



**KINGDOM OF CAMBODIA  
NATION RELIGION KING**



**National Committee for Sub-National Democratic Development (NCDD)**

# **NCDD M&E MANUAL**

**June 2019**

## Preface

Globally, there has been a significant shift away from the project based approach in favour of programme approach. Meanwhile, the Royal Government of Cambodia has also opted for program and national approaches through articulating national priorities and sustainable development goals. The programme approach is much more than a means of collecting projects in a given area into a programme but it is logical approach that integrates the processes of planning, implementation, monitoring, evaluation and management practices as well as mobilization of resources and contribution technique supports from both the government and development partners to respond to those priorities and development goals in a specific timeframe. In this regard, in order to promote decentralization and deconcentration reform, the government has launched a 10-year National Program on Sub-National Democratic Development which is facilitated by the NCDD. Therefore, NCDD is expected to delivery tangible results in the implementation of the 10-year national programme on sub-national democratic development (NP-SNDD). At the same time, NCDD is also expected to ensure accountability to the Government and its partners for how resources are used, what results are achieved, and how effective these results are in bringing about progress in the sub-national service delivery and local development as well as poverty reduction.

In order to achieve these results, monitoring and evaluation is considered as an essential task in reviewing, correcting, and orienting the implementation of the plans, program and legal frameworks related to the reform. In addition, monitoring and evaluation also assists NCDD managers to obtain the basic information and evidence for decision-making, strategic planning and resource mobilization. Thus, it is a key measurement activity in our efforts at achieving organizational effectiveness. Simply put, if we don't have M&E tools, we can neither measure nor manage the performance.

Based on the benefits of monitoring and evaluation, the manual on monitoring and evaluation for sub-national democratic development is designed to support the NCDD and IP3 implementers, especially those responsible for monitoring and evaluation, by introducing a number of monitoring and evaluation methods and tools, such as policy evaluation, impact evaluation, monitoring and evaluation of AWPB implementation, assessment of capacity development, governance survey, and IP3 Results Framework.

Although this NCDD M&E Manual primarily aimed at IP3 implementers but it would be an interesting and useful resource for all M&E practitioners that share the common goal in ensuring professional standards of quality in monitoring and evaluation and effectively serving the people. As a vehicle for organizational shared learning, NCDD looks forward to receiving your helpful input to make this manual an even more relevant and effective contribution to the achievement of the national program goals and objectives.

Phnom Penh Capital, June 14, 2019  
Deputy Prime Minister, Minister of Mol and  
Chairman of NCDD

**Samdech Krolahom Sar Kheng**

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## ABBREVIATIONS

AWPB	Annual Work Plan and Budget
BOG	Board of Governors
CDB	Commune Database
CS	Commune/Sangkat
CSO	Civil Society Organization
DM	District/Municipality
DMK	District, Municipality and Khan
DP	Development partner
HR	Human resources
IP3	Three-year Implementation Plan of National Programme
M&E	Monitoring and Evaluation
MEF	Ministry of Economy and Finance
MEID	Monitoring Evaluation and Information Division
MIS	Management Information System
MOI	Ministry of Interior
MOP	Ministry of Planning
NCDD	National Committee for Sub- national Democratic Development
NCDD-S	Secretariat of NCDD
NP	National Programme (for Sub-national Democratic Development)
NP-SNDD	National Programme for Sub-national Democratic Development
PADD	Policy Analysis and Development Division
PMSD	Programme Management Support Division
RGC	Royal Government of Cambodia
SMART	Specific, Measurable, Attainable, Realistic, Time-bound
SNA	Sub-national Administrations
TA	Technical Assistance
WB	World Bank

