Transparency and Accountability Program
A Program of the Results for Development Institute
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TAP Phase 3 Grants Program
Program Background

Section 1. Program Overview

1. In the newest phase of our Grants Program, the Transparency and Accountability Program (TAP) will sponsor up to five (5) organizations to design and implement a series of related research and advocacy projects that focus on improving how money is being spent and how services are being delivered in the health and education sectors at the national, sub-national, and/or local level in their countries. The goal of each supported project will be to improve the effectiveness of public spending and service delivery in a health or education sub-sector or program so that government resources are reaching and improving the lives of those who need them most. The Grants Program is open to any non-government organization from target countries in sub-Saharan African (Burkina Faso, Ghana, Kenya, Mali, Rwanda, Senegal, Tanzania, and Uganda).

2. The TAP Grants Program will support two types of Grantees – Long-Term Grantees and Open Window Grantees. Long-Term Grantees will work on three related research and advocacy projects over the course of three years, starting with either a Public Expenditure Tracking Survey (PETS) or Quantitative Service Delivery Study (QSDS). Open Window Grantees will be selected to only work on one of the three research and advocacy projects for 12 months during the longer Program. TAP is supporting these two types of Grantees because we believe that different organizations may be better suited for one type of grant or the other; supporting different types of Grantees will also allow TAP to compare the effectiveness of different types of support. The current Request for Proposals is for the selection of **Long-Term Grantees**. Open Window requests for proposals will be announced in approximately September 2011.

3. Organizations selected for the Grants Program will receive financial and technical support for 3 years, including technical resources, training, and peer learning opportunities. The Grants Program seeks to support projects that are likely to have a tangible impact on the quality of spending or service delivery in a sub-sector or program rather than projects that focus solely on research or advocacy.

Section 2. TAP Overview

4. The Transparency and Accountability Program (TAP) works with independent monitoring organizations (IMOs)[1] to study and better understand major problems with public spending and service delivery in health and education, to develop creative recommendations for overcoming these problems, and to successfully advocate for these recommendations to policymakers, citizens, service providers, and other stakeholders. TAP is a program of the Results for Development Institute, a private nonprofit organization based in Washington DC that is devoted to independent research and innovative policy solutions in areas critical to global human development. The Program is implemented in partnership with the World Bank and is supported by funding from the William and Flora Hewlett Foundation. Since 2007, TAP has provided financial and technical support to a diverse set of IMOs in 21 low- and middle-income countries to conduct research on public spending in the social sectors and to persuade public officials to implement their recommendations from these studies. Supported IMOs have used the results of these studies to push positive changes in government policies and civil society actions, including providing tools for media to question candidates about public spending during national elections, convincing government officials to change poorly-functioning education and health policies, and encouraging those who use public services to monitor the activities of government officials and frontline service providers.

Section 3. Project Summary and Expected Results

5. TAP believes that IMOs can play a major role in making sure that money is being better spent and reaching those that need it most by working to hold their governments accountable for problems with how money is budgeted and used in schools and health centers. The Grants Program aims to support organizations that want to hold their governments accountable by **researching** spending and service delivery problems and **advocating** for better decisions and actions by policymakers and service providers.

6. Under this Request for Proposals, we will support up to five (5) organizations based in eligible sub-Saharan African countries (Burkina Faso, Ghana, Kenya, Mali, Rwanda, Senegal, Tanzania, Uganda) to design and undertake three related projects between January 2011 and August 2013. Each project will have a Research component and an Advocacy component:

  ➢ **Research Activities: S**upported organizations ("Grantees") will focus on a particular program or policy area that they want to influence over three years. In the first year of the program, each Grantee will conduct either a Public Expenditure Tracking Survey (PETS) or a Quantitative Service Delivery Study (QSDS) to begin diagnosing problems in the program or sub-sector. After completing the first research activity (PETS or QSDS), all Grantees will work together to choose two additional research tools that they

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[1] IMOs are civil society organizations whose mission includes monitoring government policies and services and demanding more transparent and accountable government performance; this should include a focus on public expenditure management.

will each use to study problems with public spending and/or service delivery in the sub-sector or program. These tools (which may include Absenteeism studies, Citizen Report Cards, Social Audits, Monitoring using SMS and other technology, and others) will be selected so that all five Grantees are implementing the same tool at the same time; however different Grantees will be working in different countries and sub-sectors[2]. Grantees will receive technical support to design and implement research using these tools, including training workshops, technical guides and toolkits, and individual support from TAP team members and other IMOs. As part of the Research Activities, Grantees will develop recommendations for improving spending and service delivery efficiency based on their research results.

