THE UNITED REPUBLIC OF TANZANIA

PRIME MINISTER'S OFFICE

REGIONAL ADMINISTRATION AND LOCAL GOVERNMENT

LOCAL GOVERNMENT DEVELOPMENT GRANT (LGDG) SYSTEM

MONITORING AND EVALUATION FRAMEWORK

(M&E)

Final Draft

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Abbreviations and Acronyms

AT	Assessment Teams
CAG	Controller and Auditor General
CB	Capacity Building
CBG	Capacity Building Grant
CDG	Council Development Grant
CG	Central Government
DP	Development Partner
FY	Financial Year (July-June)
HLG	Higher Local Government
HRD	Human Resources Development
IA	Internal Audit
IFMS	Integrated Financial Management System (Epicor)
LG	Local Government
LGA	Local Government Authority
LGDG	Local Government Council Development Grant
LLG	Lower Local Government
M&E	Monitoring & Evaluation
PMO-RALG	President's Office – Regional Administration and Local Government
VA	Village Assembly
VG	Village Government
WDC	Ward Development Committee
WEO	Ward Executive Officer

1.0 MONITORING AND EVALUATION

This document presents the monitoring and evaluation framework for monitoring and evaluating the performance of the overall LGDG system against the intended outcomes and outputs. It clearly shows the underlying differences between monitoring and evaluation and provides details on how the activities of the LGDG system will be monitored and evaluated.

1.1 Introduction

The purpose of the Monitoring & Evaluation Framework is to make sure that the LGDG System is working effectively to realize the intended goal of LGAs completing projects funded by LGDG and that the facilities are delivering the intended services to the people. It has to be underscored that current LGDG system is geared towards establishing a link between community self help efforts and the support to these efforts by the LGAs. The LGDG therefore is a facility or programme intended to facilitate, encourage and support community initiatives and the self-help efforts with appropriate development and recurrent funding mechanisms.

The monitoring and evaluation framework is expected to be an effective tool for enhance the quality of planning and management of the community initiated projects. Monitoring will help LGAs to determine whether the projects are progressing in schedule while evaluation will help to assess to what extent to which the intended objectives of the LGDG system are achieved. An effective M &E framework should therefore be part of the LGDG System.

1.2 The link between Monitoring and Evaluation

There are marked differences between monitoring and evaluation. The differences are as follows:

Dimension	Monitoring	Evaluation
Frequency	Monthly, quarterly	Episodic
Function	Tracking/oversight	Assessment
Purpose	Improve efficiency, provide information to improve outcomes	Improve effectiveness, impact, value for money
Focus	Input, output, processes, work plans	Relevance, impact, cost effectiveness (population effect)
Methods	Routine review of reports, registers, data base, field observation	Scientific rigorous research
Information Source	Field observation report, progress reports, rapid assessment	Field observation report, progress report, rapid assessment
Cost	Consistent, recurrent costs spread across implementation period	Mid and end evaluation cost

1.3 The Intended Goal/Impact of the LGDG system

The intended goal of the LGDG is to ensure that *decentralized service delivery functions to satisfy the need of the people.* The outcomes needed to achieve the goal and which will be monitored by the LGAs are:

- Service facilities are functioning effectively
- Community priorities are realized
- Funds are fairly distributed within LGAs
- Remote LGAs are completing quality projects
- The LGDG is properly allocated to LGAs
- There are few carryovers of funds
- LGAs' financial management is improved
- LGA's Human Resource is developed and well managed.

The main issue is not the information but rather how the outcomes can be realized. In other words, the main issue is what should be done in order for the outcomes to be achieved. Monitoring and evaluation is the only answer. In order to carry out an effective monitoring there is need for clarity on what to monitor. The monitoring indicators that will be used to measure success of the projects have also been determined This will allow for progress reporting on implementation of outputs, activities and use of resources on monthly to quarterly basis as detailed below

2.0 Monitoring

This part describes the monitoring of implementation of the LDGD system at all levels with view to ensure that the activities implemented will realize the intended outcomes. Monitoring entails a continuous function of collecting information regarding the implementation of the LGDG funded activities so as to establish whether progress is being made as planned and whether initiatives are making positive contributions towards the LGDG system goal.

Consequently; monitoring is part and parcel of the LGDG system which will constitute part of the routine activities undertaken by the LGAs while regular assessment of LGDG performance will be undertaken by the RS. The monitoring exercise will be carried out monthly at LLGs and quarterly at HLG and RSs.

2.1 Monitoring the Implementation of the LGDG system

The Monitoring of the LGDG system will be undertaken through collection of information pertaining to implementation of the LGDG funded activities. This information will include issues regarding activities being undertaken, use of resources (people, finances, materials and time) and the outputs. The information gathered will then be compiled into reports and shared with different stakeholders mainly those of the LGDG system at various levels of the LG system i.e. LLG (the service delivery points), HLG, RS and PMO-RALG. This reporting is intended to show that what has been planed is going forward as intended and within the resources allocated. This will allow for remedial corrective actions in case of divergence.