## TERMINOLOGY and DEFINITIONS

<b>Term</b>	<b>Definition</b>
Accountability	The obligation of power-holders to answer for their actions, to an authority that may impose a penalty for failure
Activity	Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs
Governance	Methods that state and institutions use in economic, social, and security management to serve the common interest of people.
Impact	Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended
Indicator	Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor
Input	The financial, human, and material resources used for the development intervention
Outcome	The likely or achieved short-term and medium-term effects of an intervention's outputs
Output	The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.
Transparency	The provision of timely and reliable information, which is accessible to all relevant stakeholders

# CHAPTER 1

## INTRODUCTION

### 1.1 Introduction

This manual summarizes the main M&E practices of NCDD. The manual is intended to assist M&E staffs of NCDDs and IP3 implementers practice M&E. Most M&E processes are outlined in the IP3-III Results Framework and M&E Strategy. This document therefore provides extra detail on how the processes are expected to take place. Table 9 reproduces the IP3-III results framework together with the values of the indicators. Readers should become acquainted with the entire Results Framework document rather than just the list of indicators.

This manual summarizes the information in several other M&E manuals. Each chapter cross-references these relevant manuals and documents as listed below.

- Results framework and M&E strategy 2017 as an annex of IP3-3
- Governance Survey Reports 2013 and 2016
- Annual Workplan and Budget 2017
- Manual for developing AWPB Implementation Indicators
- DMK Capacity Assessment Manual
- DMK Capacity Assessment Database Manual
- DMK Capacity Assessment Report 2011
- IP3 CD Assessment Report 2017
- IP3 Semi-Annual Progress Report and Annual Report 2017
- Manual for collecting SNA Recurrent Data in CDB system
- Policy Monitoring and Evaluation Strategy
- Various evaluations

This manual does not:

- Review M&E concept; it does not intend to provide a background course on M&E. These are very well documented on the internet and the Division has provided several training programs in M&E. The NCDD Library has been provided in both hard and soft copies of M&E documents
- Describe SNA M&E systems such as the CDB, SPD, and others

### 1.2 Structure of the Manual

This manual is divided into 8 chapters as follows:

- Chapter 1 is the Introduction;
- Chapter 2 describes the Annual Workplan and Budget (AWPB);
- Chapter 3 describes Progress Reporting;
- Chapter 4 describes the Governance Survey;
- Chapter 5 describes the Capacity Assessment;
- Chapter 6 describes Policy Monitoring and Evaluation;
- Chapter 7 describes Impact Evaluation (of policies or programs) and
- Chapter 8 summarizes IP3-III Results Framework.

## CHAPTER 2

### SUPPORT TO THE PREPARATION OF THE IP3 AWPB

#### 2.1 Introduction

The MEID plays an important role in the development of the IP3 AWPB (Annual Workplan and Budget), but the lead is taken by the Program Management and Support Division (PMSD). From the perspective of M&E it is essential to get the plan “right” otherwise monitoring will be difficult. In particular:

- The AWPB needs to be clear and easily understood; otherwise we cannot monitor it or report on it;
- Outputs need to be kept to a minimum with activities fitting in logically; the plan must tell a simple story. When things don’t make sense implementation reports seem silly. The size of the plan is also an issue. The plan needs to clearly outline the main points and provide emphasis on what the IP3 intends to achieve and implement;
- Activities need to be sequenced logically, with realistic time lines. There has been a tendency to make activity planned start dates as “quarter 1” and activity planned completion dates as “quarter 4.”

To understand the information required in the AWPB, it is useful to work backward from what will be monitored. As can be seen on the next page (Table 3) the following is required:

- **RESULTS:** The first column lists the “results,” in the form of a hierarchical arrangement of components, outcomes, outputs, activities, and line items (inputs).
- **INDICATORS:** Each output or activity is monitored through a series of indicators. A planning entity (output, activity, etc.) may have zero (no), one, or multiple indicators. Indicators are the numbers or data used to assess or measure the result, typically its quantity. Since the plan is large, it is not necessary to attach indicators to each and every result. Results may not have indicators because: (i) a planning entity (activity, output) may be vaguely worded and not possible of being measured; (ii) some results are so insignificant and unimportant that they are not worth the time and effort of collecting data; (iii) there may be repetition, for example, it is common for the last activity in a sequence to be the same as the output, as is depicted with output 1.2.1.1 in Table 2. In this case, the practice has been to assign the indicator to the output and to leave the final activity blank.