➢ **Advocacy Activities:** Grantees will use the results and recommendations from each research tool to advocate for improvements and encourage changes on the ground. Rather than only doing advocacy at the end of the three-year Program, Grantees will undertake advocacy activities after each research project. However, we expect that the advocacy for the second and third studies will build upon results from the earlier research tools. Different Grantees may choose to use different advocacy tools (including poster campaigns, media campaigns, meetings with government officials, policy briefs, brochures, videos, and other tools) and to focus on different audiences (including national policymakers, local officials, service providers, parents, students, beneficiaries, and others).

7. Grantees of the Program will receive no more than $200,000 (U.S. Dollars) for their Research and Advocacy Activities. In addition to this grant, TAP will provide funding for representatives from Grantee organizations to participate in peer learning activities with other Grantees during the course of the work. TAP will also provide resources, training on methodological issues, individual support from a "help desk," and short-term research and action experts for grantees, as requested, to help each organization achieve its goals.

8.   We encourage all eligible organizations with an interest in this work to submit proposals. TAP staff and partners can provide assistance to Grantees that have not conducted similar studies in the past, including in developing plans for Research and Advocacy. Resources and training will be tailored to the experience level of grantees.   While preparing the proposal, we recommend referring to the TAP Resources page of our website (http://tap.resultsfordevelopment.org/resources) for existing information and materials on many of the Research and Advocacy tools that Grantees may use in the TAP Grants Program.

9. The Grants Program will begin after Grantees have been selected in **February 2011,** and the duration of the Program is **March 2011 through August 2013**. Information about applying to the Grants Program is included in Section 11 and the attached "Expression of Interest Instructions" document.

Section 4. Project Topic and Components

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[2] We will also allow enough flexibility in tool selection to ensure that organizations are not using a tool that does not fit their research questions.

10. In recent years, the development community has paid increasing attention to how citizens, civil society organizations, and IMOs can demand better governance in public budgeting and service delivery.

11. **Research Tools:** Several tools have been developed by IMOs, the World Bank, and others to help civil society better hold their governments accountable for decisions and actions that directly affect citizens. These tools (often referred to as *Social Accountability* tools) will be the focus of the Research Activities of the Grants Program. These tools include (but are not limited to): [3]

> ➤ Public Expenditure Tracking Surveys (PETS)
> ➤ Quantitative Service Delivery Surveys (QSDS)
> ➤ Participatory Budgeting
> ➤ Absenteeism Studies
> ➤ Social Audits
> ➤ Citizen Report Cards
> ➤ Community Scorecards
> ➤ Pharmaceutical Stockout Assessments
> ➤ Education Outcome Assessments

12. As part of the TAP Grants Program, each Grantee will begin by conducting either a PETS or QSDS for the program or sub-sector of interest. We begin with these tools because they both provide a way to diagnose problems with spending and service delivery that Grantees can then use to inform and motivate the use of other Social Accountability tools. After conducting the PETS or QSDS, the five Grantees together will choose the two additional Research tools they would like to use in their research. Grantees will begin implementing the second tool in January 2012 (through September 2012), followed by the third tool (implemented September 2012 through May 2013). As a purely illustrative example, organizations might first conduct a PETS, followed by a social audit, and followed by a participatory budgeting activity for primary education spending.

13. **Sub-Sector or Program to Analyze:** While all the organizations selected to participate in this project will use similar tools for their studies, Grantees should select a sub-sector or program to focus on that is important to their own organization as well as to the country or sub-national area in which the Grantee is working. Grantees will each choose a single sub-sector or program to focus on during the three-year Grants Program. The five Grantees may all choose different sub-sectors (for example, one Grantee may focus on primary education while another Grantee may focus on pharmaceuticals in primary health clinics). The sub-sector or program selected by the Grantee should meet the following (FIRM) criteria:

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[3] Cases studies using each these tools can be found in: (1) Amin, Samia; Das, Jishnu; and Goldstein, Markus P. (Eds.). *Are you being served? : new tools for measuring service delivery.* The World Bank, Washington, DC: 2008; (2) Kosack, Stphen, Courtney Tolmie, and Charles Griffin. *From the Ground Up.* Brookings Institution Press, Washington DC: 2010.

