



STRENGTHENING COMMUNITIES' RESPONSE TO HIV/AIDS (SCRHA)

**TARGETING ECONOMIC STRENGTHENING INTERVENTIONS
TO SUPPORT COMMUNITIES AND PEOPLE AFFECTED BY HIV/AIDS IN
ETHIOPIA**

**ECONOMIC STRENGTHENING
MANUAL FOR CSO ACTIVITIES
Part I: Operational Guide**

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List of Acronyms

AIDS	Acquired Immunodeficiency Syndrome
ANC	Antenatal Care
ART	Anti Retroviral Treatment
BDS	Business Development Services
CBO	Community Based Organization
CHP	Community Health Promoter
CSO	Civil Society Organization
DHS	Demographic and Health Survey
ES	Economic Strengthening
FeMSEDA	Federal Micro and Small Enterprises Agency
GO	Government Organization
HAPCO	HIV/AIDS Prevention and Control Office
HCT	Home-based counseling and testing
HIV	Human Immunodeficiency Syndrome
IGA	Income Generating Activity
IRD	International Relief and Development
I-TECH	International Training and Education Center on HIV/AIDS
MFI	Micro Finance Institutions
M&E	Monitoring and Evaluation
MSE	Micro and Small Enterprise
NIP	National Implementing Partners
NGO	Non Governmental Organization
OVC	Orphans and Vulnerable Children
PATH	Program for Appropriate Technology in Health
PLHIV	People Living With HIV/AIDS
RoSCA	Rotating Saving and Credit Association
SCRHA	Strengthening Community Response to HIV/AIDS Project
TVET	Technical and Vocational Education and Training
USAID	United States Agency for International Development

I INTRODUCTION

I.1 About the Strengthening Community Response to HIV/AIDS Project

Economic strengthening (ES) is a critical component of comprehensive community care that also includes: palliative care, psycho-social and spiritual supports, safe water and nutrition counseling, adherence support, tuberculosis screening and referral, and HIV prevention. It is rooted in the understanding that the community, with appropriate support, has the potential to provide care and support as well as economically empower its members who are affected by the HIV/AIDS pandemic. As such *both the target group and the larger community benefit from the economic empowerment endeavor.*

The USAID/Strengthening Community Response to HIV/AIDS (SCRHA) project aims to tap into this potential by engaging civil society organizations (CSOs) and community-based organizations (CBOs) in economic strengthening activities that benefit PLHIV. An important implementation modality of the SCRHA is grant-giving to CSOs responsible for carrying key activities at the community level. Through the grants program, CSOs will receive targeted technical assistance for the design of appropriate projects and if grants applications are awarded, funding for implementation. Grants will be awarded and managed by SCRHA national partner organizations, referred to as National Implementing Partners (NIPs), which are based in the various regions.¹

I.2 The Purpose of the Economic Strengthening Manual

This *Economic Strengthening Manual for CSO Activities*, also known as the *Economic Strengthening Operational Guide*, is intended to support the preparation of fundable NIP and CSO grant applications for economic strengthening activities under the SCRHA project. It is designed to facilitate the process of developing actionable and evidence-based implementation plans by providing systematic step-wise guidance. As an operational guide, it aims to answer the questions related to how to develop a fundable project.

The information in this guide will provide guidance for three types of activities: 1) activities that aim to increase and protect income, 2) activities that aim to grow and protect assets, and

¹ For information on the grant program see the *PATH/SCRHA Section A Grant Applicant & Recipient Handbook (date)*.

3) social assistance activities. This information can be used to develop activities at the community level, as well as activities that are more appropriately targeting *woreda* or regional levels and involve the coordination and engagement of multiple CSOs under the leadership of a NIP.

Technical details about these types of activities and specific examples are explained in the *SCRHA Economic Strengthening Technical Reference Manual*. As a technical reference, it cites existing resources that are available to CSOs as they design and implement their projects. The Manual is intended to be updated and tailored to the specific regions and districts where the CSOs operate. As such, the Manual can also be used to facilitate referrals by lay volunteers to the individuals and households they support.

1.3 Intended Users of this Guide

The primary intended users of this guide are the Economic Strengthening focal persons for participating NIPs and CSOs that plan to submit a grant application under the SCRHA project. These focal persons may be known as the ES generalist. Others who wish to improve their economic situation may also benefit from the use of this guide and its companion document even though they may not be participating directly in the SCRHA project. We hope that these materials will be useful beyond the immediate programming of the SCRHA project.

1.4 How to Use this Guide for SCRHA Grant Application Preparation

For the first cycle of subgrant-making (project year 1), SCHRA will provide a shortlist of prequalified CSOs that have been vetted by SCRHA, the Ministry of Health, HAPCO, and the SCRHA's NIPs. The SCHRA program will also provide scopes of work the NIPs. Progress indicators will be included. The NIP will give each of its CSOs the applicable scope of work to enable the CSO to prepare an application for a subaward from the NIP. Also, working with the NIP, the SCRHA will conduct subgrant application workshops to further enable the CSOs to complete its applications.

In the future, the CSO may prepare a two-page concept note that will be reviewed and commented on by the evaluation committee, and once the concept is approved you will be asked to submit a full application. You may want to follow the concept paper approach when

there is some uncertainty about the proposed ideas or if you are not sure what kind of grant would be the most appropriate².

Regardless of the approach you take, or the type of grant you ask for, you are required to develop project descriptions and detailed implementation plans as part of their application. As it forms the primary source of information for evaluation of the Application, it is important that the implementation plan be complete and well developed.

This guide is organized to support the step-wise completion of Section II “Project Description” and Section III “Project Implementation Plan” of the application. As applicants work through sections of this guide, they will be able to complete the application form.