Monitoring will focus mainly on the activities that will lead to achievement of outputs that ultimately lead to attainment of the intended LGDG outcomes as detailed in section 1.3. The intended outputs to be monitored and the activities involved are as follows;

- *Outcome One*: **Service facilities are functioning effectively**: This means following the LGDG funding, the facilities are providing the intended services and this can be possible if all support facilities are in place and functioning.

- *Outcome Two*: **Community priorities are realized**: This is very important since the justification of D by D is that LGA is closer to the people than the Central Government and thus it can deliver more relevant and effective services to the people addressing the realities and specific needs of the local people more accurately. LGDG is meant to ensure it from the financial aspect. Therefore it is essential for LGDG system to be used to realize the priorities manifested by the communities within their area of jurisdiction through O&OD participatory planning process.

  On the other hand, it is obvious that the Government (LGA or CG) would not be able to cover everything **alone** to satisfy the huge and diversified needs of the people. However it is also recognized that in this Country, there a lot of "self-help efforts" of the people and spontaneous development endeavors with communities' own initiatives. That is why in this revision, emphasis is made for LGDG to be used to encourage those precious endeavors of local people and link with them to realize better service delivery through collaboration between local people and the local government.

- *Outcome Three*: **Funds are fairly distributed within LGAs**: to avoid the danger of some communities being left out or forgotten there should be some criteria for LGAs to ensure that disadvantaged communities e.g. those in remote areas (villages/mitaa or vitongoji) are given due consideration to realize their priorities

- *Outcome Four*: **Remote LGAs are completing quality projects:** Location should not be a reason for implementing substandard projects. Efforts have to be made by PMORALG and HLG to ensure that remote LGAs and LLGs have the capacity to attract qualified contractors. If possible, Local "Fundis" should be utilised provided there is adequate supervision and the procurement legislation allows the utilization of local "Fundis".

- *Outcome Five*: **The LGDG is properly allocated to LGAs:** There must be a realistic and objectively determined allocation formula that will lead to fairness in the allocation of the funds. Allocation formula is necessary to address the inequalities among LGAs. These inequalities exist due to a number of reasons including differences in resource endowment, remoteness, size of population, etc

- *Outcome Six*: **There are few carryovers of funds:** The problem of carryover of funds is linked to delay in disbursement of the funds from the centre, negligence and lack of capacity to utilize the funds. The intended goal is to ensure timely disbursement of funds from the MOF to LGAs, likewise from LGAs (HLG) to the LLGs and existence of capacity at HLG and LLG to implement quality projects. Important also is the need for improved communication and information flow between HLG and LLG about the amount of funds received, the allocation criteria and purposes and ultimately reporting on the utilization of the same.

- *Outcome Seven: **LGAs' financial management is improved:*** to ensure that projects are completed and adequately functioning at both HLGs and LLGs LGAs have to adhere to all financial management requirements. This includes proper preparation of payments, timely preparation and submission of CFR, timely response to audit queries and proper staffing of the finance department and sections.

- *Outcome Eight: **LGA's Human Resource is developed and well managed:*** Effective performance of LGAs and project implementation depends on the number and quality of staff as well as capacity building programmes. To be able to achieve well developed and managed HR in LGAs it is necessary that LGA allocate resources for capacity building both for HLG and LLG, prepare and implement effective CB plans, conduct effective training and design effective means and efforts to retain quality staff.

2.3   Monitoring Responsibilities

CG is responsible for the following tasks:
- Coordinate the monitoring exercise;
- Review monitoring reports and take appropriate actions.

RSs are responsible for the following tasks:
- Coordinate the monitoring exercise;
- Build capacity for LGAs to undertake monitoring effectively
- Monitor the implementation of LGDG activities in LGAs;
- Review and consolidate LGA monitoring reports and submit to PMO-RALG;
- Take appropriate actions where applicable.

HLGs are responsible for the following tasks:
- Monitor the implementation of LGDG activities in HLG and LLGs
- Build capacity of LLGs for data collection and reporting
- Review and consolidate HLG and LLG monitoring reports and submit to RS on quarterly basis.

LLGs are responsible for:
- Data collection and reporting on progress of project implementation
- Monitoring project implementation and completion
- Preparing and submitting monitoring reports to HLGs on monthly basis

2.4 Monitoring Methodology

A combination of monitoring methods will be employed. These include field d visits, documentary review, interviews, observations, focus group discussions and community dialogue. During the monitoring exercise, the selection of the monitoring method will depend on the nature information required, the level being monitored, the monitored outcome area and the stakeholders involved.