**Table 1 : Example of Workplan**

Code	Result	1	2	3	4	5	6	7	8	9	10	11	12
<b>1.2.1.1</b>	<b>Complete function review for ministry</b>	x	x	x	x	x	x	x	x	x	x	x	x
1.2.1.1.1	Draft a functional review sub-decree	x	x	x									
1.2.1.1.2	Complete a functional mapping in ministry				x	x	x	x	x	x			
1.2.1.1.3	Complete a functional review in ministry										x	x	x
<b>1.2.1.2</b>	<b>Develop functional review regulations</b>	x	x	x	x	x	x	x	x	x	x	x	x
1.2.1.2.1	Identify FR regulations to develop	x	x	x	x	x	x						
1.2.1.2.1	Develop regulations							x	x	x	x	x	x

**Table 2: Typical Monitoring Data**

Result	Description	Indicators			Budget			Comments
		Target	Jan-Dec	Accumulated	Budget	Expense	Balance	
1.1. Outcome								
1.1.1. IP3 Output								
1.1.2.1: AWPB Output	Indicator							
1.1.2.1.1: AWPB Activity	Indicator							
Item expenditure	Indicator							
Item expenditure	Indicator							
1.1.2.1.2: AWPB Activity	Indicator							
Item expenditure	Indicator							
Item expenditure	Indicator							
Item expenditure	Indicator							

- **INDICATOR TARGETS:** Not all indicators should or could have targets. First, the activity, or output may be part of a process where the result of the process is not known. An example of this is output 1.1.2.1 in Table 4. Second, it may not be possible to know the target beforehand, for example, when training is arranged it is not feasible or desirable to have targets for the number of women attending. This is not a good indicator of performance.
  - **INDICATOR ACTUAL VALUES:** are annual but the actual values of the indicators are quarterly and cumulative
  - **BUDGETS:** Budget and financial information comes from the accounting department
  - **TIME LINES:** A monthly activity schedule is an essential management tool. It is important to know which activities are behind schedule (have not started on time or are late being finished). The planned start and completion months are not exact but there are many cases in the plan where activities are 6 months, one year or even two years behind schedule.
  - **COMMENTS** are descriptions of progress entered by implementers. They will typically be about one paragraph long and may identify achievements, issues and constraints.
- Key documents which will help explain the AWPB and its development process include:

**Table 3: Documents Related to AWPB**

DOCUMENT	DESCRIPTION
AWPBs	The document provides a format for the AWPB which is prepared by the PMSD
List of standard indicators in Excel for outputs and activities	This describes how to assign indicators in the AWPB for outputs and activities. The list is updated annually.
AWPB Standard Indicators Generator	This is the database used to generate standard indicators which are then entered into the NAD. The manual (listed above) describes how to use the software
IP3-III Revised Results Framework	This contains a list of summary implementation indicators, which are reproduced (revised) in Annex 1

NAD Manual	The manual describes key elements of the planning process, including identifying and assigning indicators for outputs and activities, and how they are implemented
AWPB guidelines	The guidelines describe the AWPB planning process, formulation of joint decisions (agreements) between NCDD and IP3 implementers, AWPB implementation and M&E.
Joint Decision (agreement) on AWPB implementation	The PMSD can provide examples of Joint Decisions

## 2.2 AWPB Process

The process for the formulation of the AWPB is conducted in accordance with AWPB Manual. Essentially, the planning and monitoring process will be computerized through the NAD (National AWPB Database). However the process for the AWPB planning are summarized in the table below:

**Table 4: General Process for Preparing the AWPB**

No.	STEP	ACTIVITIES	TIMEFRAME
1.	Review implementation of the previous year AWPB and the IP3; and draft a preliminary outputs	NCDDS conducts review on implementation of previous year AWPB and IP3 and draft a preliminary outputs and activities by IP3 implementer	Quarter 1
2.	Mobilize, confirm and estimate resources from Government and DPs for AWPB	NCDDS conducts meeting with IP3 implementers to provide instructions on AWPB formulation and provide budget planning figures to IP3 implementers	Quarter 2
3.	Prepare a draft AWPB	Each IP3 implementer formulate outputs and activities based on preliminary outputs and activities	Quarter 2
4.	Review the AWPB	NCDDS review and appraise draft AWPBs of IP3 implementers	Quarter 2
5.	Draft the AWPB document including priorities and milestones	NCDDS consolidate and draft NCDD AWPB based on outputs and activities of IP3 implementers	Quarter 2
6.	Organize National Workshop on NCDD AWPB Formulation	NCDDS will organize a National Workshop on NCDD AWPB Formulation to present and get comments from IP3 implementers on the draft of NCDD AWPB	Quarter 2
7.	Finalize and approve the NCDD AWPB document	Based on result of the National Workshop on AWPB Formulation, NCDDS revise and finalize the AWPB document and submit to NCDD for review and approval	Quarter 3
8.	Finalize and approve Joint Decisions between Ministries and Capital/ Provinces on AWPB implementation	Ministries and Capital/ Provinces prepare and sign Joint Decisions with NCDD on CP AWPB implementation	Quarter 4
9.	Finalize and approve Joint Decisions between Capital/ Provinces and Municipalities/ Districts on AWPB implementation	Provinces, on behalf of NCDD, sign Joint Decision between the Province and DMs on the DM AWPB implementation	Quarter 4

## 2.3 Priorities and Milestones

There are two types of outputs in the AWPB: 1) key outputs and 2) supporting and operation outputs.

Priorities are key outputs that must be completed in each year. They are identified based on IP3 outputs and main activities and in close consultation with relevant ministries, SNAs, DPs, CSOs and other relevant stakeholders. Each key output consists of a number of main activities called milestones.

Milestones are main activities of the key outputs used to identify significant events in a schedule, such as the completion of a major phase or event. They are selected because they are representative of overall progress and because they track progress towards strategic change. The PMSD together with the MEID should agree on a set of important milestones. The milestones:

- If met, should indicate that the program is on target. Therefore they should be a sub-set of the key outputs that need to be completed
- Milestones will be spread out throughout the year.

## 2.4 Developing Indicators

A database has been developed to assign standard indicators to AWPB results (outputs and activities). The database is in Excel and is updated annually.

Standard indicators are indicators which can be aggregated across different activities or outputs in the AWPB.

**Table 5: Example of Standardized Indicators for Output and Activity**

ID	Results	Target	LAs	IAs
	<b>For Output</b>			
<b>51</b>	<b>Complete an organizational reviews for CPs and DMKs</b>			
5101	Number of organizational analyses/ reviews completed			
5102	Number of institutions restructured in line with decentralization			
5103	Projected cost savings of restructuring (\$ US Millions)			
	<b>For Activity</b>			
<b>12</b>	<b>Meeting, Workshops, Training, Forums and other events</b>			
1201	Number of training, workshops, meetings, forums...conducted			
1202	Length in days of the training, workshops, meetings, forums...			
1203	Total number of participants			
1204	Number of female participants			
1205	Number of national level participants			
1206	Number of SNA participants			
1207	Number of female national level participants			
1208	Number of female SNA participants			
1209	Number of reports prepared			
1210	Number of minutes including agreements and recommendations prepared			

Each row in the AWPB (for example activity) may describe a particular event to be conducted. A standard indicator, in this case, (Number of training conducted) allows the aggregation of the data across the plan. Similar indicators monitor number of people trained (regardless of the topic) or number of workshops held (again, regardless of the topic). Therefore, the specific result describes exactly what is to be produced, while the standard indicator groups the results. At the end of the

day, the goal is to link a specific result in the AWPB with a set of standard indicators. The easiest way to do this was to establish intermediate “standard activities,” such as “conduct TOT training for CPs.”