1.5 You Are Not Alone

The technical assistance will be provided by SCRHA project staff directly to NIPs and through NIPs to CSOs. In some cases assistance can be provided directly to CSOs. The NIPs and CSOs will also work closely with government structures from the federal to the kebele levels. They will coordinate and collaborate with any locally operating community based organizations (CBOs) and NGOs engaged in relevant and can be leveraged to the mutual benefit of SCRHA project objectives and those of these other organizations. Table I presents the roles of the various actors involved in the SCRHA grants program specifically for economic strengthening activities. Figure I illustrates the structure of the program.

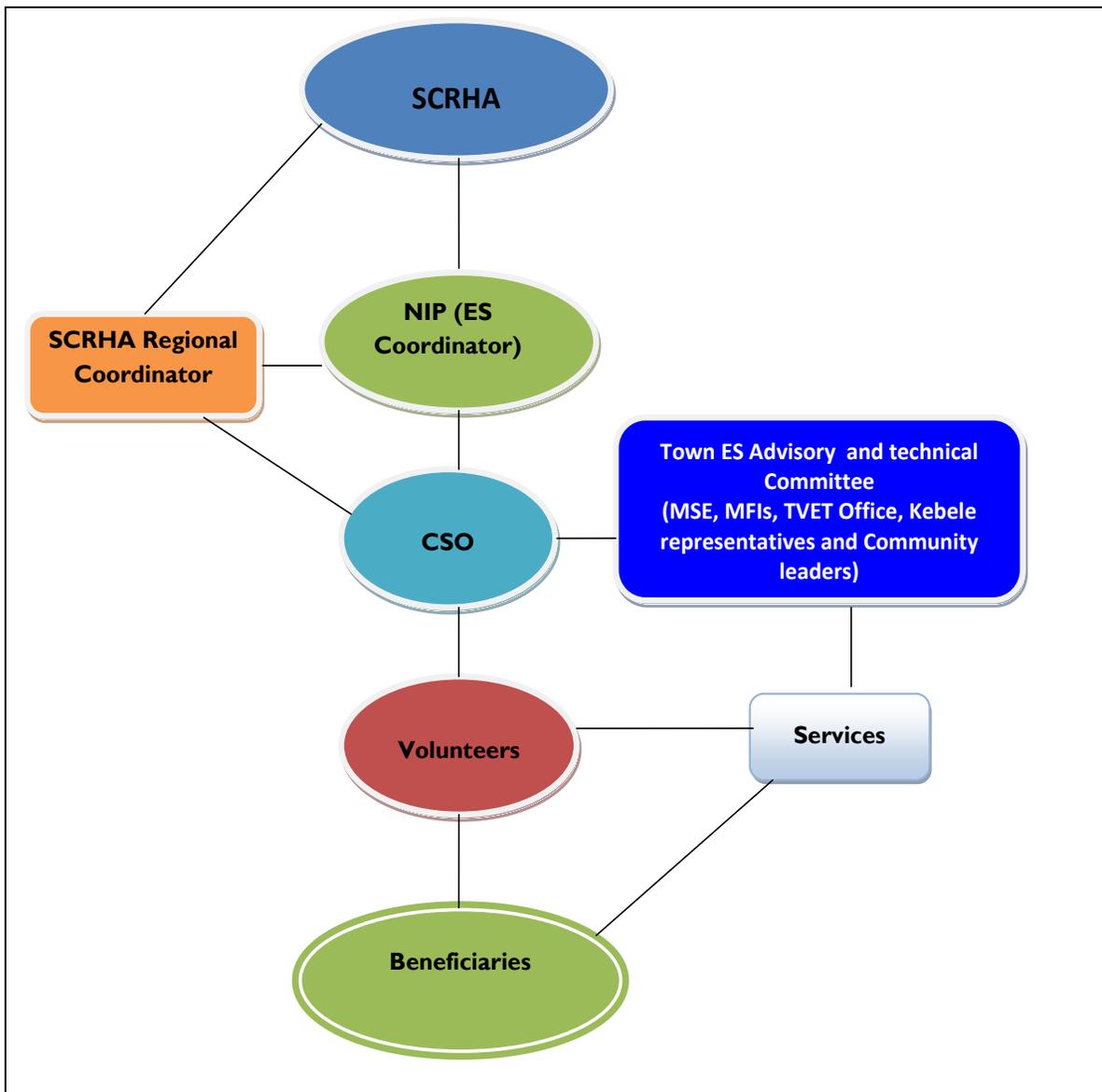
Table I. Roles of SCRHA Grants Partners

SCRHA	<ul style="list-style-type: none"> • Provide operational guidance • Provide technical assistance and training to NIPs and CSO • Provide grants to NIPs and selected CSOs • Conduct regular monitoring of NIP and CSO project • Facilitate coordination among NIPs and federal and regional agencies
NIPs	<ul style="list-style-type: none"> • Provide training for grant management and application • Provide supportive supervision and report • Technical and financial support through grants to CSOs • Partnership, coordination and networking • Identify linkages to loans, markets, and skills training opportunities
CSOs	<ul style="list-style-type: none"> • Coordinate with Kebele Committees • Participate in the development of Community Action Plans

² There are three types of grants: Standard Project Grants, Simplified Grant, and Fixed Obligation. See the PATH/SCRHA Section A Grant Applicant and Recipient Handbook for details.

