSEC	Rejected on grounds of viability of impact, over ambition, and failure to take account of the conflict in terms of implementation	ESP will welcome other less ambitious ideas from INSEC
43	Chartered Accountant Curriculum Development Project [£ 440,000]	ICAN	Rejected on grounds of sustainability, relatively small numbers involved, and need of ICAN to prioritise its work	Recommended that any development of ICAN should be related to World Bank Country Financial Accountability Assessment
44	Women Empowerment Project [no budget estimate prepared]	MWCSW and DWD	Unfortunately DFIDN failed to inform ESP that, as policy, DFID disapproves of government agencies (DWD) undertaking empowerment programmes or credit schemes. Given the project concept revolved around these activities DFIDN rejected the project concept note	DFIDN will explain to DWD why it cannot accept their project idea and apologise for not earlier sharing DFID's policy position that would have avoided fruitless work and expectations by DWD

	DISCONTINUED ACTIVITIES	Agency	Detail	Remarks
45	Liberalising FDI rules and regulations to facilitate and increase investment	DOI and FIIN	Draft TORs required from DOI	DOI has not been able to allocate staff to work on this therefore ESP will not pursue this at this time
46	Establishing a WTO cell in FNCCI to advise private sector	FNCCI	Action plan required from FNCCI	FNCCI has not been able to allocate staff to work on this therefore ESP will not pursue this at this time

2. Overview of the Original ESP Concept and Current Position

2.1 Although the 'change model' concept in the original programme document remains valid, difficulties have been encountered applying it practically during the programme. ESP has carried out detailed work in respect of 'change advocates' but concludes now that the programme concept needs to be reviewed (see **Annex 1 - Change Advocates**). Accordingly, there is a need to reconsider both the goal and purpose statements in the original logframe. Some very embryonic thinking about a possible new logframe has been undertaken (see **Annex 2 - Logframe Alternatives**). Most activities in the logframe (exploratory activities, project scoping and development, and dissemination) have been undertaken to either a greater or lesser degree. A number of the indicators were clearly over optimistic or under-estimated.

2.2 Eighteen months into the programme DFIDN delegated project monitoring responsibilities for satellite projects (originally intended to be carried out by DFIDN itself) to ESP thus increasing the programme workload.

2.3 A regular and structured working relationship with the Prime Minister's Office has not yet materialised. This was in the main caused by instability in the PMO, particularly with regard to the positions of Secretary and Joint Secretary. For most of the two years both positions have not been filled at the same time. When there was no Secretary, the Joint Secretary was unable to take a decision. When there was no Joint Secretary, the Secretary was not able to delegate day-to-day operational matters.

2.4 ESP was conceptualised between 1998 and 1999. Excessive delays in getting the programme approved by HMGN meant actual implementation only took place in 2001. Between 1998 (concept) and 2001 (implementation) and 2003 (now) there have been significant changes to the political and social environment of Nepal. The original focus of reforming core systems and procedures, particularly in government, may now be less of a priority than dealing with issues, such as exclusion, which underlie the current insurgency that in turn dominates the political and social landscape. Current peace moves may again reshape this landscape and have implications on ESP.

2.5 ESP was originally seen as a high risk programme giving Nepalis substantial responsibility for developing pro-poor governance projects to assist in reforming the state of governance in Nepal. Since its implementation senior management in DFIDN has changed. Inevitably (and not unlike the situation explained in the ESP 'change model') ownership of ESP by DFIDN has been diluted with the departure of the original advocates of this high risk programme. In order to increase ownership there is now a need to incorporate more of the agenda of the current senior management of DFIDN, hopefully without diluting the 'home-grown' aspect of the programme.

3. Appropriate Strategic Focus for ESP, in light of the current situation in Nepal, DFIDN's emerging strategy (CAP), and strengths and weaknesses of ESP

3.1 In September 2002 DFIDN agreed a limited focus for ESP because responding to all aspects of pro-poor governance was proving unmanageable. Over 600 project ideas had been received covering all facets of pro-poor governance as defined DFID. The limited focus for the period up to February 2003 covered:

- (a) MEDIA - building a coalition of representative groups to develop a strategy and programme for strengthening the media;

- (b) DALITS - developing a consortium of Dalit support groups to build capacity to improve Dalit representation and participation in governance processes;
- (c) INDIGENOUS GROUPS - undertaking a situational analysis as a preliminary to longer term work;
- (d) HMGN AND NGO COLLABORATION - building on successful work undertaken with women groups and the Department of Women Development;
- (e) PUBLIC/PRIVATE AND CROSS-PARTY APPROACHES TO CONFLICT RESOLUTION - encouraging and supporting initiatives in this area;
- (f) POLICE REFORM – launching the Police reform support project.

These focus areas will be reviewed during the OPR.

3.2 DFIDN has identified (October 2002) six priority governance areas on which it should focus. However, because DFIDN is currently directly working in two of the areas maybe only four areas (highlighted in italics) might be appropriate for ESP. The six (*and four*) areas are:

- (a) *Making the political system more responsive to the needs of poor people*
- (b) *Increasing transparency and accountability and reducing corruption*
- (c) *Reducing exclusion from governance processes, based on gender, caste or ethnicity*
- (d) Improving public expenditure management, including introducing greater equity into resource allocation
- (e) Decentralisation and improvements to local governance
- (f) *Improving the criminal justice system and in particular the behaviour of the police.*

These priority areas may have changed between October 2002 and February 2003 and any such changes will need to be considered during the OPR.

3.3 In September 2002, as part of the initial process of defining a more strategic focus for ESP, DFIDN recognised a number of positive characteristics of ESP that gave it a comparative advantage as a way of working. These included:

- (a) Easy accessibility and customer friendliness
- (b) Ability to devote time to listening to and helping to develop Nepalese ideas
- (c) A significant existing network and good networking capabilities
- (d) Ability to bring different representative groups together for coalition/partnership development
- (e) Ability to facilitate innovative interventions
- (f) Willingness to work with a greater degree of risk
- (g) Ability to prepare project documents relatively quickly

These positive characteristics still hold true.

3.4 In contrast, ESP also can be said currently to have a number of weaknesses. These include:

- (a) Lack of legitimacy because, as yet, no formal accountability structures operate with the PMO (ESP's government partner)
- (b) Perceived as having too much independence

- (c) Insufficient rapport with DFIDN advisors
- (d) Weak information flow from DFIDN to ESP
- (e) Weak at informing a wider audience of ESP's areas of work, particularly the exploratory activities
- (f) Current gender imbalance within the ESP professional team (6M/1F). This is not true of the support team (4F/4M) which incidentally includes the only employed woman driver in DFIDN or indeed with any donor.
- (g) Inadequate updating of the ESP website and publicity materials

Hopefully, with the help of the OPR, remedies can be found to overcome these weaknesses.

4. Linkages of ESP and its activities to the rest of DFIDN Programme

4.1 Direct linkages between ESP and the rest of the DFIDN programme mainly take the form of DFIDN taking over work that ESP has initiated. Examples of this include work with the Commission for the Investigation of the Abuse of Authority, the National Planning Commission, and civil service reform with the Ministry of General Administration. However, once the work has been taken over by DFIDN, ESP is currently not systematically kept informed of developments. ESP retains contact with the original organisations and key players as part of its network and usually finds out 'by accident' the nature of any development. This is not a good example of a 'joined-up' approach.

4.2 In addition to these linkages DFIDN, having received positive feedback concerning ESP satellite projects, is taking on responsibility for expanding the scope/reach of the projects. Currently the Community Mediation Project is being considered for considerable expansion by DFIDN into more districts (over and above the three districts covered in the satellite project). The same problem of no systematic sharing of information by DFIDN on developments occurs here.

4.3 There is the potential for further linkages. There has been some initial joint work between the ESP satellite Self-reliant Development of the Poor by the Poor Project and the Safer Motherhood Project at the field level. More of this type of linkage should be encouraged and with more of DFIDN's other projects. For this to happen an improved information flow needs to be established by DFIDN so that ESP is better aware of the activities DFIDN is initiating or supporting.

5. The effectiveness of ESP in disseminating understanding of pro-poor governance and lessons learned in specific areas of intervention

5.1 ESP has produced nineteen publications comprising eleven books, three reports, three videos and two newsletters (see **Annex 3** - *Publications*). Two further books are currently being written. ESP has supported sixteen workshops that involved nearly 800 participants (see **Annex 4** - *Workshops*). Although not part of a systematic dissemination plan the individual publications have been widely distributed and the workshops have been publicly reported. Together these have begun the process of disseminating a better understanding of aspects of pro-poor governance. However, ESP probably needs to develop a more 'joined-up' approach to dissemination.