- *The project should be **Feasible** based on the capacity of the applicant.* If the applicant is a small local organization with no previous experience working with national policymakers, it may not be feasible to do research or advocacy that require getting data from the central government.
- *The project should be **of Interest** to policymakers, community members, and other key stakeholders.* If local officials have expressed that primary education is a priority, a project focusing on primary school teachers may get more attention than a study of tertiary education.
- *The project should be **Relevant** to the mission and long-term goals of the applying organization.* A project topic that is in line with the work and goals of an organization allows for greater capacity and skill building and increases the likelihood that the organization will continue to discuss the results and recommendations after the project timeline has ended.
- *The project should be **Monitorable** and applicants must agree to be monitored externally (see section 7).*

14. TAP has a particular interest in supporting at least one Grantee that focuses on issues of service delivery and public spending in <u>Reproductive Health and Family Planning</u>. While TAP welcomes proposals explicitly on this topic, we would be equally interested in proposals that incorporate elements of this sub-sector into their work (for example, including reproductive health and family planning products and pharmaceuticals in a broader set of pharmaceutical supply projects). TAP also seeks at least one Grantee that will focus on spending and/or service delivery in the <u>Primary Education</u> sub-sector.

15. **Government Champions:** Although the research and advocacy work will be implemented by the IMO, all Grantees are required to identify a "Government Champion" to work with throughout the project phases. We offer here a few guidelines for selecting a strong Government Champion:

- The Government Champion can be from any level or department of government and may be an elected official or civil servant. However, the individual should be senior enough in his/her respective office that he/she can play a role in helping analytical results and recommendations get heard by people who can enact policy changes.
- The Government Champion should be an individual who has an interest in the sub-sector or program that the Grantee is targeting.
- The Grantee should regularly interact with their respective Government Champion to keep him/her aware of the work being done and get feedback whenever possible.

> ➢ Ideally, the Government Champion will be someone who has a reasonable chance to remain in his/her office or position or related work for the duration of the three-year program.

16. Applying IMOs should identify their Government Champion prior to submitting the proposal to TAP. Although applicants do not need a letter of agreement from the Government Champion at this time, such an agreement will need to be completed before TAP issues formal grant letters to those selected for this program. If TAP receives a very strong proposal from an organization that is having difficulty identifying a Government Champion, the TAP staff will try to assist the organization in finding a good Champion to approach.

Section 5. Project Deliverables

17. Grantees of the TAP Grants Program will study public spending or service delivery in a particular sub-sector or program using three research tools and conducting advocacy around the results from each of these research tools. As part of the program, Grantees will develop a broad three-year Workplan (with support from TAP staff and partners and other Grantees) that will capture the Grantee's objectives for the program and will be updated as the Grantees determine what research tools will be used. While Grantees will not have specific deliverables with each research tool, Grantees will be expected to prepare and make presentations about their progress to share with and to be reviewed by fellow Grantees. In addition to frequent calls and discussions with TAP staff, Grantees will submit annual reports sharing their progress in achieving program goals (discussed briefly below).

18. In addition to the deliverables listed above, grantees are required to participate in monitoring and evaluation activities (discussed further in Section 7). TAP also works on measuring the long-term outcomes of its own program; to measure these outcomes, TAP team members and external evaluators may ask grantees to provide written and/or oral evaluations of the program and their own progress in reaching project goals.