Interviews/ focus group discussions
Individual and group interviews will be held for the purpose of gathering data /information (from people with knowledge and/or authority of the projects) relevant to the projects being monitored. Key

informant interviews will also be held to people with expert knowledge on the projects being implemented

Questionnaire
Field questionnaire forms will be prepared for gathering data/information related to the projects being implemented. This instrument should be simple and administered to people who can read and understand the requirements of the questions being asked.

Observation
Two types of observation can be undertaken i.e (i) participant and (ii) process observation. In the former, the person monitoring participates in the activity while in the later observation is from the outside. The main intention of the observation is to observe the processes in project implementation to see whether they are going in line with the plan.

Records/ Documentary Review
This includes reviewing various documents related to the projects being implemented. Examples of such documents include project design, project progress reports, project appraisal documents, procurement and financial reports. The essence is to establish whether everything is being implemented according to the plan and intended goals.

2.5 Monitoring Process

The monitoring process will cover all main activities related to projects at HLG and LLGs. These activities include:
- Project preparation where the performance indicators and milestones are important for monitoring.
- Project implementation which involves ongoing monitoring of the implementation of the projects. Main activities involved are performance tracking, performance improvement planning and risk assessment
- Project completion which will be geared towards revisiting the original design to establish whether the intended goal or objectives of the projects have been achieved.

In summary, the monitoring process at both HLG and LLG is as described below:

Higher Local Government (HLG)
For monitoring to be effective, a monitoring plan should be prepared. The preparation of the plan will involve all HoDs with projects funded through the LGDG, statisticians and community development officers under the coordination of the CPLO. The monitoring plan will cover the projects to be monitored, activities, responsible officers, timing, resources and expected outputs. The implementation of the monitoring plan will involve the following:
- Creating LGDG monitoring teams at LGA level
- Mobilize the resources for monitoring by CPLO as a coordinator
- Orient the monitoring team to the monitoring plan, monitoring exercise and reporting format
- Prepare a schedule for implementation of the plan across the LGA
- Conduct the monitoring field visits. Also consult the monitoring teams at the LLG.
- Convene a meeting for preparation of the quarterly monitoring report including reviewing the monitoring reports from LLGs
- Submit the monitoring to PMO-RALG through the RS.

Lower Local Government (LLG)

Monitoring at LLG will involve WEOs, VEOs, MEOs, Extension Staff and Heads of Service Facilities. This will be done under the coordination of the WEOs. A monitoring plan for this level, will be prepared by the WEO and Ward Extension Staff with support from the CPLO. The plan will cover the projects to be monitored, activities, responsible officers, timing, resources and expected outputs. The implementation of the monitoring plan (at LLG) will involve the following:

- Creating LGDG monitoring teams at LLG level
- Mobilize the resources for monitoring by WEO as a coordinator
- Orient the monitoring team to the monitoring plan, monitoring exercise and reporting format
- Prepare a schedule for implementation of the plan across the Wards on monthly basis
- Conduct the monitoring field visits.
- Convene a meeting for preparation of the monthly monitoring report s
- Submission of the monitoring reports to HLG.

2.6 The Monitoring Framework (What to be monitored)

Outcomes	Outputs	Indicators	Source of information	Activities	Reporting
Service Facilities are functioning effectively	Projects completed and functioning	Number of projects completed and functioning	CDR	Check number of completed and functioning projects,	Annual
		Number of unfinished projects	CDR	Check number of unfinished projects	Annual
		Plan for unfinished projects	MTEF, Minutes of CMT and Finance Committee	Check plans to finish the uncompleted projects	Annual
		Availability of support facilities	CDR	Check whether support facilities are available	Quarterly
	Projects are operational	Adequate staff are available	MTEF and HR Reports	Check requests for staff and deployment report	Quarterly
		Adequate funds committed for O&M	Budget documents, CFR	Check CDR and CFR	Quarterly
		Service facility committees in place and functioning	CDR reports, Facility management reports	Check facility management reports	quarterly
Community Priorities are realized	Community priorities are included in included in the LGA plan and budget and implemented	Number of community projects included in the LGA plan and budget	CDR, Council Plan & Budget	Check in the CDR and LGA Plan and Budget	Annually
		Number of community projects funded through the LGDG	CDR and CFR	Check MTEF, CDR and CFR	Annually
		Number of community projects realized/completed	CDR	Check in CDR and project implementation reports	Quarterly
	Community projects are identified and supported	Number of identified community initiated projects	LGA Plan and Budget	Check in the LGA plan and budget	Annually
		Number of supported community initiatives	CDR, CFR	Check in CDR and CFR	Quarterly
		Number of community initiated projects included in the LGA plan and budget	CDR, Council Plan & Budget	Check in the CDR and LGA Plan and Budget	Annually
		Number of community initiated projects completed	CDR	Check in CDR	Quarterly
Fair distribution of LGDG funds within the LGA	Projects implemented in underserved communities	Number of underserved areas identified	LGA Profile	Check for the identified underserved areas in the LGA	Annually
		Number of projects implemented in underserved areas	MTEF, CDR	Check for projects implementation reports, CDR	Quarterly
		Plan for addressing inequalities	MTEF, Minutes of CMT and Finance Committee	Check plans and strategies from minutes of CMT and Finance	Annually