5.2 Areas where ESP can claim some degree of success, where dissemination has led to action, include:

- (a) PENAL REFORM - Department of Prison Management initiating a reform process;
- (b) CORRUPTION - CIAA seeking donor assistance based on needs assessment; FNCCI initiating an anti-corruption programme;
- (c) CAUSES OF POVERTY - impact of poor governance in Karnali Zone and its contribution to poverty creation;
- (d) REPRESENTATION - major political parties signing declaration for increasing women's participation in the political process;
- (e) ADVOCACY - consortia formed to promote reform (Dalits, media, women empowerment, and land rights);
- (f) RATIONALISING GOVERNMENT - merger of the Prime Minister's Office and the Cabinet Secretariat

6. The relationship between the Programme and the PMO and the implications of the planned merger of the PMO with the Cabinet Office.

6.1 As mentioned in para 2.3 staffing changes and delays in appointment within the PMO have caused major difficulties in developing the planned working relationships between the PMO and ESP. It is hoped that a period of stability is now possible, and with the start of an ESP satellite project in the PMO with a permanent project coordinator, action will be now initiated for strengthening the formal involvement of the PMO in the ESP process. There is clearly a need for some kind of advisory committee, probably convened by the PMO, to better legitimise ESP. This body, in consultation with DFIDN could participate in identifying priority areas for ESP to concentrate on. It could also initiate the originally envisaged quarterly round-table discussions on aspects of pro-poor governance. This matter has yet to be taken up with the recently appointed PMO Secretary who is currently being inducted into PMO responsibilities re ESP.

6.2 No negative implications to ESP have been identified with the planned merger of the PMO and the Cabinet Secretariat. The Chief Secretary is clearly committed to the success of ESP, as well as the project in the PMO.

7. Degree of flexibility granted to ESP and distinction between exploratory activities (EA) and satellite project

7.1 Currently ESP runs three types of exploratory activities, (a) those that lead to a better understanding of a pro-poor governance issues, (b) those that lead directly to the development of a project idea which results in a project document for submission to DFIDN, and (c) those that are stand-alone activities that, in some cases, could be termed 'mini-projects'.

7.2 Exploratory activities are in the main the sole responsibility of ESP. Only when a contract for exploratory activities exceeds £25,000 does ESP need to seek approval from DFIDN. Usually these higher cost activities would involve an external consultant like Westminster Foundation, British Council, or Penal Reform International.

7.3 All satellite projects are part of the DFIDN country programme and as such DFIDN is fully responsible for them. However, DFIDN has delegated project monitoring responsibilities to ESP and the ESP manager is the designated DFID project officer. DFIDN will independently manage the 'output-to-purpose' reviews of all satellite projects.

7.4 There is scope to increase the number of 'mini-project' type activities and consideration might be given to increasing the financial authority given to ESP as these activities expand.

8. The degree to which ESP has succeeded in relying mainly on Nepalese consultants (as was originally intended) and the effectiveness of this (including the arrangements for selecting and engaging these consultants)

13.1 ESP has developed, and is continuing to develop, a long-term working relationship with a number of both individual consultants and consultant organisations (see *Annex 5 - Individual consultants* and *Annex 6 - Organisations undertaking ESP consultancy*). ESP holds a (crude) database of more than a hundred consultants (which incidentally is sometimes used by DFIDN and other donors).

13.2 Although many NGOs in Nepal undertake consultancy work the number that is able to produce quality results is still relatively few. Most are generalist in nature and those with experience in specific areas of governance are relatively few. Add to this, the need to have both knowledge and a network, particularly when working in districts outside of Kathmandu, the choice of consultants is often then very limited. As a consequence, in most cases, the selection of a consultant or a consultancy organisation is rarely done through public competition. In most cases ESP invites the limited number with the relevant experience to prepare proposals and these are used as the basis for selection. This allows for a speedier process and avoids wading through umpteen irrelevant submissions from large numbers of NGOs who in their search for income will apply to undertake any and every job irrespective of their capability. In the case of government agencies, when consultancy is required, ESP is often restricted to use only the Nepal Administrative Staff College that is mandated to provide consultancy services to the government.

8.3 The writing of the actual project documents by consultants is the biggest challenge facing ESP. ESP may have over estimated capabilities here when it was being designed. Competency in this area is majorly lacking among consultants. ESP provides very detailed specifications but despite this the final project document delivered to ESP by consultants still requires a great deal of work to get it to meet DFIDN standards. ESP has held recently a first workshop for its own staff and a number of its consultants to improve project document writing skills. More are planned. Weaknesses include (i) the lack of ability to analyse problems in detail, (ii) the inability to provide convincing evidence that the suggested solutions will work, (iii) the lack of understanding of logical framework methodology, (iv) the lack of skills to write in a succinct and focused manner, (v) poor logical thinking, and (vi) poor English (the language in which all project documents have to be written for DFIDN). To compensate for these weaknesses ESP has brought on board an editor to work on the final documents produced by the consultants. In this way ESP has ensured all project documents forwarded to DFIDN meet the required standard. But this is only a short-term solution and there are longer-term implications re this issue which need resolving.

9. The extent to which ESP is responding to needs beyond the Kathmandu Valley.

9.1 The envisaged ESP Peripatetic Units (ESPPUs) have not materialised in their originally conceived form because of the impact of the conflict (see *Annex 7 - Establishing an ESP presence outside Kathmandu*).

9.2 However, an alternative approach is now being considered based on the idea of ESP piggy-backing on the recently established pilot Community Enabling Centres to facilitate greater involvement with local communities (see ***Annex 8 - Improving Service Delivery at the Local Level through Community Enabling Centres***).

9.3 The original concern that ESP would become over Kathmandu-centred has, in fact, not arisen. 40% of the 600 project ideas submitted to ESP came from outside of Kathmandu. In addition, a number of ESP satellite projects focus entirely in districts away from Kathmandu. Many exploratory activities have also been based in districts outside of the Valley. To date ESP has worked in 40 districts in total (see ***Annex 9 - Districts outside Kathmandu where ESP is working or has worked***).

10. Internal management of the ESP team, including progress towards localising management of the programme and development of the capabilities of the ESP team and allocation of responsibilities within the team

10.1 ESP comprises eight professional staff (there is one current vacancy following a recent resignation for family reasons which is on hold until the outcome of the OPR) and eight support staff. The Deputy Programme Manager reports to the Programme Manager. All other professional staff report to the Deputy Programme Manager and all support staff report to the Programme Administrator. All staff have job descriptions and a performance appraisal system is operational. All staff are currently contracted until 10 January 2005 (the end of the original Stage I of ESP). All staff (with the exception of the expatriate Programme Manager) are employed on similar terms to all DFIDN Nepali staff.

10.2 All professional staff have an individual (and growing) portfolio of projects, exploratory activities and other responsibilities which they manage. The allocation takes account of background and experience where possible but given the broad scope of pro-poor governance matters that ESP is handling currently, each portfolio contains areas of work that are completely new to each staff member. This makes for a challenging job. Development opportunities are given to the staff both in-country and internationally. Current development needs include improving monitoring abilities, better evaluation skills, enhanced understanding of both programme and financial management aspects of projects, increased knowledge of the macro environment, and more in-depth understanding specific pro-poor governance areas. With regard to the last of these development needs, the proposal to directly link ESP with DFID's Governance Resource Centre at Birmingham University, as suggested in April 2002, has yet to materialise. Finally in respect of the professional staff, two retreats are held annually to provide for an internal appraisal of ESP and to facilitate each staff member's better contribution to the programme.

10.3 Support staff are multi-functional with key task responsibilities (eg drivers undertake clerical work, the security guard has receptionist/facilities duties, and the computer systems coordinator undertakes some accounting responsibilities). Training on English language, computer and teamwork skills has been provided.

10.4 In April 2002 the post of Deputy Programme Manager was created, and filled by the then Programme National Adviser, as a first step towards localising management. The original aim was that the Deputy Programme Manager would take over as Programme Manager at the end of ESP Stage I when the current Programme Manager leaves. Consideration perhaps can be given to a different scenario whereby the current Programme Manager moves to a more advisory role

allowing the Deputy Programme Manager to take up direct management responsibilities sooner.