The NAD manual describes how standard indicators can be assigned to outputs and activities.

## **2.5 Developing Time Lines (activity schedules)**

It is important to have a record of when activities are expected to start and be completed. This will be done monthly, for example, the functional mapping will be conducted from January-March. The PMSD will check that activity schedules are meaningful and accurate.

## **2.6 Preparing the NCDD AWPB Document**

Every year, the NCDD AWPB document will be formulated. Essentially, the AWPB includes key contents as follows:

- Overview
- Summary of priority outputs that must be completed each year
- Budget summary
- Description of all outputs and key targets to be produced by IP3 component
- Detailed activities including budgets, implementing agencies and timelines

## **2.7 Preparing the Joint Decisions (Agreements)**

Once the NCDD AWPB is approved, Joint Decisions (JD) between NCDD and IP3 implementers (ministries, CPs, DMs and other concerned agencies) on the implementation of the NCDD AWPB will be formulated and signed. CP Governor, on behalf of NCDD, will sign JDs of DM administrations. Key elements of the JD include:

- JD provisions describing purposes of JD, responsibilities of NCDD and implementing agency etc.
- Spreadsheet of detailed activities, of each IP3 implementer, including total budget, budget flow, implementing agencies for each activity
- Spreadsheet of timetable for implementing each activity

## **2.8 NCDD Competencies and Knowledge Required**

The MEID and PMSD need to:

- Fully and completely understand the National Program and IP3s
- Understand planning
- Understand how to assign or develop indicators for activities and outputs
- Be able to develop the “AWPB Standard Indicators ” and liaise with MIS to export these indicators into the NAD
- Able to write a report, in English and Khmer

## **CHAPTER 3**

### **PROGRESS REPORTS**

#### **3.1 Introduction**

NCDD AWPB reports are prepared on a quarterly (covering January to March) or/ and semi-annual (covering January to June) and annual (covering January to December) basis. Essentially, it consolidates progresses in the NAD in terms of implementation and finances during the reporting period achieved by the IP3 implementers and relevant stakeholders.

Implementation reports of stand-alone programs and project can be prepared separately based on agreements between NCDD and individual Development Partners.

The reports are prepared in Khmer and then translated into English as necessary.

These processes are done regularly, by the IP3 implementers, through a computerized system of the National AWPB Database (NAD).

Main sources of information used to prepare the NCDD AWPB reports include:

- Progress including indicators, updated and reported by IP3 implementers in NAD, on the implementation of AWPBs of concerned ministries/ institutions and CPs including DMKs;
- Financial status, updated and reported by IP3 implementers in NAD, on the implementation of AWPB budgets of concerned ministries/ institutions and CPs including DMKs;
- Progress regarding procurement and staffing updated and reported by IP3 implementers in Staffing and Inventory Databases;
- Overall progress of the Results Framework updated by NCDD
- Other relevant reports and documents as required.

In general, the structure of the progress reports is as follows:

- An overview explains the purpose of the report and summaries key achievements against priorities including milestones and indicators, key issues and expenditures against budget sources;
- Detailed progress of all AWPB outputs including indicators, by IP3 component, focusing on key achievements and challenges; and
- Annexes contains the financial status, procurement, staffing and other related information.

#### **3.2 Progress Reports of IP3 Implementers**

The IP3 implementers will update and prepare progress reports on the implementation of their Joint Decisions, in the computerized system of NAD, on a monthly basis in accordance with AWPB planning manual and NAD manual.

The update on the implementation progress will be done against planned and focused on:

- Timeframe of the activity
- Indicators of the activity and
- Summary report focusing on key achievements and issues regarding the implementation.