Section 6. Program Resources and Tools

19. Although the TAP Program is described as a Grants Program, TAP provides many types of support to Grantee organizations, including financial support, technical training and support, and peer learning opportunities. TAP encourages organizations that may not have engaged in this type of research and advocacy in the past to submit proposals. Accordingly, and with the support of the World Bank, TAP will provide a number of technical resources for organizations that are seeking to build capacity in specific project components. In addition, training materials will be available on the TAP website for non-grantee IMOs, improving the reach of the TAP program. Potential program resources include:

- Training at Launch Workshop: TAP will host Launch Workshops before Grantees begin implementing each new research tool. Experts and facilitators will conduct training sessions on various aspects of the selected tools, including (as necessary) designing

survey instruments, sampling, and data analysis techniques. Further, TAP will dedicate a significant portion of every workshop to interactive training sessions on conducting advocacy based on the research results. Launch Workshops for each project round will be attended by both longer-term grantees (selected from this RFP) and open window grantees (selected to participate in only a single project round). We expect that longer-term Grantees may lead some sessions in later workshops to provide technical support to open window Grantees. TAP will provide financial support for organizations to participate in this workshop. *Participation in the Launch Workshops is required for all grantees.*

- Case Studies and Survey Templates: TAP has developed a resource library of successful case studies and sample survey instruments for many of the research tools (such as public expenditure tracking, absenteeism studies, cost effectiveness analysis), and these are available on the TAP website (http://tap.resultsfordevelopment.org). In addition, TAP will be expanding the resources in the library and developing guidebooks on each of the tools selected by the Grantees. Documents and presentations from the Launch Workshop will be posted on the website as well.

- Research and Advocacy Experts: TAP seeks to match Grantees with local or international advisors on an as-needed basis. For organizations that need additional support for research, we will help pair the IMO with a subject-matter advisor who can help with the research topic or tool. For organizations that require greater assistance in developing advocacy strategies or connecting with policymakers to present study findings and recommendations, we will help pair the IMO with an "advocacy advisor" that can provide support for advocacy work..

- TAP Help Desk: Finally, TAP staff will be available to help Grantees over email or phone throughout the duration of the program. We will either help directly or match the organization with an expert on the issue raised. A representative from the TAP team will provide timely feedback on all products submitted as part of the project.

- Peer Learning: A core element of this program is that the Grantees will complete their projects on the same schedule and will act as peer reviewers for each other. A peer review workshop will be held at the completion of each research activity (preceding the corresponding advocacy work). During these workshops, Grantees will present on their progress and findings from their work over the past several months, and other Grantees will provide feedback. Everyone will have an opportunity to learn from each other and to offer advice to colleagues. Peer Review Workshops for each project round will be attended by both longer-term grantees (selected from this RFP) and open window grantees (selected to participate in only a single project round). Additional peer learning activities (virtual or bilateral visits) will be planned to continue peer learning throughout the program duration.

Section 7. Evaluation of the Program

20.   In addition to supporting "learning by doing" activities conducted by IMOs, TAP itself is a "learning by doing" program. TAP seeks to improve its ability to increase the effectiveness of IMOs in the following ways:

➢ Increasing collaborations between IMOs and stakeholders such as policymakers, other IMOs, and international institutions such as the World Bank;
➢ Increasing the amount of work being conducted in a country to increase transparency and accountability in social sector public spending and service delivery;
➢ Improving the ability of IMOs to leverage results and impact from TAP-supported work to obtain funding for related projects;
➢ Improving the research capacity of grantees; and,
➢ Increasing the impact of TAP-supported IMO work on the quality of service delivery and spending through policy changes, monitoring tools, and other concrete changes.

21.   All Grantees are required to participate in the evaluation of the program. The evaluation of TAP will involve two major activities – an IMO survey/interview and a survey of the policy community that IMOs are trying to reach with their work. Both of the surveys will be conducted twice – once at the start of the Program period and again after the completion of the Program. Both of these surveys are expected to require minimal time and energy on the part of Grantees.

22.   Additional evaluation activities may be added after the launch of the program.

Section 8. Eligibility

23. This RFP is open to any non-governmental organization in eight target countries in Africa – Burkina Faso, Ghana, Kenya, Mali, Rwanda, Senegal, Tanzania, and Uganda. TAP is more concerned with the functions, skills, and interests of IMOs than with the formal type or classification of an organization, and, accordingly, a variety of organizations may participate including but not limited to:

• Research and policy organizations;
• Community groups;
• NGOs;
• Faith-based organizations;
• Business associations;
• Labor groups

The key requirement is that the organization is independent from government (or any political party).