10.5 Whatever the recommendations of the OPR in respect of current vacancy within the professional team it is becoming apparent that with the growing number of projects there is a need to provide additional financial and administrative assistance to the Programme Administrator.

11. The adequacy of monitoring the overall progress of ESP, both internally by the ESP team and by DFID (including arrangements for progress reporting by ESP)

11.1 On the assumption that anything and everything can be improved the ESP team welcomes an external and independent scrutiny of its internal monitoring. This report is the fourth periodic report in the two years ESP has been formally operational. All such reports are sent to DFIDN, the Embassy and the PMO although ESP is not fully aware if they are systematically shared internally within these agencies. Evidence suggests they are inadequately shared as not all DFIDN advisers appear to have seen them. This is true also for relevant Embassy staff. In both instances this had led to duplication of effort or contrary actions which fortunately have been rectified with no serious consequences apart from embarrassment. In addition to these periodic reports an ESP status report (similar to that on pages 3 to 8 of this report) is produced bi-monthly summarising all ESP activities. Again the extent to which this is shared within DFIDN is not clear. ESP circulates its periodic reports to all other DFIDN project managers and places them on the ESP Website.

11.2 Meetings with DFIDN re their monitoring of ESP have tended to be ad hoc rather than on a regular basis. Given ESP cuts across the portfolios of a number of DFIDN advisers there is a need for DFIDN to arrange a periodic briefing session with advisors so ESP is better informed on their work and they in turn on ESP's initiatives.

12. The adequacy of satellite project monitoring (by ESP since July 2002 and previously by DFID)

12.1 Since being given the responsibility of satellite project monitoring in July 2002 ESP has instituted a regular and systematised process for this (see *Annex 10 - ESP Guidelines for Project Monitoring [Programme and Financial]*). It covers both programme and financial aspects of projects. All satellite projects have been visited including their field operations. Spot checks have also been undertaken. ESP staff have also attended project steering/advisory/management committee meetings. Feedback suggests satellite projects have been finding these monitoring arrangements helpful.

12.2 Prior to the hand-over of monitoring responsibilities to ESP, DFIDN was not able to provide sufficient monitoring on programme aspects of the satellite projects. The potential workload for DFIDN for this type of monitoring was never seriously considered during the design of ESP. Fortunately, DFIDN was able to undertake financial monitoring adequately.

13. The adequacy of financial management arrangements within ESP and the arrangements for ESP expenditure to be reflected in Government accounts (as originally intended).

13.1 Again, on the assumption that anything and everything can be improved the ESP team welcomes scrutiny of its financial management arrangements. To date,

without exception, all accounts have been presented to DFIDN each month on time and accurately. Regular inspections by DFIDN of ESP administration have been carried out and all suggested improvements have been implemented.

13.2 The issue about ESP expenditure being reflected in government accounts is primarily the responsibility of DFIDN but ESP will do what is necessary to ensure it supplies the appropriate financial information so DFIDN can fulfil its obligations. This is an area where ESP needs clear guidance from DFIDN.

14. Possible new ways of working for ESP

14.1 At the end of the January 2003 retreat a brief brainstorming session was held to identify possible new ways of working for ESP. No detailed discussions took place but some of the ideas could be put on an agenda for more substantive consideration during or after the OPR. The ideas included:

- (a) Working with younger people (under 30 years) and the next generation of Nepalis, including possibly working with schools and college students;
- (b) Working and sharing learning with other DFIDN projects (such as RAP, CLP, SMP and LFP);
- (c) Engaging more in conflict (or hopefully 'new peace') areas;
- (d) Setting up a pro-poor governance resource centre for Nepalis;
- (e) Making pro-poor governance more digestible and 'user friendly' by focusing on human interest elements using various media formats;
- (f) Combining 'direct delivery' with pro-poor governance improvement initiatives
- (g) Engaging more with politicians and political parties

MICHAEL E. LOWE
ESP Manager

January 2003



ENABLING STATE PROGRAMME
...towards 'pro-poor' governance in Nepal

Mobilising Change Advocates for Pro-poor Governance

Summary of ESP activities (2000-2002)

Background

1. ESP aims to help Nepal achieve 'pro-poor' governance. ESP's super goal is "that Nepalese key players successfully influence main power-holders so that they demonstrate a desire for change to pro-poor governance". ESP is conceived to address the twin problems of a practical understanding of governance and the creation of a desire for change among key power-holders.

2. The ESP logframe defines its goal and purpose in these terms:

2.1 **Goal:** Nepalese key players advocate change to and begin initial action for pro-poor governance. At least 50 public advocates are identified by March 2004. The advocates are starting to produce pamphlets, books, etc. and give seminars, speeches which outline need for reform and provide practical reform ideas.

2.2 **Purpose:** A critical mass (50) of Nepalese key players, including those from outside the Kathmandu valley, develops practical understanding of and need for pro-poor governance areas with home-grown change potential. "Home-grown change potential areas" are those in which change is implementable and practical.

Definitions

3. ESP has adopted working definitions for change advocates and potential change advocates. They are:

3.1 **Change advocate:** "Someone who thinks change is necessary and speaks publicly about change but is not in a position to take actions to implement change".

3.2 **Potential change advocate:** "Someone who already is a change thinker but needs confidence and support to go public".

Criteria for change advocates

4. The identification of CAs involves some degree of subjectivism. With a view to avoiding too much of subjectivism, ESP has worked out some criteria to be reviewed from time to time. They refer to both change and potential change advocates:

- 4.1 ***Characteristics of a change advocate***
- (a) Knowledgeable in a particular area (of pro-poor governance)
 - (b) Sees the need for change but not in position to act
 - (c) Articulates publicly the required change
 - (d) Seen as committed
 - (e) Influential with appropriate people
 - (f) Recognised as credible and ethical
 - (g) Undertaken cost/benefit analysis of the change
 - (h) Identified the first practical steps necessary for the change
- 4.2 ***Characteristics of a potential change advocate***
- (a) Knowledgeable in a particular area (of pro-poor governance)
 - (b) Thinks change is necessary
 - (c) Has yet to articulate the change publicly
 - (d) Needs support to build confidence to go public
 - (e) Needs support to build a network
 - (f) Needs support to develop the means of advocating change
 - (g) Has yet to undertake cost/benefit analysis of change
 - (h) Needs to explore first practical steps for the change

Activities carried out so far

5. ESP commissioned a team of Nepali specialist consultants to undertake a pro-poor governance assessment in September 2000. One of the tasks set for them was to identify change advocates within their respective capability areas. A generic checklist for the identification of change advocates was developed for this exercise. The checklist required the collection of detailed evidence against the listed four characteristics recognising inevitably there would be an element of professional subjectivity (by the consultants). The initial outcome completed in May proved primitive and therefore was not published. Given the critical importance attached to the role and contribution of change advocates within ESP, a more in-depth study was planned. Taking into account the fact that very little research was done in the area, ESP went for a base-line study, including a revised and more rigorous checklist to be used in a more comprehensive survey. Interdisciplinary Analysts (IDA), a professional agency with substantial research experience, was entrusted with the study.

6. The baseline study carried out during Oct 2001-Jan 2002 has identified some 95 CAs, including potential CAs (see report for details). They represent all seven areas of pro-poor governance.

7. Three major problems have characterised the work in this regard. First, a great degree of subjectivity needed to be allowed in the identification process, including in assessing and interpreting the evidences. This affected the reliability of the work. This was specific to change advocates identified from beyond ESP satellite projects. Second, and with regard to the satellite projects, not many change advocates could be identified as activities under these projects are just beginning to take place. Finally, the exercise on identification has been more or less Kathmandu-centric. This exercise created the need to:

- (a) undertake a further screening and verification of the 95 CAs/PCAs;
- (b) work out strategies on how to work with them; and
- (c) possibly commission a study on CAs/PCAs outside of Kathmandu.

Review of the Concept

8. Given that the CA concept is new in Nepal's governance (and probably elsewhere), ESP has been examining its practicality. Based on the experience of studies undertaken in the past, the ESP staff together with DFIDN's Governance Adviser examined different aspects of the concept at an ESP retreat in April 2002. The meeting realised that getting consensus on who can be considered a change advocate, or a potential change advocate, is an extremely difficult question. The practicality of basing a programme around change advocates is yet to be established in Nepal. The primary emphasis needs therefore to be put on change-oriented institutions rather than individuals. In line with this view of the meeting, ESP decided in consultation with DFIDN (September 2002) to:

- (a) focus on institutions rather than individuals as change advocates (see **Annex 1.1** for its concept); and
- (b) put more emphasis on the direct impact of satellite projects rather than their potential to develop change advocates (to be applied in considering new satellite projects).