At the end of the year, additionally, the IP3 implementers will prepare the end-of-agreement report to close their Joint Decisions.

Mainly, the report contains key information as follows:

- Summary of key achievements, budget expenditure and challenges during the year
- Detailed implementation progress by activity
- Expenditure by activity
- Procurement
- Other relevant progress reports and documents.

### **3.3 Financial Status of IP3 Implementers**

Based on the Joint Decisions, including the AWPB spreadsheet in the NAD, approved by NCDD, the IP3 implementers will prepare and establish accounting system in the computerized system of Peachtree for recording and monitoring the JD budget implementation. In this regard, the IP3 implementers will prepare their financial report on a monthly basis in the Peachtree, then import this report into NAD.

Based on the financial data in the Peachtree, the IP3 implementers will prepare monthly financial reports (in hard copy) and submit to NCDDS for replenishment.

The monthly financial report includes key information such as:

- Journal Voucher
- Summary of total budget, total expenditure and balance
- Account reconciliation
- Cash receipt journal
- Cash disbursement journal
- General ledger
- Advance statement
- Cash flow profile summary and
- Detailed expenditure by activity

Similarly at the end of the year, the IP3 implementers will prepare financial closing report of the JD. All balances will be returned to NCDDS for reallocation in the following year.

The financial JD closing report contains:

- Journal Voucher
- Summary of total budget, total expenditure and balance
- Account reconciliation
- Cash receipt journal
- Cash disbursement journal
- General ledger
- Advance statement
- Cash flow profile summary and
- Detailed expenditure by activity

### **3.4 Results Framework**

Based on the overall results framework of the program, the NCDD AWPB identifies output indicators and targets to be met annually. NCDDS will update on the accomplishment of the targets (output level) and include in the report.

## **CHAPTER 4**

### **GOVERNANCE SURVEY**

#### **4.1 Introduction**

The IP3 National Governance Survey is designed to track governance over time. It does so by constructing indexes based on roughly 250 different survey questions<sup>1</sup>. The questionnaire gauges the perceptions of both citizens and councilors, though the focus is clearly on citizens. As a perceptual survey there are serious limitations to how the information can be interpreted. For example, questions may be misunderstood or misinterpreted and responses may not be truthful; results depend significantly on the wording of the questions, how enumerators approached and questioned respondents, and so forth. The Governance Survey Reports in 2013 and 2016 identified these limitations, which affect all surveys. Because of this, it is necessary to triangulate results with other, less quantitative sources. Despite this limitation, the survey creates legitimacy and provides a mechanism to discuss and debate local governance. In terms of design and purpose:

- The survey needs to be repeated every three years
- The survey was designed to assess DMKs and CSs; its questions differentiate between them
- The survey disaggregates results according to different social groups (male/ female; poor/ non-poor; rural/ urban)
- The survey cannot draw conclusion about individual SNAs, zones, etc. and generally cannot be used to compare elements of governance like transparency vs. accountability.
- Because results cover so few CSs the results are difficult to link with the CDB or other commune level data to undertake statistical analysis. In some sense the survey is best considered “stand alone.”

#### **4.2 Governance Indicators**

The main purpose of the survey is not to focus on the indicators of the Governance found in the results framework. These indexes are too aggregated to tell us much other than the general trend. The underlying indicators and their disaggregation is more interesting. The 8 indexes found in the results framework of IP3-I are summarized as follows:

1. Service delivery
2. Policy alignment
3. Responsiveness
4. Vulnerable groups
5. Civic engagement
6. Transparency
7. Accountability and
8. Intra-Government

#### **4.3 Survey Process**

The governance survey should be undertaken every three years in line with timeframe of the IP3. In this regard the survey should be conducted in year 3 or final year of the IP3 with data collected (cleaned and ready for analysis by December). The report for should be prepared by the following year (April is a suitable deadline). The table below outlines a series of steps to undertake the survey. Each step can either be implemented by NCDD or by a consultant, depending on NCDD staff competencies at the time. Three possible consultancies are possible:

- A technical consultant to: (i) adjust the sampling frame, (ii) revise the questionnaire, (iii) complete all the calculations based on the raw data;
- Collect the data and enter the data into social science software package;
- Prepare the report.