Outcomes	Outputs	Indicators	Source of information	Activities	Reporting
				Committee	
	Functioning fund sharing criteria within the LGA	Criteria for fair distribution of LGDG funds within the LGA adhered to	CDR	Check for the criteria	Annually
		50% of LGDG allocated for LLGs	CFR	Check for allocation of LGDG funds to LLGs	Quarterly
Remote LGAs are completing quality projects	Completed projects by registered contractors are of desired quality	Quality of projects completed by registered contractors	Project Progress Reports, VFM Reports, CDR	-Check project progress and VFM reports -Make physical visits to sampled projects	Quarterly
		Number of qualified contractors working in the remote LGA	Tender documents, minutes of TB and PMU	Check number of qualified contractors tendering for works in the LGA	Quarterly
		Inventory of qualified contractors within the regions and remote LGAs	Inventory of contractors from PMU,	Check number of qualified contractors within the LGA	Annually
	Alternative means to secure contractors to complete the projects e.g. local *fundis*	Inventory of alternative contractors i.e. local *Fundis*	Inventory of local *Fundis* from PMU	Check number of registered Local *Fundis* within the LGA	Annually
		Number of quality projects implemented in disadvantaged LGAs	Project Progress Reports, VFM Reports, CDR	-Check project progress and VFM reports -Make physical visits to sampled projects	Quarterly
The cases of carryover of funds are minimised	Timely release of funds from Treasury to LGAs	Funds from Treasury received on time	Transfer slips, covering letters	Check date when funds were received	Quarterly
	Received funds timely executed and disbursed for LLG	Timely disbursement of funds for LLGs	CFR, Bank Statements	Check and compare dates when funds were received and disbursed for LLG	Quarterly
	Procurement completed timely	Procurement implemented as per procurement plan	Procurement plan and reports	Compare plan and the implementation of the procurement plan	Quarterly
	Reports on utilization of funds timely prepared and disseminated	Timely preparation of utilization of funds reports	CFR	Check date of submission of funds utilization reports	Quarterly
		Timely dissemination of funds utilization reports	Notice boards, Project Files	Check date of dissemination on notice boards	Quarterly
LGAs' financial management is improved	LGDG funds are properly utilised	CFR/CDR timely submitted and approved	Letters of submission & acknowledgement	Check dates for submission and approval	Quarterly
		HLG and LLG strictly adhering to financial management and LGDG Guidelines	LGDG Guidelines and LAFM	Check sample PVs related to LGDG transactions and compare to LAFM and LGDG Guideline Check internal audit reports for issues raised regarding financial mgt	Quarterly

Outcomes	Outputs	Indicators	Source of information	Activities	Reporting
		LGAs adhering to criteria for allocation of funds to selected projects	LGDG Guidelines	Check fund utilization reports and compare with Guidelines	Quarterly
		LGAs with clean audit reports	CAG Individual Audit Reports	Check individual (LGA) audit report including management letter	Annually
	Internal audit functioning effectively	Annual internal audit plan (covering LGDG activities for HLG and LLG) timely prepared and approved	Annual Internal Audit Plan	Check dates of submission and approval of the internal audit plan	Annually
		Number of internal audit conducted on quarterly basis as per plan	Quarterly Internal Audit Reports and Internal Audit Plan	Check quarterly reports and compare with plan	Quarterly
		Number of quarterly internal audit reports timely prepared and submitted	Quarterly Internal Audit Reports	Check dates of submission and approval of quarterly internal audit reports	Quarterly
		Number of timely follow up actions to internal audit recommendations	Management Response and Action Plan	Check dates for receiving recommendations and response including action plan	Quarterly
	Follow up actions of CAG recommendations	Timely implementation of follow up actions of CAG recommendations	Management Response and Action Plan	Check dates for receiving recommendations and response including action plan	Annually
LGA's Human Resource is developed and well managed."	Capacity at LLG strengthened	60% of CBG allocated for LLG,	CDR/CFR/MTEF	Check for allocation of CBG funds to LLGs	Quarterly
		Number of LLGs activities implemented through the CBG as per Guide	CBP and Training Reports	Check activities implemented and compare with the CBG Guideline	Quarterly
		Number of completed CB activities and timely reported	CB/CDR reports	Check dates of completion and the reporting of CB activities	Quarterly
	Strengthened capacity for managing procurement and project management at HLG and LLG	Timely implementation of CB activities in procurement and project management	CBP and Training Reports	Check activities implemented and compare with the CBG Guideline	Quarterly
		Number of training activities timely evaluated	Training Evaluation Reports	Check evaluation reports (date of completion and evaluation)	Semi-Annually or Annually
	Efforts by LGAs to fill vacant key positions and staff retention in place	Number of vacant position effectively filled	Establishment, Employment Request Letters to PO-PSM List of newly recruited staff	-Check MTEF for staffing situation -Check letters of requests and employment permits -Check list of new staff reported and compare with number and cadre requested	Annually
		Number of deployed staff	Lists of staff deployed,	Check number of staff deployed to	Semi-Annually