Annex 1.1

Working with change advocacy institutions

Background

1. ESP is set in the context of a four-stage change model. Change advocacy features significantly in it. Stage I of the change model aims to develop (a) a better practical understanding of governance issues and (b) a critical mass of change advocates (around 50), especially within higher echelons of the socio-political hierarchy. A process of influencing is expected to take place in Stage II of the change model through change advocates. A state of "desire for change" will be reached at the start of Stage III. The new-found desire for change will lead to a state of pro-poor governance in Stage IV. ESP will operate during the first two stages of the model, over a period of eight years. From Stage III onwards, ESP interventions would not be needed, as Nepalese leaders would then be actively pursuing a reform agenda on their own.

Past activities

2. ESP has been working on identifying change advocates in all seven areas of pro-poor governance. Ideally, they should come from ESP satellite projects. But they could also be identified elsewhere. Accordingly, ESP commissioned in November 2001 a baseline study on change advocates/potential change advocates. The basic purpose was to identify change advocates and work out measures for developing their capacity. Interdisciplinary Analysts (IDA), a consultancy firm based in Kathmandu, carried out the study. The IDA report (March 2001) has identified some 95 change advocates, including potential change advocates. During this exercise, ESP also developed criteria (including evidences to verify) for identifying change and potential change advocates across the seven governance areas. On this basis, most of the 95 persons identified by the IDA study could be seen as potential change advocates.

3. Three major problems have characterised the work in this regard. First, a great degree of subjectivity needed to be allowed in the identification process, including in assessing and interpreting the evidences. This affected the reliability of the work. This was specific to change advocates identified from beyond ESP satellite projects. Second, and with regard to the satellite projects, not many change advocates could be identified as activities under these projects are just beginning to take place. Finally, the exercise on identification has been more or less Kathmandu-centric. ESP did want to commission a study covering areas outside Kathmandu. This had to be put on hold because of the outcome of an ESP retreat (April 2002), which agreed, among others, to review the approach to mobilising change advocates. This has led ESP to focus its attention on institutions rather than individuals as change advocates. In this context, more importance will have to be attached to the direct impact of satellite projects rather than their potential to develop change advocates.

Need for an institutional approach

4. Institutions offer better prospects for change advocacy than individuals do. First, they have a longer-term perspective. ESP would find it more practical to work with institutions on a sustained basis.

5. Generally, institutions are more resourceful than individuals both in terms of financial and physical capacities. They can therefore 'invest' in change advocacy functions, at least in the short range. In contrast, individuals need 'advance payments' to even develop ideas and test them briefly.

6. Institutions enjoy higher public recognition than individuals. External support provided to them for advocacy functions is seen as legitimate whereas support to an individual may be seen as a 'special favour'. In the current political situation in Nepal, people may even associate such support with some sort of 'design' to unnecessarily impose donors' agenda in development. Besides, institutions gain legitimacy through representing a cross-section of people they work with.

7. Most individuals have a strong attachment to what they have been doing or what they have studied. This 'discipline bias' is not a negative attribute in itself. In the change advocacy context, however, it becomes a problem, especially when there is a need to see things from different perspectives. Institutions offer an advantage here. An institution has more voices to consider, with the possibility that an interdisciplinary approach to problem-solving emerges in course of time.

8. Change advocacy requires networking among like-minded groups and institutions. In some cases, institutional linkages may have to be established with international partners. Individuals, however capable, have a limited role in this whereas institutions have a natural tendency to grow through partnership with others.

9. The theme of change advocacy within the conceptual framework of ESP refers basically to developing capacities of (potential) change advocates. The potential to develop oneself through learning is bigger in institutions than in individuals. Besides, institutions can show a better 'multiplier effect' in terms of disseminating knowledge and information. They can also be expected to engage in grooming their people for future leadership. This is related to their survival itself. At the individual level, grooming often means threat to the "indispensability" of the leader in question.

10. In terms of legal status, it is more appropriate to deal with institutions. Most institutions are registered either with the District Administration Office or the Company Registrar's Office. The law requires them to adopt standard accounting and auditing procedures. This helps achieve transparency. Law enforcement agencies can easily track them down in case of any untoward behaviour.

11. Change advocates are supposed to influence policy-makers. Influencing policy-makers presupposes some kind of 'collective action'. It must be mentioned here that personal relationship to someone in power is important. Nepal has seen individuals in the past who have had the capacity to effect regime change through their connections to key power holders. With the change to pluralism, it is becoming too difficult a task for an individual.

12. The Nepali intelligentsia is a highly politicised. Even widely recognised professionals are supposed to be actively linked to one or the political party (for example, one private clinic run by a renowned doctor takes at least two patients on recommendation from a particular political party). The reason is that political patronage is essential for good professional opportunities. The party loyalty is dependent on what the party leadership offers in terms of material benefits. Should that not happen, loyalty changes. This is why one often comes across ideological shifts among influential personalities. Promoting individuals as change advocates is in this sense risky. One can cite several examples of pro-change individuals becoming *status quoists* overnight. This does not mean that institutions are free from political preoccupations. They offer an advantage over individuals in the sense that a somersault in their position is not as easy as in the case of individuals.

Next steps

13. ESP stands before an output-to-purpose review. This should be seen as an opportunity to rethink on the approach to change advocacy. In other words, change advocacy needs to be promoted through change-oriented institutions.

14. One of the major challenges would then be the identification of institutions ESP wants to work with. There are a large of number of NGOs and consultancy firms registered as 'companies'. Only a few of them are capable of undertaking advocacy functions. The first step would therefore be a rapid survey of potential institutions.

15. In the mean time, ESP's satellite projects are developing both in strength and coverage. They need to be encouraged and supported for change advocacy. The second step should involve undertaking an assessment of what they can do in terms of pro-poor change in different areas of governance.

16. Once partner institutions have been identified, priority areas for change advocacy should be worked out with involvement of relevant stakeholders. DFID's policies in general and the Country Programme in particular should also be referred to in this exercise. Based on this work, selected institutions should be asked to come up with practical plans on pro-poor change in governance. If they stand ESP's scrutiny, ESP should support them with an in-built mechanism (which needs to be developed) for follow up and monitoring.

Annex 2**LOGFRAME ALTERNATIVES Version One**

Narrative Summary	Objective Verifiable Indicators	Means of Verification	Assumptions and Risks
GOAL:			
Improved pro-poor governance in Nepal	Poverty reduction indicators positive	HMGN reports Independent reports Donor reports Participatory governance assessment	
PURPOSE:			
Improved change advocacy by Nepalis in respect of pro-poor governance	Five annual pro-poor governance advocacy programmes initiated Incorporating relevant lesson learning and improved understanding	Media reports Independent reports Advocacy programme evaluation reports Output/purpose review	Main power holders are eventually susceptible to pressure for change Political situation does not deteriorate such that effective government ceases
OUTPUTS:			
<p>1. Lesson learning from effectively monitored pro-poor governance projects that have been home-grown by Nepalis</p> <p>2. Better practical understanding of pro-poor governance issues by Nepali and other stakeholders through exploratory and research activities</p> <p>3. Effective Nepali partnerships/ consortia developed supporting pro-poor governance reform</p>	<p>1.1 Ten home-grown pro-poor governance projects incorporating a lesson learning process approved by DFIDN annually</p> <p>1.2 Annual lesson learning reports produced through monitoring process for all projects</p> <p>2.1 Twenty pro-poor governance exploratory and research activities undertaken annually with the outcomes incorporated into an effective dissemination strategy</p> <p>2.2 Favourable evaluation by stakeholders of outcomes of activities</p> <p>3.1 Five partnerships/ consortia developed and given support to design and implement a programme advocating pro-poor governance reform</p>	<p>DFID approved submissions Project reports ESP reports</p> <p>Activity reports Event evaluation reports Literature evaluation reports ESP reports</p> <p>Consortia reports Media reports ESP reports</p>	<p>Sufficient Nepali individuals/ institutions come up with project ideas, commit to develop them, and then learn from them</p> <p>Enough competent people are available to undertake exploratory and research activities</p> <p>Nepalese key players/ institutions willing to act as change advocates</p>