**House-holds/
Beneficiaries**

- Beneficiary selection
- Identify and mobilize volunteers
- Identify and pursue cost share opportunities
- Ensure the provision of training /consultation to beneficiaries
- Create linkages with local credit institutions and other relevant agencies
- Organize consultative workshops and different ES events.
- Participate in experience sharing among CSOs, partners and individuals
- Compile regular monthly, quarterly, bi-annual and annual activity reports
- Commit to proposed activities
- Implement their business plans, including participation in training
- Manage the resources wisely
- Report results



2 BACKGROUND

In this section, you will learn about why we are concerned with strengthening the economic situation of PLHIV, their families and communities and why the SCRHA is working through CSOs. You will understand how these people can succumb to poverty when they did not start there, and why it is increasingly important that those who are receiving treatment and responding well need additional supports to ensure a decent quality of life.

2.1 Why address economic strengthening with health issues?

Research findings³ reveal that, in general, people living with HIV/AIDS:

- experience higher levels of personal poverty than HIV/negative people,
- suffer higher levels of household poverty than HIV negative people,
- experience lower standards of living than HIV negative people.

While poverty has always been a challenge in Ethiopia, HIV exacerbates the situation for those already living in poverty or on the brink of poverty. For People Living with HIV/AIDS (PLHIV), their plight is particularly grave as their involvement in the labor market is decreased due to physical fitness, stigma and discrimination. Indeed, HIV/AIDS affects the entire family of the infected individual as caregivers are often not able make up for the lost income.

Ultimately, the entire community is impacted.

Poverty further alienates, mitigates, subjugates and negates the abilities of PLHIV to access health services, earn a living wage, and be a productive member of society.

There are many reasons why PLHIV and their families slide deeper into poverty beyond loss of employment. Some spend large amounts of money on health services and medicines in order to be ‘cured’ of HIV. HIV positive parents may not be able to work at the same level and assets may have been sold to address cash flow needs. The feminization of HIV is starkly

³ J.O.Ezeokana, O.A.U. Nndeem and S.N. Madu, Pervasiveness of Poverty among People Living with HIV/AIDS in South Eastern Nigeria, 2009.

evident in these households. Often, the parent who survives (but may be living with HIV) is the mother, economically vulnerable herself by being a woman.

While it is also true that many more infected people are surviving because of increased access to treatment, the implication is that they will continue to require livelihoods and resources for longer periods of time. And while it may be that they are not as productive as they once were, they can still be productive members of their communities. But this will require that they must be identified early on in their disease progression, start treatment and remain on it for the duration. As such, it is reasonable to link health services with economic strengthening services as they reinforce each other and strengthen the potential impact of each for the benefit of PLHIV.

2.2 Why work through community/civil society organizations?

The Government of Ethiopia recognizes the great potential of communities to support the realization of various national social and developmental goals. Communities are valued as pools of human and financial resources that are to be tapped and cultivated. Operationally this occurs through the National Planning Process. The National Planning Process reflects the decentralization of many government functions. It aims to focus identification of local development priorities and locally appropriate solutions. In this process, the *kebele* is the administrative planning unit closest to the community. Still not completely implemented in all areas of the country, the process requires that each *kebele* prepare its own plan which is aggregated at the *woreda* level to form the *Woreda* Development Plan. The *woreda* level plans, in turn, are aggregated to form the regional plan. Trans-*kebele* development plans are handled by the *woreda* and trans-*woreda* development activities are handled by the regional states. NIPs and CSOs have a role in the preparation of these local level plans.

As members of the communities they serve, united by a common interest, the NIPs and CSOs that are engaged with the SCRHA project are well positioned to push forward the implementation of such plans and policies in support of improving the situation of PLHIV. Unfortunately, many such organizations do not have sufficient experience, skills, or knowledge to take advantage of the services that may be available to them. Stigma and discrimination add additional hurdles and barriers to economic strengthening opportunities. The SCRHA project

aims is to strengthen the capacity of NIPs and CSOs to effectively and efficiently realize their full potential to support the communities they serve.

2.3 Types of economic strengthening activities

There are three basic goals for economic strengthening and corresponding objectives and examples of common types of economic strengthening activities to meet those goals (see Table 2). More detailed information about types of activities that support these economic strengthening goals and objectives are found in the *Economic Strengthening Technical Reference Manual*. The grant application that you will be preparing will address one or more of these types of goals and will include activities accordingly.⁴

Table 2 Economic strengthening goals and examples of types of activities

Goals	Objectives	Types of activities
Income growth and protection	<ul style="list-style-type: none"> ▪ New employment /business creation ▪ Better paying employment opportunities ▪ More regular, predictable employment 	<ul style="list-style-type: none"> ▪ New skills development ▪ Skills enhancement ▪ Market creation/expansion ▪ Access to capital (loans) to invest in business enterprise
Asset protection and growth	<ul style="list-style-type: none"> ▪ Less vulnerable assets (savings, land, cattle, etc.) ▪ Prevent loss of assets due to legal issues ▪ Increase amount of savings, land, other property/assets 	<ul style="list-style-type: none"> ▪ Create savings (group or individual) ▪ Promote increased savings ▪ Insure assets against loss or damage ▪ Ensure legal ownership, and rights to assets through inheritance laws
Social assistance	<ul style="list-style-type: none"> ▪ Use of existing social and economic services or subsidies for education, nutrition, etc. that reduce financial burden for basic services. 	<ul style="list-style-type: none"> ▪ Education about existing services ▪ Reducing barriers to access (transport, etc.)

Adapted from *Economic Strengthening for Vulnerable Children* by Save the Children and AED (February 2008).

2.4 General principles for economic strengthening projects under SCRHA grants

Projects for the economic strengthening component of the SCRHA program must support the overall objectives of the SCRHA program, and specifically the objective to improve the economic situation of people affected by HIV & AIDS (including OVC) and to improve the technical and operational capacity of Civil Society Organizations (CSOs) providing HIV &

⁴ See SCRHA “*Economic Strengthening Technical Reference Manual*” for technical details and examples of these types of activities.