Outcomes	Outputs	Indicators	Source of information	Activities	Reporting
			HR Files	various service facilities	
		Staff retention efforts in LGA	Staff retention scheme	Check for staff retention schemes/ strategies	annually

3 Evaluation

This part describes evaluation of the LGDG system to systematically and objectively assess progress towards and the achievement of the intended outcomes. Unlike monitoring, evaluation is time-bound and periodic in nature, it will take place at particular intervals before, during (thereby aiding improvement) or at the end of a project programme. This entails two types of evaluation viz process and summative evaluation. In the process evaluation, it is the project implementation processes (material being used, utilization of resources, appropriateness of technology etc) that is evaluated. On the other hand, summative evaluation assesses levels of satisfaction with the project, achievements of the outcomes, effectiveness and/or impact of the projects.

The focus of LGDG evaluation is on the outcomes and their relationships with the outputs, establish how and why outputs and strategies contributed to achievement of outcomes and address questions of relevance, effectiveness, sustainability and change. This ultimately contributes to the achievement of the overall objective of the LGDG system i.e to realize decentralized service delivery to the people.

3.1 Evaluating the Implementation of the LGDG system

The Evaluation of the LGDG system entails periodic collection of information pertaining to the way LGDG funded activities were implemented. Evaluation will involve the review of monitoring reports, survey of implemented projects and analysis of data/information obtained. In the end, reports will be prepared and shared with various stakeholders e.g. LGAs, RSs, Central Government and DPs.

The outcomes needed to achieve the goal and which will be evaluated are:

- *Service facilities are functioning effectively*: The evaluation will seek to establish the extent to which the service facilities are functioning in providing the needed services. This implies assessing the number of people utilizing the service facilities

- *Community priorities are realized*: Under this, the evaluation will include assessing the number of community prioritised projects and whether they are adequately supported

- *Funds are fairly distributed within LGAs*: Under this outcome, the evaluation will determine the extent to which the projects implemented have created a positive change to marginalized communities resulting from fair distribution criteria in the LGA.

- *Remote LGAs are completing quality projects:* Evaluation in this outcome will establish whether alternative contractors i.e. local *fundis* were being mobilized and facilitated to implement quality projects. It also involves assessing the extent to which LGAs are able to identify and utilize qualified contractors from within the region.

- *The LGDG is properly allocated to LGAs:* The evaluation will entail to establish the equity and fairness of the allocation formula of the funds. The intention being to avoid inequalities and misallocation.

- **There are few carryovers of funds:** Evaluation in this outcome will involve assessing the efficiency in disbursement of funds to LLG and effectiveness of procurement completion by HLG and LLG.

- **LGAs' financial management is improved:** Evaluation in this outcome will involve assessing the LGAs' proper preparation of payments, timely preparation and submission of CFR, timely response to audit queries and proper staffing of the finance department and sections.

- **LGA's Human Resource is developed and well managed:** Evaluation in this outcome will concentrate on assessing the LGAs practices in allocating resources for capacity building both for HLG and LLG, preparing and implementing effective CB plans, conducting effective training and designing of effective means and efforts for retaining quality staff.

3.2   Evaluation Methodology

A combination of evaluation methods will be employed. These include field visits, questionnaire, documentation review, interviews, focus group discussions, observations and survey checklists. Evaluation is a selective exercise intended to assess progress in some key aspects of the project and will be undertaken annually or bi annually. The selection of evaluation method(s) will depend on the type of evaluation, nature of information required and the level of evaluation.

Interviews/ focus group discussions
Individual and group interviews will be held for the purpose of gathering data /information (from people with knowledge and/or authority of the projects) relevant to the projects being evaluated. The essence is the understanding of people's impressions and experiences about the projects. Key informant interviews will also be held to people with expert knowledge on the projects being implemented and those which have already been completed and functioning.

Questionnaire/Survey Checklist
Field questionnaire forms will be prepared for gathering data/information related to the projects being implemented as well as those which have already completed and functioning. This instrument should be simple and administered to people who can read and understand the requirements of the questions being asked.

Observation
Two types of observation can be undertaken i.e (i) participant and (ii) process observation. The valuator participates in the activity while in the later observation is from the outside. The main intention of the observation is to observe the processes and gather accurate information about how a project is actually being implemented and whether it is line with the intended outcome.