Narrative Summary		
ACTIVITIES:	INPUTS	COSTS:
<p>1. <u>Lesson Learning</u></p> <p>1.1 Determine ESP governance area focus and timeline 1.2 Seek project ideas 1.3 Select working partners 1.4 Undertake exploratory work 1.5 Develop concept notes and seek approval 1.6 Develop project document and seek approval 1.7 Launch project and monitor process 1.8 Prepare six-monthly monitoring reports 1.9 Produce annual lesson learning report 1.10 Disseminate lesson learning</p> <p>2. <u>Better Practical Understanding</u></p> <p>2.1 Determine ESP governance area focus and timeline 2.2 Determine dissemination strategy 2.3 Determine exploratory activities/research areas 2.4 Select working partners 2.5 Undertake exploratory activities/research work 2.6 Monitor progress 2.7 Produce exploratory activity outputs 2.8 Produce research publications 2.9 Disseminate outputs and publications 2.10 Run workshops and seminars with partners</p> <p>3. <u>Partnerships / Consortia</u></p> <p>3.1 Determine ESP governance area focus and timeline 3.2 Determine partner/consortia strategy 3.3 Determine specific working areas 3.4 Select working partners/consortia members 3.5 Develop advocacy programme 3.6 Implement advocacy programme 3.7 Monitor progress 3.8 Produce evaluation report</p>	<p>Professional expertise Technical support Equipment</p>	<p>Over XX years</p> <p>Year 1 NR Year 2 NR Year 3 NR Year 4 NR Year 5 NR Year 6 NR</p> <hr/> <p>Total NR</p> <p>Year 1 £ Year 2 £ Year 3 £ Year 4 £ Year 5 £ Year 6 £</p> <hr/> <p>Total £</p> <p>SEE PROJECT BUDGET FOR FURTHER DETAILS</p>

LOGFRAME ALTERNATIVES: Version Two

Narrative Summary	Objective Verifiable Indicators	Means of Verification	Assumptions and Risks
GOAL:			
Improved change advocacy by Nepalis in respect of pro-poor governance	A number of pro-poor governance advocacy programmes initiated Incorporating a better practical understanding of governance issues	HMGN reports Independent reports Media reports Donor reports Advocacy programme evaluation reports	
PURPOSE:			
Better practical understanding of pro-poor governance issues by Nepali and other stakeholders	Lesson learning from project disseminated Analysis from exploratory activities and research work disseminated Partnerships/ consortia formed to follow through on lessons learned	Independent reports Media reports Donor reports Output/purpose review	Nepalese key players/ institutions willing to act as change advocates Political situation does not deteriorate such that effective government ceases
OUTPUTS:			
1. Home-grown pro-poor governance projects that provide learning opportunities for governance reform 2. Lesson learning from effectively monitored pro-poor governance projects is widely disseminated to all stakeholders 3. Exploratory activities and research work on pro-poor governance completed and results analysed 4. Effective Nepali partnerships/ consortia developed supporting pro-poor governance reform	1.1 Ten home-grown pro-poor governance projects incorporating a lesson learning process approved by DFIDN annually 2.1 Annual lesson learning reports produced through monitoring process for all projects 3.1 Twenty pro-poor governance exploratory and research activities undertaken annually with the outcomes incorporated into an effective dissemination strategy 3.2 Favourable evaluation by stakeholders of outcomes of activities 4.1 Five partnerships/ consortia developed annually and given support to design and implement a programme advocating pro-poor governance reform	DFID approved submissions Project reports ESP reports Project lesson learning reports Independent reports ESP reports Activity reports Event evaluation reports Literature evaluation reports ESP reports Consortia reports Media reports ESP reports	Sufficient Nepali individuals/ institutions come up with project ideas, and commit to develop them, and then learn from them Key players/ institutions take on board lessons learned Enough competent people are available to undertake exploratory and research activities Sufficient individuals/ institutions are willing to work in partnerships/ consortia for governance reform

Narrative Summary		
ACTIVITIES:	INPUTS	COSTS:
<p>1. <u>Home-Grown Projects</u></p> <p>1.1 Determine ESP governance area focus and timeline 1.2 Seek project ideas 1.3 Select working partners 1.4 Undertake exploratory work 1.5 Develop concept notes and seek approval 1.6 Develop project document and seek approval 1.7 Launch project and monitor process 1.8 Prepare six-monthly monitoring reports</p> <p>2. <u>Lesson Learning Dissemination</u></p> <p>2.1 Determine lesson learning methodology 2.2 Undertake lesson learning process and analysis 2.3 Prepare focused lesson learning reports 2.4 Disseminate lesson learning 2.5 Run workshops and seminars with partners</p> <p>3. <u>Exploratory Activities and Research Work</u></p> <p>3.1 Determine ESP governance area focus and timeline 3.2 Determine dissemination strategy 3.3 Determine exploratory activities/research areas 3.4 Select working partners 3.5 Undertake exploratory activities/research work 3.6 Monitor progress 3.7 Produce exploratory activity outputs 3.8 Produce research publications 3.9 Disseminate outputs and publications 3.10 Run workshops and seminars with partners</p> <p>4. <u>Partnerships / Consortia Development</u></p> <p>4.1 Determine ESP governance area focus and timeline 4.2 Determine partner/consortia strategy 4.3 Determine specific working areas 4.4 Select working partners/consortia members 4.5 Develop advocacy programme 4.6 Implement advocacy programme 4.7 Monitor progress 4.8 Produce evaluation report</p>	<p>Professional expertise Technical support Equipment</p>	<p>Over XX years</p> <p>Year 1 NR Year 2 NR Year 3 NR Year 4 NR Year 5 NR Year 6 NR</p> <hr/> <p>Total NR</p> <p>Year 1 £ Year 2 £ Year 3 £ Year 4 £ Year 5 £ Year 6 £</p> <hr/> <p>Total £</p> <p>SEE PROJECT BUDGET FOR FURTHER DETAILS</p>

Annex 3
ENABLING STATE PROGRAMME
 ...towards 'pro-poor' governance in Nepal
ESP PUBLICATIONS

Date	Title	Author	Type	Publisher	Language	Copies (distributed)
05/00	Nirbachan 2056: Medialine's Election E-bulletin	Medialine	Book 329 pp	Medialine	English	1,000 (995)
08/00	Good Governance In Nepal: Perspectives from Panchthar and Kanchanpur Districts.	B Shrestha	Book 128 pp	RDF	English	1,000 (1,915)
08/00	<i>Nepalma Sushanan: Panchthar ra Kanchanpur Jilharuko Adhyayanko Adharma Garieko Samichhya</i>	B Shrestha	Book 159 pp	RDF	Nepali	2,000 (999)
11/00	Women Empowerment: Socio-cultural Change and Economic Empowerment of Women in Nepal	ESP	Report 30 pp	ESP	English	2,000 (1,743)
01/01	The Enabling State Programme: Launch and Introduction	ESP	Video 35 m	ESP	English + Nepali	50 (50)
06/01	Nepal's Penal System: An Agenda for Change	CVICT	Book 156 pp	CVICT	English	1,500 (1,360)
07/01	Good Governance in Karnali	KIRDARC	Video 40 m	KIRDARC	English	100 (100)
09/01	Pro-Poor Governance Assessment Nepal	ESP	Book 252 pp	ESP	English	1,000 (725)
09/01	Pro-Poor Governance Assessment Nepal: Summary	ESP	Book 69 pp	ESP	English	2,000 (1,348)
09/01	<i>Nepal Garibmukhi Shashan : Ek Mulyankan</i>	ESP	Book 256 pp	ESP	Nepali	1,000 (610)
09/01	<i>Nepal Garibmukhi Shashan : Ek Mulyankan: Sarasanchepa</i>	ESP	Book 73 pp	ESP	Nepali	2,000 (1,585)
09/01	ESP Update	ESP	News 8 pp	ESP	English	2,000 (1,800)
09/01	Adhyabadhik	ESP	News 8 pp	ESP	Nepali	3,500 (1,900)
03/02	<i>Bhrastacharko Shalyakriya (Anatomy of Corruption)</i>	HB Thapa	Book 183 pp	S Thapa	Nepali	1,000 (999)
04/02	<i>Nepali Dandapranali: Paribartanko Bishaybastuharu</i>	CVICT	Book 146 pp	CVICT	Nepali	2,000 (1,979)
10/02	Anatomy of Corruption	HB Thapa	Book 149 pp	S Thapa	English	1,500 (1,119)
0/02	<i>Karnalima Susashan</i>	KIRDARC	Report 72 pp	KIRDARC	Nepali	1,000 (860)
08/02	Governance in the Karnali: An Exploratory Study	KIRDARC	Report 60 pp	KIRDARC	English	1,000 (829)
01/03	Mother, Sister, Daughter - the violence they face	Sancharika Samuha	Video 30 m	Sancharika Samuha	Nepali + English sub-titles	TBD