AIDS services. As such, they should ascribe to the following guiding principles:

- Be based on an analysis of the local situation
- Be demand and market driven
- Be sensitive to gender issues and vulnerable groups
- Seek networking with supportive entities and agencies
- Mobilize local resources
- Promote quality services
- Be sustainable
- Be participatory, engaging community members and the private commercial sector in a meaningful way
- Seek to link with other SCRHA components
- Make use of volunteers

These principles are consistent with those promulgated in the *Ethiopian National Guidelines for Standard Service Delivery for OV Care and Support (November 2009)* and are explained in detail in the Guide. Applicants should note that these guidelines also form the basis for grant application evaluation.

Demand driven. The beneficiaries/clients should demand support services. For many years, government, donors and NGOs have offered training and technical services based on what they believe or identified as business needs. However, supply-side training and consulting services usually do not meet business or individual needs.

Sustainability. A successful project will no longer need the inputs from the SCRHA project. The demand or market-based interventions should become self-sustaining in terms of both the institutions and benefits flowing to clients. The need for agency and donor support ends in a limited time period.

2.5 Using volunteers

The successful implementation of ES programs requires close follow up and technical support on the part of the implementing partners for desired behavioral changes to occur on the part of PLHIV and communities. Community based volunteers are well positioned to support this effort where it is most needed – the household level. In Ethiopia, where there is a strong

culture in support of volunteerism, community-level volunteers are central to many development projects. They community care volunteers, health guides, home guides, peer educators. The duties of the volunteer will not therefore be limited to follow up, day to day counseling and providing technical support. It also encompasses continuous efforts with awareness raising, education and close follow up. The SCRHA supports this approach as it is cost effective, promotes local level empowerment, and allows for building local level capacities.

The following are the **core competencies required for ES Volunteers:**

- Ability to identify and select households for ES services
- Ability to identify major ES needs of the selected households
- Ability to identify or map the existing ES services in the area
- Able to collect information pertinent to the project
- Ability to organize and facilitate ES community engagement plan
- Able to provide referrals to existing social and financial services that contribute to economic strengthening
- Able to form community based groups and/or associations for accessing ES Services
- Able to provide regular follow up and monitoring on every ES services provided to PLHIV and their families
- Networking ability with local GOs and NGOs offices
- Able to write and submit activity reports with strict deadlines.

Volunteers will receive training on economic strengthening from CSOs, NIPs and the SCRHA to develop these core competencies.

3 DECIDING WHAT TO DO

In Section II of the grant application, the first items that you must respond to are Items 5 and 6. This includes providing the project title, objectives, results to be achieved, and linkage to the PATH/SCR objectives. How do you decide what your project title will be? What will be your objectives and how will you know that you have achieved your results?

There are some basic steps you can take to get to the answers you need. Some steps may be carried out concurrently to speed up the process. The steps are:

- Identify your target group
- Conduct a household level needs assessment
- Map existing resources in the community, including private sector
- Identify greatest needs and interests and match against existing resources and potential opportunities
- Define activities and create a “package” of proposed services
- Determine how you will measure your results
- Assign roles, responsibilities and a timeline
- Develop a budget and timeline

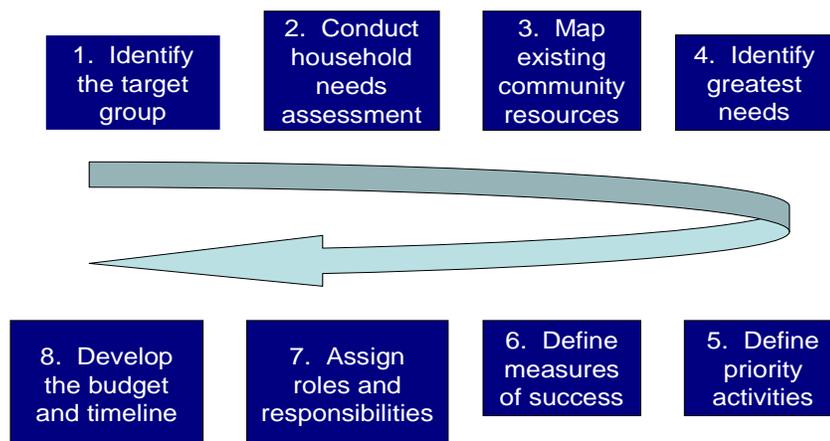


Figure 2 Steps for developing an economic strengthening project

SCRHA encourages NIPs and CSOs to seek technical guidance for any of the above steps. Keep in mind that ***developing a good project idea and planning it takes time. It also requires developing a lot of relationships.***

3.1 Identify your target group

The first step is to identify your target group. The target group for the SCRHA project includes people living with and affected by HIV/AIDS. For economic strengthening activities, **the target group includes households** characterized by one or more of the following:

- Orphan-headed family
- Physically strong – PLHIV
- Economically poor –PLHIV
- OVCs over 14 years of age
- Caregiver of OVCs under 14 years of age
- Terminally ill and bed-ridden PLHIV

Many PLHIV are not openly known to the community and many do not want their condition to be known publicly for fear of stigma, isolation from friends and relatives. To respect this wish for confidentiality and ensure coordination and cooperation amongst all agencies and organizations already supporting the individuals in the target groups (beneficiaries) the following approach is recommended:

Form a committee. To help to identify your target group, you will need the assistance of various individuals and agencies or groups that are already be familiar with your various members of the target group. You can engage the assistance of other individuals and groups in the communities who are likely to have the information you need.

- Make a list of those you should have represented on your committee. These will include Idir, Mahiber, religious leaders, elders, Kebele representatives, health workers and NGOs that are known to be involved with PLHIV.
- The size of the committee should not be so large that it becomes difficult to organize (8 to 10 members).
- *Develop the Terms of Reference* for this committee. Terms of Reference explains the purpose of the committee and helps members to understand why they are asked

Example Community Committee Terms of Reference

The Community Committee supports the implementation of economic strengthening activities and palliative care services.