Section 9. Timeline for the Project

24. This RFP is for projects to be completed between **March 2011 and August 2013**. The detailed schedule is outlined in Annex A. In addition to the milestones and timing in Annex A, TAP staff will be in constant contact with Grantees to facilitate peer learning and to review and

comment on the work as it progresses. We will be launching an Internet forum for Grantees to use for the duration of the project. In addition, TAP advisors will be available to discuss policy analysis and dissemination methods with participants and will provide technical manuals and other materials to participating groups.

Section 10. Funding

25. Awards will be for a maximum of $200,000 (U.S. Dollars). In addition, TAP will pay for travel and accommodations for a limited number of representatives from each Grantee organization to attend peer learning workshops

Section 11. Information about the Proposal Process

26. The proposal process for the TAP Grants Program has two stages:

27. First, all applicants are required to submit an Expression of Interest (EOI) using the template available on our website (http://tap.resultsfordevelopment.org). The Expression of Interest template is also available in the attached document ("Grant Program Expression of Interest Instructions"). The form includes sections for project title, sub-sector or program of interest, project coordinator, information about the problem to be analyzed, and information about expected advocacy activities and outcomes.

28. EOIs will be accepted until the close of business (17:00 US Eastern Daylight Time) on **9 December 2010**. Each EOI will be reviewed by a selection committee which will recommend that the applicant be invited to submit a full proposal or that the EOI be rejected. All applicants will be notified of this decision within two weeks after the EOI deadline. Unfortunately, TAP will be unable to provide comments on any EOIs.

29. Second, those applicants invited to submit a Full Proposal will prepare a proposal using the template that we will make available on our website on 9 December 2010. Applicants should not begin preparing a full proposal until they have been notified that they have been invited to do so by the selection committee. Proposals will be accepted until the close of business (17:00 US Eastern Daylight Time) on **28 January 2011**.

30. More detailed information about the requirements, selection criteria, and procedure for submitting EOI can be found in the attached document "Grant Program Expression of Interest Instructions." More information will be made available regarding the full proposal requirements on 9 December 2010.

Annex A. Timeline for the TAP Long-Term Grantees

Activity	Time
Call for Proposals and Identification of Longer Term TAP Grantees.	November 2010 – February 2011
Program Launch Workshop (WS), featuring: ▷ Sessions on potential research tools ▷ Technical session on PETS and QSDS ▷ Work Plan Development sessions – for both IMOs and Government Champions ▷ Advocacy sessions – focusing on how to use research to inform policy	Late April 2011
Project Grant Rounds. Based on the workplans and discussions with the TAP team, IMOs will decide on focus methodologies/tools for each project round. Each project round will involve a launch workshop providing detailed technical assistance for the focus methodology/tool, 8 months for the IMOs to implement the projects, a peer review workshop, and 4 months for communications and advocacy[4]. In addition to the Long-Term Grantees, two project rounds will feature a general Call for Proposals where up to 10 additional "open window" Grantees will be identified to be involved in the one project round.	PETS and QSDS Round: ▷ Peer Review Workshop – Jan 2012 ▷ Close – May 2012 Second Round: ▷ Launch Workshop – Jan 2012 ▷ Peer Review Workshop – Sept 2012 ▷ Close - Jan 2013 Third Round: ▷ Launch Workshop – Sept 2012 ▷ Peer Review Workshop – May 2013 ▷ Close – Sept 2013

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[4] Note that project rounds will be timed such that one round's peer review workshop will overlap with the next round's launch workshop.

Annex B. Terms and Definitions

➢ <u>Independent Monitoring Organization (IMO)</u>: Civil society organizations whose mission includes monitoring government policies and services and demanding more transparent and accountable government performance; this should include a focus on public expenditure management.

➢ <u>Public Expenditure Tracking Survey (PETS)</u>: Quantitative survey that collects information about money budgeted and money received at each link in the expenditure chain. PETS are generally used to identify where money has "leaked," therefore not getting to the end beneficiaries.

➢ <u>Quantitative Service Delivery Survey (QSDS)</u>: Quantitative survey designed to identify problems with the efficiency of services being delivered to beneficiaries (such as students, patients in health clinics, and others). QSDS can identify problems such as absenteeism of workers, problems with infrastructure, availability of inputs, and other problems.

➢ <u>Social Accountability</u>: A term used to describe mechanisms that can hold government officials and service provider accountable for their actions and that rely on participation and engagement by citizens.