Annex 4
ENABLING STATE PROGRAMME
 ...towards 'pro-poor' governance in Nepal
ESP WORKSHOPS

Date	Workshop Theme	Partner Organisations	Attendance
29.11.01	Pro-Poor Governance Assessment of Nepal	ESP	32
03.01.02	Prison Reform in Nepal	ARC-Nepal	61
25.03.02	Agenda for a Media Strategy	PCN/FNJ/DOI/Medialine	53
13.04.02 14.04.02	Strengthening the Public Account Committee	PAC and Westminster Foundation for Democracy	41
19.05.02	Public Service Delivery in Nepal - Challenges and Opportunities	Public Administration Association of Nepal (PAAN)	62
29.05.02	Improving Pro-Poor Governance in HMGN Agencies	Nepal Administrative Staff College (NASC)	44
31.05.02	State of Governance in Karnali	KIRDAC	32
28.06.02	Financial Devolution to Local Bodies.	National Association of Village Development Institutions in Nepal (NAVIN)	59
21.08.02	Conflict Affected People and the Future for Victimised Children	Social Awareness and Helping Activities in Rural Areas (SAHARA)	65
30.08.02 31.08.02	Agenda Setting on Penal Reform in Nepal	PRI and Department of Prison Management	31
15.10.02	Conflict between Civil Society and Human Rights Activists	NGO Federation	55
21.11.02 23.11.02	Development in Current Conflict Climate	NGO Federation	111
27.12.02	Conflict Reporting by the Media	CHRHL Kathmandu	22
05.01.03 06.01.03	Community Mediation in Nepal - Possibilities and Challenges	CVICT, Nepal	45
18.01.03	Building Support for and Reducing Hindrances to Dialogue with the Maoists	Foundation for Parliamentary Studies and Development	35
10.02.03	Anti-Corruption Strategies for the Prime Minister's Office	Centre for Administration, Management and Development	30 <i>invited</i>
		TOTAL	778



ENABLING STATE PROGRAMME

...towards 'pro-poor' governance in Nepal

ESP INDIVIDUAL CONSULTANTS

SN	Consultant	Topic
1	Sudhindra Sharma	Change Advocates
2	Roshan Bhandary	Enhancing Women's Political Participation
3	Surya Prakash Shrestha	Governance Assessment
4	Dhruba Shrestha	Political Systems
5	Keshab Poudel	Media and Open Government
6	Sri Ram Poudyal	Private Sector Development
7	Hiramani Ghimere	Pro-Poor Policies and Service Delivery
8	Sapana Pradhan-Malla	Access to Justice and Honest Accountable Government
9	Surendra Bhandari	National Security and Conflict Resolution
10	Kapil Tamot	Media and Communication
11	Chandra Bhadra	Women Empowerment Strategy
12	Jit Bahadur Gurung	Dalit and Other Disadvantaged Groups Empowerment
13	Hari Bahadur Thapa	Corruption
14	Rajiv Bikram Rana	Civil Service Reform
15	Ram Bhakta Shrestha	ESP Retreat
16	Ark Timilsina	Dalit Empowerment
17	Deepak Thapa	Maoist Conflict
18	Usha Maskey Manandhar	Women Development
19	P.L. Shrestha	Nepal Police Project
20	Aditya Man Shrestha	Institutional Strengthening Media Organisations
21	Hem Bahadur Bista	Conflict Reporting by the Media
22	Vinaya Kumar Kasajoo	Giving Voice to the Poor through the Media
23	Gokul Prasad Pokhrel	Updating Legislative Framework of the Media
24	B.K. Rana	Disadvantaged People in Dang Valley
25	Ganga Jung Thapa	Institutional Strengthening Media Organisations
26	Gopal Guragain	Giving Voice to the Poor through the Media
27	Binod Bhattarai	Conflict Reporting by the Media
28	Rajendra Dahal	Conflict Reporting by the Media
29	Manju Thapa	Giving Voice to the Poor through the Media
30	Shiv Gaunle	Updating Legislative Framework of the Media



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ESP CONSULTANT ORGANISATIONS

SN	Organisation	Topic
1	CVICT Nepal	Penal Reform
2	LEADERS Nepal	HRD in Judiciary
3	FOND	Public Private Partnerships
4	RSDC	Self Reliant Development
5	CEGG - Nepal	Capacity Building of NAVIN
6	FDM	Strengthening of NGO Federation
7	KIRDARC	Local Governance in Karnali
8	IHRICON	Women's Political Involvement
9	Team Nepal	E-governance in Mechi
10	IDA	Change Advocates
11	FNCCI	WTO Membership
12	SGPL	Public Private Partnerships
13	ARC-Nepal	Prison Reform
14	Medialine	Developing Media Strategy
15	AMPA	Strengthening CDPA
16	NASC	Strengthening DWD
17	HURDEC	Strengthening Kavre DDC
18	Bajracharya Associates	PMO Modernisation
19	IOG	Illam District Survey
20	ODC	Kailali District Survey
21	IFDS	Policy Studies Institute
22	NAVIN	VDC Service Delivery
23	CSRC	Land Rights Advocacy
24	HELPLINE	Investigative Journalism
25	MSI	Media Strengthening
26	CVICT Nepal	Alternative Dispute Resolution
27	CAMAD	PMO Role to Eradicate Corruption
28	COMPRO	ESP Information System Development
29	PRI	Penal Reform



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ESTABLISHING AN ESP PRESENCE OUTSIDE KATHMANDU

Paragraph 4.1.6 of the Enabling State Programme document states “the *ESP office* will consider how to establish an ESP presence outside Kathmandu. This will either take the form of an ESP cell and/or an ESP peripatetic unit. This will gather ideas on governance issues from outside Kathmandu and seek out potential ESP exploratory activities from local agencies such as DDCs.”

Immediately after its launch ESP began the process of establishing a number of peripatetic units (ESPPUs). The first four ESPPUs were established in Ilam, Danusha, Kailali and Makwanpur districts in January 2001. The operational management of the ESPPUs was contracted to consultants working to ESP specifications. Two stages of work were envisaged.

Stage One involved an initial assessment of governance awareness, identifying ways to raise governance awareness, and recording perceived governance problems. This initial work identified the following areas of governance needing improvement:

- local people, especially the poor and vulnerable, have little access to information;
- there is inadequate participation, especially by the poor and vulnerable, in decision making;
- the decision making capabilities of governmental and non-governmental development organisations is often weak;
- shortcomings in the value systems, vision, performance and working procedures of these organisations often leads to them failing to properly implement decisions;
- the outcomes of development projects are usually not properly reviewed and therefore organisations fail to learn from their experiences. Where monitoring does take place the poor and vulnerable are rarely consulted.

Subsequently, a plan was drawn up to undertake ESPPU functional activities during a second stage of operation. Stage Two aimed to focus on:

- Helping local communities/organisations/agencies, generate project ideas;
- Supporting local communities /organisations/agencies to develop projects;
- Encouraging the emergence of governance change advocates.

ESP planned to undertake Stage Two activities from November 2001 in the four districts based on to-be-agreed work plans drawn up by the consultants. However, because of the imposition of the state of emergency that month the decision was made to put these second stage activities on hold until a clear picture of the implications of the state of emergency became clear. Between November 2001 and April 2002 the situation was regularly reviewed. It became apparent that in conflict affected areas establishing new entities involving gatherings of a significant number of people was not viable. As a consequence, ESP took the decision instead to work

through local organisations already established in the community rather than develop new ESP entities.