It includes respectful and knowledgeable representatives of agencies providing services to PLHIV and OVS and other community members.

This community is responsible for ensuring the fair and appropriate provision of ES support services to eligible beneficiaries.

to participate on the committee and to keep focused.

- The committee should be formalized by having members elected to positions such as Chair, Vice-Chair and Secretary. The responsibilities for these positions should be documented. You or your designee may occupy the position of Chair and perhaps Secretary of the committee.
- Develop a *Scope of Work*. The Scope of Work specifies the activities that the Committee will be responsible for completing. It should cover a specific period of time. You can begin with a period of one year. The scope of work should include the selection of the target group.

Prepare a complete list of target households.

- Ask all committee members to bring information about known potential beneficiaries to the first committee meeting. This information should include name of potential beneficiary, qualification and addresses.
- Because this list will be used to conduct a household assessment and we must protect the confidentiality of the potential beneficiary. Use the form in **Annex I** to assign a household serial number. This number will be on the questionnaire that is used during the assessment instead of the name and address of the potential beneficiary.

*Example Community Committee
Scope of work*

Specific responsibilities include:

- Participate in regular committee meetings.*
- Support identification of potential beneficiaries*
- Share other relevant information with other committee members to support networking and cost sharing opportunities*
- Support awareness raising activities*
- Provide general oversight of project activities*

Enlist and train volunteers. You must recruit volunteers for other components of the SCRHA project. These same volunteers will be able to support Economic Strengthening activities. While providing HCT and palliative care services, they can link the target group to the ES services.

- Identify volunteers from your existing network. When you are recruiting them you should be sure to explain the purpose for recruiting them.

- The NIP and SCRHA project staff will arrange to support training of the volunteers in basic ES concepts and how to conduct the household survey. There are existing materials for this training.

3.2 Conduct a needs- assessment and establish the baseline condition

A needs assessment is a study that aims to identify priority needs of the target population. It should also generate information that can be useful in determining a solution for those needs. For this reason, it needs to be carefully designed and well carried out. If done correctly, the information can also serve as a baseline against which progress can be monitored as services are offered.

A well designed and carried out assessment can save you time and money!

For the purposes of the SCRHA project, the needs assessment will cover economic and training needs. You will follow the form for the “Household Economic and Training Needs Assessment” in **Annex II**. The following bullets tell you how to carry out the assessment.

Review the questionnaire carefully so that you understand what kind of questions are asked and how the answers will be recorded.

Identify and train volunteer enumerators from your volunteer group. You will need approximately one enumerator for every 10 households. If the enumerator has to assess too many households they will get tired and bored. They must also be able to write clearly.

- Read through the questionnaire together out loud. Ask the enumerators if the question is clear or if they have any doubts. They can make notes in the questionnaire they are working with so that they can remember any clarifications.
- Practice administering the questionnaire through role-play. When you role play, some of the enumerators pretend to be respondents while others practice asking the questions.
- Time how long it takes to complete the questionnaire. This information will be helpful for enumerators to plan their time. It should take no more than 15 minutes. But sometimes, if the household is very busy, it can take more time. Also, sometimes the enumerator will have to come back another time because it is not a convenient time

for the respondent. All these factors impact on planning for how long it will take to complete the assessment.

Create a calendar for the assessment. Determine when you want the results to be submitted to you so that you can complete the analysis of the findings. The enumerators will need to finish collecting the household information by that date.

Do the analysis. The analysis of the data can be done manually or by computer. If you have a computer and you know how to use a spreadsheet like MS Excel you can get the soft copy of spreadsheet to help enter the data. If you are receiving the data from the enumerators over time, you can enter the data into the spreadsheet as it comes in. The analysis will involve summarizing the results. See **Annex III** “*Summary of Beneficiary Economic and Training Needs Form*” which can be used for this purpose.

3.3 Map community resources

In most kebeles there are usually at least some public and private agencies and organizations already actively involved in providing or promoting services that aim to improve the economic situation of citizens. In this step you will create a map or inventory of all of these resources so that the information is available in one place. It will also include a description of what services they are providing and how to access them. The purpose of the mapping is to make sure that these resources will be appropriately accessed and that you will not develop a project that will duplicate what is already being offered.

To complete this exercise, you can use the form in **Annex IV**. This is the same format that is used to create the *SCRHA Economic Strengthening Technical Reference Manual*. The results from your mapping exercise can be easily added to the *Technical Reference Manual* to create a locally specific and relevant reference.

The committee will review the resource map at least twice a year since additional information and new markets can emerge to increase the utility of some resources. This will keep the *Reference Manual* current.

3.4 Match needs and interests and against existing resources

With results from your analysis of the household needs you will be able match the needs against the available resources discovered during the community resources mapping exercise.

For example, you will be able to identify expressed needs for skills building against training offered in a local Technical Vocation and Education Center, or Business Development Services offered in an MSE agency. The results of the matching may also identify a number of business opportunities by linking individuals with common interests. You may also identify a group of people interested in participating in a savings group. Others will only need referrals to other government or NGOs (see **Annex V** “*Individual Referral Form*”). See Table 2 for examples of types of activities. The various interventions that are identified can be “packaged” for the purpose of a grant application.

3.5 Define activities and create a package of ES services

Once you have identified the most pressing needs and common interests, you can begin to create service packages that address the specific interests of your beneficiaries. Call a meeting with the Community Committee specifically to review and discuss the results of the household assessment and the mapping exercise, and present your ideas for services to be provided. If all members review the results together you will increase the likelihood that opportunities are identified. You may seek additional guidance from the NIP for this activity. The results of this meeting will be the decision of what activities to pursue, who are the beneficiaries and how they will benefit from the proposed activities.