Records/ Documentary Review
This includes reviewing various documents or data sources related to the projects to get an impression on why and how they are being implemented. Examples of such documents include project design, project progress reports, project appraisal documents, procurement and financial reports. The essence is to establish whether everything is being implemented according to the plan and intended goals.

3.3   Evaluation Process

The evaluation process will cover the activities and processes meant for realizing the intended project outcomes. These activities include:

- Project preparation where the performance indicators and milestones are important for evaluating.
- The projects' input output analysis i.e. whether the outcomes are worth the resources spent on the project.
- Project implementation which will involves progress evaluation of the process implementation of the projects. Main activities involve investigating the process of implementation against the milestones to establish whether everything is according to plan and intended outcomes.
- Project completion which will be geared towards revisiting the original design to establish whether the intended outcomes have been achieved.
- Assessment of the projects' effectiveness or impact e.g. number of people benefitting from the project

The evaluation process will be undertaken by LGAs, RSs and PMORALG.

Local Government Authorities

Evaluation can only be effective if an evaluation plan is in place to guide the process. This plan will jointly be prepared by the HoDs under the coordination of the CPLO. The evaluation plan should reflect the projects to be evaluated, the evaluation activities, the timing, the resources, people to be involved and expected outputs. The implementation of the evaluation plan will involve:

- Creating LGDG evaluation teams at LGA level
- Mobilize the resources for evaluation by CPLO as a coordinator
- Orient the evaluation teams to the evaluation plan, evaluation exercise and reporting format
- Prepare a schedule for implementation of the plan across the LGA
- Conduct the evaluation field visits.
- Preparation and sharing the evaluation reports at LGA level before submitting to PMORALG through the RS

Regional Secretariat

Evaluation by the RS will involve the Sector experts who will be coordinated by the AAS Local Government. An evaluation plan for this level, will be prepared jointly by the sector experts under the coordination of the AAS (LG). The plan will cover the LGAs and projects in each LGA that will be evaluated. A sample survey can be used to determine these projects In addition the evaluation activities, timing, resources and expected outputs should be carefully considered. The implementation of the evaluation plan will involve the following:

- Mobilizing the resources for conducting the evaluation through liaising with the LGAs
- Orienting the evaluation team to the evaluation plan, the evaluation exercise and reporting format
- Preparing a schedule for implementation of the plan across LGAs and share the same with the respective LGAs
- Carrying out the evaluation field visits.
- Preparing the evaluation reports
- Disseminating the reports to the LGAs before submitting to PMO-RALG.

The PMO-RALG

Evaluation by the PMO-RALG will be rare and selective since their main role will be that of reviewing the evaluation reports from LGAs and the RSs. An evaluation will only be determined by the findings from the evaluation reports from LGAs and RSs. This will be intended to establish the validity and/or authenticity of the evaluation carried out by LGAs and RSs. In addition, PMO-RALG will have to commission a mid-term and end-of the five (5) year strategic plan which guides the implementation of the LGDG system.

3.4 Evaluation Responsibilities

PMORALG is responsible for the following tasks:
- Coordinate the evaluation exercise;
- Prepare evaluation reporting format for the LGAs and RSs
- Prepare Terms of Reference for undertaking the mid-term and end-of five (5) strategic plan evaluation
- Prepare evaluation process checklist which will also be availed to LGAs and RSs
- Review evaluation reports as per checklist and take appropriate actions
- Prepare an overall overview of the evaluation results bi annually and annually
- Disseminate the mid-term and end-of five (5) strategic plan evaluation reports to all relevant stakeholders.

RSs are responsible for the following tasks:
- Coordinate the evaluation exercise;
- Evaluate the LGDG activities in LGAs;
- Review and consolidate LGA evaluation reports and submit to PMO-RALG;
- Take appropriate actions where applicable.
- Share the evaluation reports with LGAs

HLGs are responsible for the following tasks:
- Conduct evaluation of LGDG activities in HLG and LLGs
- Prepare evaluation reports and submit to RS.
- Cooperate with and submit information to external evaluators
- Share the evaluation reports within LGAs

LLGs are responsible for:
- Cooperate with and submit information to evaluators

The focus of LGDG evaluation is to compare planned with intended outcome achievement; establish how and why outputs and strategies contributed to achievement of outcomes; and impacts and to address questions of relevance, effectiveness sustainability and change. Because of the above, the following evaluation framework is proposed:

3.5 The Evaluation Framework (What to be evaluated)

Outcome	Indicators	Information Source	Activities	Responsibility	Reporting
Service facilities are functioning effectively	Number of service facilities completed and functioning	CDR, Assessment and M&E Reports	Check number of completed and functioning service facilities	LGAs, RS	Annually or as determined
	Number of people utilizing service facilities	Service facility reports Assessment & Monitoring Reports	Check from service facility attendance records, sample survey	LGAs, RSs	Annually or as determined
	Adequate budget allocated for O&M	CDR, Assessment Reports	Check amount of budget earmarked and spent for O & M	LGA, RS	Annually or as determined
	M &E undertaken effectively	M&E Reports	Check M&E reports against plans	LGA, RS & PMO-RALG	Annually or as determined
	Service facility committees established and functioning	Minutes of Service facility committees Assessment & Monitoring Reports	Check the number of meetings, attendance and issues discussed	LGA, RS	Annually or as determined
Community Priorities are realized	Number of community prioritized projects completed and functioning	CDR, Assessment and M&E Reports	Check number of completed and functioning community prioritized projects	LGA, RS	Bi Annual, Annually or as determined
	Number of community prioritized projects included in the LGA plans and budget	LGA Plan & Budget, MTEF, Assessment and M&E Reports	Check number of community prioritized projects included in the LGA plans and budget	LGA, RS	Bi Annual, Annually or as determined
	Amount of CDG spent on community prioritized projects	CDR, CFR, Assessment and M&E Reports	Check amount of CDG spent on community prioritized projects	LGA, RS	Bi Annual, Annually or as determined
	Number of community self help initiated projects identified and supported	MTEF, CDR Assessment and M&E Reports	Check the list of community self-help initiated projects that are being supported	LGA, RS	Bi Annual, Annually or as determined
	Number of community self-help initiated projects included in the LGA plans and budget	LGA Plan & Budget, MTEF, Assessment and M&E Reports	Check number of community self-help initiated projects included in the LGA plans and budget	LGA, RS	Bi Annual, Annually or as determined
	Number of community self-help initiated projects completed and functioning.	CDR, Assessment and M&E Reports	Check number of completed and functioning community self-help initiated projects	LGA, RS	Bi Annual, Annually or as determined
Fair distribution of LGDG funds within the LGA	The criteria for fair distribution of funds within the LGA adhered to	Criteria for fair distribution of funds within the LGA	Check whether the criteria is being adhered to	LGA, RS	Annually or as determined
	Number of projects implemented in underserved	CDR, MTEF Assessment and M & E Reports	Check number of projects implemented	LGA, RS	Bi Annual, Annually or as determined

Outcome	Indicators	Information Source	Activities	Responsibility	Reporting
	areas				
	Number of people in underserved areas accessing social services	Service facility reports, Attendance Sheets, Assessment and M & E Reports	Check number of people accessing services in the reports Carry out sample survey	LGA, RS	Bi Annual, Annually or as determined
	Quality of projects completed and functioning in underserved areas	Project reports, VFM reports, Assessment and M & E Reports	Check comments etc on the quality of projects from reports Sample a few projects and visit to check quality	LGA, RS	Bi Annual, Annually or as determined
	50% of the CDG allocated and utilized for LLGs	CDR, CFR, PVs, Bank Statements Assessment, Audit and M & E Reports	Check from reports and establish the 50% CDG allocation and utilization for LLGs	RS	Bi Annual, Annually or as determined
LGAs' financial management is improved	LGDG funds are properly utilized as per guidelines	CDR, CFR, PVs Assessment, M & E and Audit Reports	Check for adherence with guidelines, financial regulations and audit queries	LGA, RS and PMORALG	Bi Annual, Annually or as determined
	Procurement rules and procedures are adhered to in all LGDG projects implemented in LGAs	Procurement Plans, Records & Reports; Assessment, M & E and Audit Reports	Check for adherence to procurement rules and procedures and audit queries	LGA, RS and PMORALG	Bi Annual, Annually or as determined
	Revenue enhancement efforts in place and implemented	Revenue enhancement strategies, revenue performance reports, Assessment and M & E Reports	Check action plan and activities on revenue enhancement (*enacting by law, identification of new sources of revenue, use of ICT etc*)	LGA, RS	Bi Annual, Annually or as determined
	5% - 10% of own sources allocated and utilised for community self-help initiated projects	Council Plan and Budget/ MTEF, CDR, CFR, Assessment and M & E Reports	Check for the amount allocated and utilised	LGA, RS	Bi Annual, Annually or as determined
	2-3% of the CDG allocated and utilised for rehabilitation of service facilities	Council Plan and Budget/ MTEF, CDR, CFR, Assessment and M & E Reports	Check for the amount allocated and utilised	LGA, RS	Bi Annual, Annually or as determined
	Follow up actions of Internal Audit and CAG recommendations.	Internal Audit/ CAG, Assessment and M & E Reports	Check for actions taken by the LGA	LGA, RS	Bi Annual, Annually or as determined
Remote/Hard to Reach LGAs are completing Quality Projects	Quality of projects implemented in remote/ hard to reach LGAs is improved	Project Completion Reports, VFM Reports, Assessment and M & E Reports	Obtain list of completed projects Sample a few projects and visit to check quality	LGA, RS	Annually or as determined
	Remote/ hard to reach LGAs are able to attract and utilize qualified contractors	Project and Contract Documents, Assessment and M & E Reports	Review project documents to establish the status of contractors used and compare with CRB classifications	LGA, RS	Annually or as determined