Around the same time as the rethink on ESPPUs was taking place ESP was supporting as an exploratory activity the work of a community enabling centre (CEC) in Syangja district. The centre was functioning as an interface between citizens and service delivery agencies based primarily at the district headquarters. A preliminary assessment established that the community enabling centre contributed to improved service delivery, particularly to the poor. ESP decided to expand the exploratory work to cover a wider range of districts. Currently, as well as Syangja district, community enabling centres are operating in Makwanpur, Jhapa, Kailali and Baglung districts. The centres are managed by local people and apart from providing improved service delivery they provide a facility where members of the community can gather and discuss matters of concern. The centres therefore provide an ideal mechanism for ESP to establish a presence outside of Kathmandu. Planning is now underway to see how best this opportunity can be exploited, including the possibility of establishing community enabling centres in other districts.

NOTE: The reference to establishing a presence outside Kathmandu was included in the programme document because there was concern that ESP would be overly Kathmandu centred. Interestingly out of the around 600 project ideas submitted to ESP in its first eighteen months, some 40% came from outside of Kathmandu. In addition, it should be noted that a number of the satellite projects developed through the ESP process focused exclusively on districts away from the centre (Community Mediation Project, District Periodic Planning Project, and Self-reliant Development of the Poor by the Poor Project). In addition many exploratory activities and mini-projects have taken place in districts. In total ESP is working or has worked in 40 of the 75 districts (see **Annex 9**). The original concern has therefore proved somewhat unwarranted.



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Improving Service Delivery at the Local Level through Community Enabling Centres

Background

1. ESP has been supporting five initiatives (action research) in improving service delivery at the local level. Each of the five implementing agencies is running community enabling centres at the VDC level. They function as an interface between citizens and service delivery agencies based primarily at the district headquarters. Preliminary assessments, including through field visits, have established that community enabling centres have the potential to contribute to improved service delivery, especially for those without an easy access to service delivery agencies. Implementing agencies currently engaged are Sahara Group (Syangja), Community Development Organisation (Makawanpur), Sahara Nepal (Jhapa), Sasaktikaran Samaj (Kailali), and Deepjyoti Yuba Club (Baglung). Altogether, they cover 28 VDCs. The five initiatives represent four of Nepal's five development regions. They also represent hill and Terai districts. They form therefore a good sample. If successful, they can provide a "model" of service delivery at the local level (see [Annex 8.1](#) for a brief summary of their activities). They have thus a macro impact potential.

Scope of work

2. As indicated, a community enabling centre functions as a facilitating agency enabling the poor and disadvantaged people to access public services. Basically, it contributes to improving interactions between service delivery agencies and recipients of their services in the community. Very importantly, it also brings the agencies themselves to the village (community) depending upon the 'economies of scale' of proposed services. Alternatively, it collects all 'demands' of specific services from the community and approaches relevant line agencies for action on these demands. In many cases, the people do not have to go to the district-based agencies to get things done. This means a significant saving of both time and money. In addition, people are spared the harassment one would normally have to face in many government offices. The range of primary services of the community enabling centre includes, for example,

- a. Obtaining citizenship certificate from the District Administration Office;
- b. Obtaining passport from the District Administration Office;
- c. Organising the distribution of improved seeds and other agricultural extension services through the District Agricultural Office;
- d. Obtaining land ownership certificate, including transfer of land ownership (after a land transaction), from the Land Revenue Office;
- e. Disseminating information on services provided by service delivery agencies in the government and non-government sectors (together with the 'terms and conditions' of specific services);
- f. Organising soil tests through agricultural extension services; and
- g. Organising veterinary services on a periodical basis

3. These services help to curb corruption, especially petty corruption. Further, it makes the access to services easier. Three things are important for an easy access to government offices. They are "speed money", connections, and *afno manchhe*. It is often the poor and otherwise disadvantaged people who lack each of these factors. They become therefore the victims of the "come tomorrow" culture. In such cases, people tend to use the services of "middlemen", who may charge unacceptable fees. Again, it hits the poor hard.

4. The community enabling centres are engaging themselves not only in facilitating the work and expediting the process but also in securing citizens' rights. As a result, public-sector agencies have to respond positively to the Centre's activities.

Need for a widened mandate

5. The current scope of work for community enabling centres needs to be widened. Their involvement in service delivery should also mean economically beneficial services to the poor and disadvantaged. The widened scope for community enabling centres should include some economic instruments that directly address poverty issues at the community level. The following points may justify this position.

- a. ESP's main objective is to facilitate change to pro-poor governance. The term 'pro-poor' implies, according to ESP's project document, 'pro-growth' (paragraph 1.1.1). In other words, improvements in governance systems and institutions should be combined with activities that are directly linked to poverty reduction.
- b. There is a growing realisation among Nepal's donors that the rights-based approach to development, which encompasses long-term measures, should also take into account the immediate and pressing needs of the poor and disadvantaged communities. The problems of freed Kamaiyas show that rights-based measures can become unmanageable unless they are coupled with basic economic services, including income generating activities.
- c. Exclusion from basic economic opportunities has been recognized as one of the major causes of the present conflict. From this point of view, addressing the conflict involves, among others, enhancing economic opportunities for marginalized communities.
- d. A huge outflow of people from rural areas is taking place. The generally poor status of public services in rural areas has been further weakened by the conflict. As a result, people are moving out either to urban centres, or to India. Managing the 'internal refugees' is thus becoming a serious problem. The appropriate response to this problem would be to engage in promoting opportunities on site.
- e. A considerable number of CBOs and NGOs are operating in rural communities. Community development, infrastructure building, micro-finance, awareness promotion, and health services are some of the areas they are working in. These agencies are also cooperating with government agencies and other partner institutions. The community enabling centres can draw on their resources. This not only enables them to implement service delivery projects but also enhances institutional capacity at the community level.

- f. Economic services combined with other 'empowerment services' can contribute to achieving sustainability of project initiatives. Many economic activities start paying off after some time. Financing development activities through mobilizing local resources (e.g., user charges) becomes a practical option in these services.
- g. No readymade package of development activities is being proposed here. The range of activities will depend upon community priorities, and also on local 'endowments'. These will be identified through appropriate research instruments, such as PRA. Interestingly, some of the community enabling centres are already doing PRA in the respective VDCs. A gradual approach would be taken in designing and implementing services for them.
- h. ESP's pro-poor governance agenda includes promoting locally initiated ideas on improving the quality of governance from poor people's perspective. Based on this, ESP was keen on setting up ESPPUs (ESP Peripatetic Units) at the local level. Four districts (Kailali, Makawanpur, Dhanusha, and Ilam) were selected to start with. ESPPUs aimed to work with community groups at the local level, including the poor, marginalised, and socially excluded. After phase I, which identified governance problems and practical ways to address them, the idea had to be abandoned because of the worsening security situation in the country. The community enabling centres have the potential to revive the ESPPU idea. In this context, they would need some additional inputs in terms of training and other capacity enhancement measures. ESP could manage them without much extra burden on its resources.

Next steps

- 6. To implement this concept, ESP needs to:
 - a. Check whether the proposed mandate for community enabling centres would be compatible with DFIDN's country assistance strategy (CAP) being finalised now;
 - b. Discuss these issues during ESP's upcoming OPR; and if agreed;
 - c. Work out a plan of action involving all community enabling centres for (i) short-term and (ii) long-term interventions.

Annex 8.1**Community Enabling Centres - Summary of Activities****Situation assessment:**

- Information collection from VDCs and District Level offices about the enabling services they provide
- Strength, weakness, opportunity and threat (SWOT) analysis at the community level.

Orientation and sensitisation of project activities:

- Conducted interaction at district, VDCs and community level about the objective of Community Enabling Centres. Major participants were DDC personnel, CDO, District Agriculture Office, District Livestock Office, District Veterinary Office, local NGOs and CBOs.
- Visited the related offices personally and explained about the exploratory activities.
- Undertook advocacy to implement HMGN decision to establish citizen charter at district offices.
- Circulated information materials to wide sections of the population.

Networking:

- Formation of district advisory committees.
- Interaction and district level workshop with HMGN service agencies and local people.

Community participation:

- Established community enabling centres comprised of 7-11 executive members represented from various local institutions, social workers, indigenous peoples, teachers, and VDC representatives.
- Organised local level orientation training on managing CEC for local people represented at CEC.
- Started collecting of fund through membership fees and nominal service charges.

Types of services:

- Linkage with services from district line agencies particularly for agriculture and livestock development.
- Collection of demands at local level for different nature of public services and deliver through collective efforts.
- Organisation of social events for awareness raising such as cleaning campaign, literacy campaign for children, etc.