At the NIP level, you may propose activities that bring together similar interests from the CSOs and design activities that will benefit all. These may include activities such as market development activities that require large scale value chain analysis.

With the information you have obtained to this point are able to respond to Items 5, 6 and 10 of Section II Project Description of the grant application.

4 INDICATORS AND MEASURING RESULTS

Item 7 on the grant applications asks that you identify indicators to reflect the results of the projects. Indicators are a very important part of the grants program. Indicators should be quantifiable measures – measures of things that you can count. You should avoid using indicators that are difficult to measure, may not be agreed by everyone, or cannot be independently validated should you be audited.

Just as important and saying what measures are important and that you will commit to measuring, is how and when you will collect the measures (methodology). If the methodology relies on baseline data, that data must be available and reliable prior to the grant activity. Technical assistance can be obtained to conduct a baseline study.

The various activities that are likely to be proposed by you can be classified into one of more of the different three categories of activities (e.g., income growth and protection, asset protection and growth, and access to social assistance). If you keep this in mind you will be able to more easily identify the best indicators that reflect the desired results of your proposed activities, and how you will define success overall (Item 9 of grant application).

Throughout the grants application there are several types of measures that are requested of you. Sample output and outcome indicators specifically relevant for ES activities are provided in **Annex VI** “*Sample Indicators*”. *It is not always easy to know what the best indicators are so you are encouraged to seek the assistance of the NIP or SCRHA project staff.*

5 IMPLEMENTATION OF ES SERVICES

The CSOs and the NIPS will work closely with the government structure from federal down to kebele levels and with the community based organizations as well as with other NGOs working in the area. You will be coordinating your activities not only during the planning phase but through implementation, including regular monitoring and evaluation. **Annex 7** “*Implementation Plan*” can be used to plan project implementation.

5.1 Monitoring and evaluation

Monitoring is a process that is ongoing throughout project implementation to regularly and systematically track progress towards the achievement of stated objectives and targets. It is often largely, but not exclusively, indicator-based. These would be the same indicators that you have identified in the previous section. In addition to indicators, there is other non-indicator based considerations that are also important for understanding if progress is being made.

The ongoing process of monitoring contrasts with evaluation which is periodic, often done at the midpoint of project implementation and at the end, for the purpose of determining if the overall progress will achieve the desired results or if the results were achieved. The two are

closely related and support good project management. The information needed for monitoring and evaluation purposes is generally captured through structured reports.

5.2 Reporting schedules

More frequent and routine data collection generally includes data related to inputs and outputs. Often volunteers at the CSOs will be responsible for this type of data collection on daily basis but it may also be the ES generalist or focal person. Outcome data is captured through supervision activities. Supportive supervision may also yield important information about the need to adjust activity design that may not be captured through indicator data alone. Impact or final results indicator data is collected through evaluations and is less frequent.

Table 3 Illustrative Reporting Schedules

Level of Indicator	Example of indicators	Recommended frequency of reporting
Input/Process	<ul style="list-style-type: none"> ▪ Number of training sessions organized ▪ Number of tool kits purchased ▪ Number of referrals given 	Regular, monthly, quarterly
Output	<ul style="list-style-type: none"> ▪ Number of people receiving training ▪ Number of referrals provided 	Regular, monthly, quarterly, semi annually or annually
Outcome	<ul style="list-style-type: none"> ▪ Best practices scaled-up to large areas covering more households ▪ Trained people find new jobs ▪ Referrals result in receipt of credit ▪ Orphan now attending school 	Quarterly, semi annually, or annually
Impact	<ul style="list-style-type: none"> ▪ Household income increased ▪ Quality of life of PLWHA have been Improved ▪ HH assets secured 	Project mid-point and end point

5.3 Reporting formats

To ensure that data is collected in the same way, and that nothing is overlooked or measured in the wrong way, anyone who will be assigned the responsibility of collecting data will need to be trained on the meaning of project indicators, how to collect them, and what kinds of supporting observations should also be documented. **Annex XIII** “*Monthly Reporting Form*” can be used by the CSO and NIP for higher level reporting and **Annex IX** “*Registration Form*” can be used by volunteers to track their activities.

6 QUALITY ASSURANCE

The conceptual framework for monitoring quality of services provided by care and support providers contains nine types of indicators including the Economic Strengthening elements listed as follows:

1. Competency (knowledge/ability to conduct assessments and counseling, and procedures)
 - Assessment of economic strengthening needs at household level
 - Successful matching of income generating opportunities to individual
 - Appropriate skills training
2. Client-Provider (CHPs and home-based counseling and testing [HCT] Promoters/Providers) Interaction (Inter-personal Communication, sensitive to working with PLHIV)
 - ES counseling
 - Gender issues
 - Age appropriateness
3. Adherence and Support, overlaps with 4 (to be refined further)
4. Availability/Access to CHP Services /Materials
 - Frequency of CSO follow-up with clients after initiation visit/assessment
 - Accessibility to business advice (client access to business advisor)
 - Members of CSO available to clients during the day: Office hours

- Access of materials for ES activity
- Making services accessible to women (day care/child care)

5. Linkages/Referrals

- CHPs using updated list of referrals
- Referral system (referral slips)
- Link to business advisor(s)
- Link to administrative support from government (if CHP not available)
- Support and encourage link with government grants/loans
- Legal advice (inheritance, etc.)
- Local resource usage
- Link to support services for women

6. Stigma

- Women with HIV+ and acceptability for sectors of service

7. Confidentiality (Confidentiality in home, community, data management & use/reporting)

- “Consent for Shared Confidentiality”