Outcome	Indicators	Information Source	Activities	Responsibility	Reporting
	Projects implemented by local *fundis* in hard to reach LGAs are of the desired quality	Project Completion Reports, VFM Reports, Assessment and M & E Reports	Obtain a list of projects completed by local *fundis* and criteria for selecting them Sample a few projects and visit to check quality	LGA, RS	Annually or as determined
The cases of carryover of funds are minimised	Timely release of funds to LGAs by Treasury (MoF)	Bank Transfer Slip	Check dates of receipt of funds Establish reasons in case of delays	PMO-RALG	Annually or as determined
	Timely disbursement and utilisation of funds for LLGs	CDR, CFR, PVs, Bank statements, Assessment and M & E Reports	Check and compare time of receiving and disbursing by HLG Check and compare time of receiving and utilising for LLGs	LGA, RS	Bi-annual, Annually or as determined
	Timely preparation and dissemination of funds utilization reports	CDR, CFR, Assessment, M & E and Audit Reports	Check timing of submission of CDR and CFR	LGA, RS	Bi-annual, Annually or as determined
	Number of cases of carryover of funds minimised	Financial Statements; CDR, CFR, Assessment, M & E and Audit Reports	Check and establish whether carryover of funds cases are increasing or decreasing and establish the reasons	LGA, RS	Annually or as determined
	Procurement implementation in accordance with procurement plan	Procurement Plans, Records & Reports; Assessment, M & E and Audit Reports	-Check and compare procurement implementation with procurement plan -Establish reasons for delayed procurement	LGA, RS	Bi-annual, Annually or as determined
	Capacity for project management at HLG and LLG strengthened	Project plans, Project implementation reports, CDR, Assessment and M & E Reports	-Check and compare project implementation reports with project plans -Establish reasons for delayed implementation	LGA, RS	Annually or as determined
LGA's Human Resource is developed and well managed	60% of CBG allocated and utilised for LLG	CDR, CFR, PVs, Banks Statements, CB reports Assessment, Audit and M & E Reports	Check from reports and establish the 60% CBG allocation and utilisation for LLGs	LGA, RS	Bi-Annual, Annually or as determined
	CB activities at HLG and LLG implemented as per CBP	CB reports, CDR, CFR Assessment, Audit and M & E Reports	Check activities implemented compared to the CBP Crosscheck with a few sampled beneficiaries	RS	Annually or as determined
	Evaluation of training conducted as per LGA Training Strategy	Training Evaluation Reports, Assessment, Audit and M & E Reports	Check training activities implemented compared to the evaluation reports Interview a few sampled beneficiaries	LGA, RS and PMORALG	Annually or as determined
	Number of vacant posts at HLG and LLGs filled	MTEF, Establishment and Other HR Reports e.g. inspection reports by PO-PSM; Assessment and M & E Reports	Check filled vacant posts Vs existing vacancies	LGA, RS and PMO-RALG	Annually or as determined

Outcome	Indicators	Information Source	Activities	Responsibility	Reporting
	Number of staff retained in LGA	Staff retention schemes, Assessment and M & E Reports	Check rate of staff turnover to establish whether is decreasing or increasing Establish reasons if increasing	LGA, RS and PMO-RALG	Annually or as determined
LGDG is properly allocated to the LGAs	LGDG allocation formula is adhered to	LGDG Allocation Formula, LGDG Allocation Reports	Check and compare amounts allocated Vs allocation formula Establish reasons for differences	PMORALG	Annually or as determined
	LGDG allocation formula is disseminated and familiar to all stakeholders	Dissemination reports	Sample a few stakeholders to find out if they are familiar with the allocation formula	PMORALG	Annually or as determined
	Number of LGAs meeting national minimum standards (NMS) of service delivery	Sector performance reports, VFM Reports, Sector Inspection Reports, M&E Reports	Check for deviations from the NMS and establish reasons for not meeting the NMS Sample a convenient number of LGAs	RS, PMO-RALG	Annually or as determined
	Number of poor LGAs receiving adequate LGDG funding	LGDG Allocation Formula, LGDG Allocation Reports	Establish list of poor LGAs Compare allocated LGDG with that of other LGAs Establish reasons in case of inadequate funding	RS, PMO-RALG	Annually or as determined

3.6 Resources for M&E

The M&E activities will be funded from the LGDG pool the source of which is the Government Budget and contribution from various other sources i.e. Development Partners (DPs), Sector Ministries, LGAs and community. According to the LGDG Operations and Implementation Guide, 8% of the LGDG pool will be committed to M&E as a sub-grant i.e. Monitoring and Evaluation Grant (MEG). The annual assessment will check on compliance and the way the M&E funds are utilized.