Documentation and Dissemination:

- Preparation of VDC profile, profile of agencies involved in the district, SWOT analysis, CEC guidelines etc.
- Preparation of progress report and dissemination of lesson learnt.

Annex 9**DISTRICTS OUTSIDE KATHMANDU WHERE ESP IS WORKING OR HAS WORKED**

Region	District	Activity	Status
FAR WESTERN (5)	Darchula	SDPPP (RSDC)	Project suspended due to the conflict
	Dadeldhura	Promotion of local level journalism (Helpline)	Ongoing
	Kanchanpur	1. DPP (ADDCN) 2. Media and women (ASMITA) 3. Research on land rights advocacy	1. Project completed 2. EA completed 3. EA completed
	Baitadi	SDPPP (RSDC)	Project suspended due to the conflict
	Kailali	1. ESPPU I (ODC) 2. CEC (STEP Nepal) 3. Media and women (ASMITA) 4. DPP (ADDCN)	1. EA completed 2. EA ongoing 3. EA completed 4. Project completed
MID WESTERN (10)	Humla	Master plan for Karnali Zone (NPC, KIRDAC)	Mini-project completed
	Kalikot	Master plan for Karnali Zone (NPC, KIRDAC)	Mini-project completed
	Jumla	Master plan for Karnali Zone (NPC, KIRDAC)	Mini-project completed
	Mugu	Master plan for Karnali Zone (NPC, KIRDAC)	Mini-project completed
	Dolpa	Master plan for Karnali Zone (NPC, KIRDAC)	Mini-project completed
	Surkhet	1. Promoting journalism (Helpline) 2. Research land right advocacy	1. EA ongoing 2. EA completed
	Salyan	Promotion of local level journalism (Helpline)	EA on going
	Banke	1. Media issues relating to women (ASMITA) 2. Video doc on violence :women issues (SS)	1. EA completed 2. EA completed
	Dang	1. Media and women (ASMITA) 2. Research on land right advocacy (CSRC) 3. Disadvantaged people in the Dang Valley (BKR)	1. EA completed 2. EA completed 3. EA completed
	Pyuthan	DPP (ADDCN)	Project completed
WESTERN (8)	Mustang	DPP (ADDCN)	Project completed
	Kaski	Media issues relating to women (ASMITA)	EA completed
	Gorkha	DPP (ADDCN)	Project completed
	Parbat	Research on land right advocacy (CSRC)	EA completed
	Baglung	CEC (DYC)	EA ongoing
	Syangja	CEC (SAHARA Group)	EA ongoing
	Kapilbastu	1. Promoting local journalism (Helpline) 2. Research on land right advocacy (CSRC)	1. EA ongoing 2. EA completed
	Rupandehi	Media issues relating to women (ASMITA)	EA completed

Region	District	Activity	Status
CENTRAL (8)	Rasuwa	DPP (ADDCN)	Project completed
	Dolakha	1. Promotion of local level journalism (Helpline) 2. Research on land right advocacy (CSRC)	1. EA ongoing 2. EA completed
	Bhaktapur	DPP (ADDCN)	Project completed
	Dhanusa	Video doc on violence :women issues (SS)	EA completed
	Mahottari	Research on land right advocacy (CSRC)	EA completed
	Makawanpur	1. SDPPP (RSDC) 2. ESPPU I (NASC) 3. CEC (CDO)	1. Project ongoing 2. EA completed 3. EA ongoing
	Sarlahi	1. SDPPP (RSDC) 2. ESPPU I (HURDEC)	1. Project ongoing 2. EA completed
	Chitwan	1. Media issues relating to women (ASMITA) 2. Video doc on violence :women issues (SS)	1. EA completed 2. EA completed
EASTERN (9)	Sankhuwasabha	DPP (ADDCN)	Project completed
	Taplejung	1. e-governance (INFOCOM) 2. Promotion of local level journalism (Helpline)	1. Mini-project completed 2. EA ongoing
	Dhankuta	1. DPP (ADDCN) 2. ESPPU I (IOG)	1. Project completed 2. EA completed
	Panchthar	1. e-governance (INFOCOM) 2. Research on land right advocacy (CSRC)	1. Mini-project completed 2. EA completed
	Ilam	1. CMP (CVICT) 2. e-governance (INFOCOM) 3. Media issues relating to women (ASMITA)	1. Project ongoing 2. Mini-project completed 3. EA completed
	Jhapa	1. CMP (CVICT)	1. Project ongoing
		2. e-governance (INFOCOM) 3. CEC (SAHARA –Nepal)	2. Mini-project completed 3. EA ongoing
	Morang	1. Media issues relating to women (ASMITA). 2. Research on land right advocacy (CSRC)	1. EA completed 2. EA completed
	Saptari	CMP (CVICT)	Project ongoing
Siraha	Research on land right advocacy (CSRC)	EA completed	



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GUIDELINES FOR PROJECT MONITORING (PROGRAMME AND FINANCE)

SN	WHAT	HOW	WHEN	WHO
1.	General Progress	provide feedback on quarterly and annual reports, and after field visits and other meetings	quarterly and annually re reports, and within one week of field visits and other meetings	assigned ESP staff to project staff
2.	Logframe	review logframe indicators along with programme impact	quarterly and annually to link in with reports	assigned ESP staff with project staff
3.	Planning	<ul style="list-style-type: none"> • review planned activities vs achievement • attend significant planning meeting • check lessons learned are incorporated into planning 	at least half yearly	assigned ESP staff with project staff
4.	Lesson Learning	<ul style="list-style-type: none"> • interact regularly with project management team • participate in project advisory/ steering committee meetings • attending other formal/informal discussions • disseminate lesson learning to a wider audience 	at least quarterly	assigned ESP staff with project staff
5.	Output-to-Purpose Review	independent review carried under direction of DFIDN	as specified in project document	DFIDN
6.	ESP Relevance	review project contribution to wider ESP agenda	annually	assigned ESP staff and project staff with feedback to DFIDN

PROGRAMME MONITORING:

1. To meet regularly with the project manager to:

- (i) review progress
- (ii) discuss solutions to problems
- (iii) give feedback on periodic (usually) six-month project report
- (iv) provide professional support

Frequency - at the start of a project the meeting could be weekly (depending on circumstances) moving to monthly. Once project is regularised then two-monthly with feedback given every third meeting on the periodic report.

Modus Operandi - project managers must not be micro-managed and must be allowed to determine their own management style and approach. Programme monitoring should not involve a significant increase in paperwork for the project manager. For the review of progress a simple key-point status report should be used (format to be agreed between project manager and ESP). ESP should use the 'deviation approach' - recording only deviations from the project workplan (the original is in the project document although will be revised as the project rolls out). ESP should be 'facilitative' and 'constructive' rather than 'inspectorial' and 'negatively critical'.

2. To attend Project Steering/Advisory Committee to:

- (i) support the project manager
- (ii) explain DFID rules and regulations
- (iii) provide guidance and information

ESP will not vote at any meeting.

3. To assist DFIDN with any 'Output to Purpose' review of the project.

FINANCIAL MONITORING:

1. To meet regularly with the project manager/project accountant to:

- (i) review expenditures submitted to ESP on a quarterly basis to improve efficiency in accounting/financial record keeping in regards to project expenditures.
- (ii) review the asset inventory and make spot checks on a six monthly basis
- (iii) discuss solutions to problems
- (iv) provide periodic, usually quarterly, feedback on financial and inventory reports
- (v) provide professional financial support, if required

Frequency - after ensuring financial accounting and record keeping systems are understood and in place then quarterly meetings will suffice.

Modus Operandi – the project will be directly accountable to ESP which has the responsibility to assess the impact and effectiveness of the project in achieving its goals and targets. ESP and other decision-makers want information on what has, or has not, worked in the course of the project so more informed decisions can be made in the future. Financial monitoring will keep track and assess expenditures to facilitate the programme so that it can progress easily. Monitoring will focus on inputs, outputs, and work plans assessing relevance, impact, and cost-effectiveness. The ESP administrator will lead on financial monitoring discussing findings with the person responsible for programme monitoring.

2. To attend the Project Steering/Advisory Committee to:

- (i) to deputise for the programme monitor
- (ii) to specifically explain DFID financial rules and regulations
- (iii) to provide guidance and information

ESP will not vote at any meeting.

3. To assist DFIDN with any 'Output to Purpose' review of the project.