8. Data Quality /Security (from the perspective of the CHP)

- Completeness of record-keeping/registers
- Accuracy of data completion
- Record/bookkeeping (profits/losses, accuracy of financial records)
- Data use (performance and financial indicators, and work plan outputs) for management and decision-making
- Stock control (cross-cutting with palliative care and HCT)
- Reference material up to date, organized

9. Safety Issues

- Safety issues in Technical Reference Manual (safe handling, storage and preparation)
- Identified safety components, written documentation, distribution/dissemination to clients (e.g. hand-washing after use of fertilizers)

7 REFERENCES

1. Donahue, Jill. Community-Based Economic Support for Households Affected by HIV/AIDS, Discussion Paper on HIV/AIDS Care and Support No 6. Arlington VA: Health Technical Services (HTS) Project, for USAID, June 1998.
2. Economic Strengthening of Vulnerable Children. Principles of Program Design and Technical Recommendations for Effective Field Interventions. Save the Children and AED for USAID. February 2008.
3. Federal Democratic Republic of Ethiopia- Central Statistical Authority, Statistical Abstract, 2008.
4. _____ National Accounts, 2008.
5. J.O. Ezeokana, O.A.U. Nnedeem and S.N. Madu, Pervasiveness of Poverty Among People Living with HIV/AIDS in South Eastern Nigeria, 2009.
6. Federal Democratic Republic of Ethiopia, Ministry of Finance and Economic Development, Building on Progress: A Plan For Accelerated and Sustainable Development to End Poverty (PASDEB), Annual Progress Report Dec. 2007.
7. _____, Ethiopia, Progress towards Achieving the Millennium Development Goals: Success Challenges and Progress, September, 2008.

ANNEX I FORM TO ASSIGN HOUSEHOLD SERIAL NUMBER

Make a list of all the woredas, towns and kebeles in your area. Assign a number to each one. For each kebele prepare a separate list of Potential Beneficiaries using this form. Each household will be assigned a Household Serial Number (HSN) by completing this list. Transfer the HSN to the questionnaire. When completing the household assessment, respect the respondent's confidentiality. Do not write the name or address on the questionnaire. Include only the numbers from this list.

REGION: _____

Woreda No. _____ Town No. _____ Kebele No. _____

Household Serial Number (HSN)	Name of Potential Beneficiary	Address	Note/ Comment
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			

17			
18			
19			
20			

Additional lines as needed

ANNEX II HOUSEHOLD ECONOMIC AND TRAINING NEEDS ASSESSMENT QUESTIONNAIRE

For enumerator: "Is this the house of _____? Are you the head of the household?"

If the answer is "Yes", continue

"My name is _____. I am a volunteer with _____. You have been identified to participate in a study about the needs of people living with HIV and AIDS, including children left orphaned from the disease. The results of this study will be used to develop ideas to help people and their communities to improve their economic situation. The answers that you give me to the questions will be kept confidential. You can see that your name is not on this form. Are you interested in participating?"

If the respondent agrees, continue.

Start time: _____

I. Household Serial Number: R (____) W (____) T (____) K (____) No. (____)

A. General Information from Respondent

1. Age ____ 2. Sex _____
3. Size of the household (How many members do you have in your HH?) M ____ F _____
4. No. of OVCs, (if any) M ____ F _____
5. Can you read and write? Yes = 1 No = 2
6. Do you have kebele ID card : Yes = 1 NO: 2

B. Basic Information on economic activity

1. What is your primary source of income? _____
2. Do you have any other income generating activity? Yes = 1 No = 2
If Yes = 1 (Specify) _____
3. How much is your average monthly income?
4. How did you acquire the skills you are applying in your job?
Self taught =1
Family =2
Apprentice/ on job training =3
Formal training =4
Vocational/technical training =5
Other /specify/ _____ =6
5. Do you keep any accounts for the economic activity/enterprise you are currently engaged in?
Yes some accounts, but not full ----- =1

No, no accounts kept ----- =2

6. How long ago did you start this business /enterprise?

___ Year(s) ___ Month(s)

7. What are the three most difficult problems affecting the current operation of your activity/enterprise? Answer Yes or No to each option.

I don't have a problem =01 (continue to next question if Yes)

Inadequate skill =02

Problems with workers =03

Barriers on free movement =04

Government regulations =05

Too much bureaucracy to obtain license =06

Unable to cope with family responsibility =07

Unable to cope with social responsibility =08

Credit to friends/relatives =09

Cultural influence =10

Shortage of working capital =11

Limited capacity to produce, trade or give service =12

Lack of access to / inadequate market =13

Lack of working place =14

Lack of raw materials =15

Health problem =16

Other /specify/ =17

8. What was the major source of the initial capital of the activity/enterprise? Answer Yes or No to each option.

Own saving, or "Ekub" =1

Self help saving groups /revolving fund from group) =2

Borrowing from friends/relatives =3

Donation/assistance from friends/relatives =4

Inheritance =5

Borrowing from bank =6

Borrowing from individuals on terms =7

Borrowing from micro-finance institution =8

Assistance from government, NGO's, ..etc =9

Other /specify/ _____ =10

9. If own saving or "Ekub", what was the source of saving or "Ekub"

Previous wage employment =1

Other agricultural income =2

Other business income =3

Sale of assets =4

Other /specify/ _____ =5

10. What is the major obstacle that prevents you from expanding your activity/enterprise? Answer Yes or No for each option.

I don't have a problem=01 *Continue to next question is yes*

Heavy government tax=02

Government rules and regulations=03

Unfair competition from large enterprises =04

Unfair competition from other small enterprises =05

Lack or inadequate supply of raw materials=06

Lack of working place/structure =07

Lack of production machinery/equipment =08

Lack of working capital =09

Lack of credit facilities =10

Shortage of market =11

Lack of up-to-date business information =12

Other /specify/ _____ =13

11. What kinds of assistance do you think would be helpful for your improving your job or business?

Answer Yes or No to each option

Access to working place =01

Access to rented building/structure =02

Assistance with marketing =03

Access to bank loans =04

Change government rules and regulations =05

Guarantee on property/work rights =06

Access to raw materials / tools /supplies =07

Technical Training to the operator =08

Technical training to the worker =09

Training in accounting/business methods =10

Training in basic business skill =11

Other /specify/ ----- =12

C. Training Information

1. Have you had any vocational/technical training? Yes /Specify/----- = 1 No = 2

2. Have you had any entrepreneurship training? Yes = 1 No = 2

3. Please prioritize your training needs in the following subjects, specifying the degree of priority from 1 to 3 (1 = most wanted):

- a. Basic Business Skill ()
- b. Book keeping ()
- c. Vocational Skill (specify) _____ ()
- d. others (specify) _____ ()

D. For Caregivers of OVCs

1. What supports the OVC received from an organization or individuals in the last 12 months?

2. What are the three most important forms of assistance the OVC need from the project, government, Private sectors or other stakeholders?

Access to education =1

Access to nutrition =2

Legal service for Asset Protection =3

Access to child saving =4

Other /specify/----- =5

E. Others

1. What other supports you received from an organization or individuals in the last 12 months?

Completion time: _____

Name of the person filling in this questionnaire _____

Signature _____

ANNEX V LINKAGE/REFERRAL FOR



Name of referant: _____

Position: _____

Client IDN: _____

Name of client/patient: _____

Sex: _____ **Age:** _____

Address: _____ **Town:** _____ **Kebele:** _____

Name of service provider: _____

Position: _____

Reason for referral: _____

Referent signature: _____

Service provider signature: _____ **Date** _____

ANNEX VI SAMPLE INDICATORS

You may select from the below or adapt as needed to better reflect your own activities. In developing your grant application

Category	Inputs <i>Things that need to be done to start an activity</i>	Outputs <i>The result of providing inputs (usually as things you can count)</i>	Outcome <i>The value of producing the outputs</i>	Impact <i>The intended goal</i>
Income Growth and Protection	<ul style="list-style-type: none"> ▪ No. referrals for skill training ▪ No. trainings in new skill development provided ▪ No. upgraded/higher level skill training provided ▪ No. tools provided ▪ No. new market knowledge activities conducted ▪ No. entrepreneurship trainings provided 	<ul style="list-style-type: none"> ▪ No. more skilled workers ▪ No. workers have tools to perform their jobs ▪ No. trained people who access business development loan 	<ul style="list-style-type: none"> ▪ No. people who get new jobs ▪ No. people who get better jobs ▪ No. people creating new business 	<ul style="list-style-type: none"> ▪ Increased household income
Asset Protection and Growth	<ul style="list-style-type: none"> ▪ Training in how to create a savings group ▪ Education and referral to savings agency ▪ Education and referral to property insurance service ▪ Education and referral to legal services for asset protection 	<ul style="list-style-type: none"> ▪ No. of people participating in savings ▪ No. savings groups created ▪ No. people insure property assets ▪ No. people who obtain legal services 	<ul style="list-style-type: none"> ▪ No. people realizing savings ▪ No. people reporting benefit of insuring asset ▪ No. OVC inheritance right protected 	<ul style="list-style-type: none"> ▪ Households asset growth (e.g. savings) ▪ Household do not need to sell assets for the care or treatment of HIV/AIDS

Category	Inputs <i>Things that need to be done to start an activity</i>	Outputs <i>The result of providing inputs (usually as things you can count)</i>	Outcome <i>The value of producing the outputs</i>	Impact <i>The intended goal</i>
		to protect rights to assets		
Social Protection	<ul style="list-style-type: none"> ▪ No. referrals for food aid ▪ No. referral for school support 	<ul style="list-style-type: none"> ▪ No. people/households who access food aid ▪ No. people/households that access school supports 	<ul style="list-style-type: none"> ▪ No. people/households using aid instead of making purchases for food ▪ No. People/households using aid instead of making purchases for school supplies, covering transportation costs, etc. 	<ul style="list-style-type: none"> ▪ Household expenditure associated with food decreased ▪ Household expenditure associated with schooling decreased

ANNEX VIII MONTHLY/QUARTERLY REPORTING FORMATS

Monthly/Quarterly Reporting Format

Reporting Month _____ Date of Reporting(dd/mm/yyyy) _____

Region _____ Zone _____ Name of NIP/CSO _____

Town _____ Wereda _____ Kebele _____

SN	Type of Service Provided	Male	Female	Total
1	Trainings			
	Number of individuals trained basic business skill/entrepreneurship			
	Number of individuals involved in training need assessment			
	Number of individuals trained in vocational skill training			
2	BDS			
	Number of individuals provided market access service			
	Number of individuals provided training and technical assistance			
	Number of individuals who are linked to other microfinance institution services			
3	Financial Support			
	Number of individuals receiving tools or information			
	Number of self-help savings groups established			
	Number of individuals accessing saving service			
	Number of individuals receiving legal assistance for the protection of assets of PLWHA			

4	Referral			
	Number of individuals referred to food support services			
	Number of individuals linked to education services			
	Number of individuals linked to health services			
5	Number of individuals provided legal protection of assets			
6	Number of Supportive supervision made during the reporting period			
7	Number of CSOs meeting their target (good performance) during reporting period			
8	Number of quarterly review meetings with stakeholders			
9	Number of public private partnership forums organized			
10	Type of TA support given to CSOs (Specify)			

Reported by _____ Approved By _____ Signature _____

Date