Key activities for undertaking the survey are summarized as follows:

**Table 6 : Workplan for Governance Survey**

No.	activities	Description
1	Plan for the Survey in the AWPB	Ensure the survey is contained in the AWPB. It may be listed as one activity (Complete and document the IP3 National Governance Survey) or it may be broken down into its main steps (Collect data for the Governance Survey, Prepare Report on the Governance Survey) depending on timing
2	Form a team and review all documents	Form a team responsible for completing the survey report. The team should start by thoroughly reviewing the methodology and results from previous surveys. It should consult all relevant documents
3	Meet with relevant stakeholders to finalize and mobilize resources to support the survey	Prepare and make a presentation on the plan for survey to the stakeholders for their comment and input to finalize the plan as well as to mobilize resources
4	Review and finalize the sampling framework	The sampling framework is described in the Survey Methodology document
5	Review the TOR and revise the questionnaire	The questionnaire was last reviewed following the previous surveys. Comments on improvement of the questionnaire can also be found in the Survey Methodology document.
6	Procure a consultant for data collection	Procurement may take two months. It is necessary to closely follow up the NCDD Procurement office so not to fall behind
7	Consultant collects the data	
8	Backstop the consultant	It is necessary to make occasional field visits to ensure the consultant is working as expected and that the data collected is genuine. Backstopping the consultant is described in the Survey Methodology
9	Check the completeness and consistency of the data provided by the consultant	The data provided by the consultant needs to be rigorously checked. There is likely to be missing data and data that is not consistent, for example concerning follow up questions. This process, of checking data can be very, very time consuming and at least 2 solid weeks should be put aside
10	Undertake statistical tests of the data provided by the consultant	As described in the methodology, statistics can be used to test for outliers. This may identify inaccurate data entry. Tests should be run before making a decision whether to pay the consultant
11	Clean data provided to NCDD	The contract needs to carefully specify the date for receiving clean data
12	Finalize the data and pay the consultant	Once the data checks out, pay the consultant
13	Review other governance studies undertaken in Cambodia	Contact other DPs and search the internet for other governance surveys

No.	activities	Description
14	Formative data analysis	The governance survey will make dummy table or Formative index calculation to perform its data analysis and comparison with the previous dataset.
15	Using the data provided, for each variable calculate means, minimums, maximums and standard deviations	Using social science software package undertake statistical analysis on the clean data. Save results in Excel as an input into the report
16	Using the report from previous surveys undertake any other analysis required to reproduce the data	As above. The report writing will have to specify the data required. E.g. the spreadsheet from previous surveys is indicative of the data required. By reading the report (and reproducing it), data requirements should become obvious
17	Statistically analyze whether individual indicators and indexes have changed since the first survey	This has never been done before, but basically, using the standard deviations of underlying indicators within an index a statistical test will need to be done concluding whether variation in the data can be ruled out as being non-random.
18	Prepare the Report	This will take perhaps a month or two
19	Circulate the Report for comments	Circulate the report to DPs, civil society, NCDD and other institutions.
20	Finalize the report	Incorporate comments; fix inaccuracies
21	Make Presentations	Prepare and make presentation to relevant stakeholders
22	Disseminate the report on NCDD website	Disseminate the last version of the report on NCDD website for publics

#### 4.4 Reporting Competencies

Preparing the report is a highly technical exercise. It is rather time consuming. Although the data collection (interviews, data input) is sub-contracted, NCDD will still need to:

- Review the sample frame, TOR, and questionnaire. This requires a sound understanding of statistics as well as questionnaire design.
- Analysis of the data, including generation of means and standard deviations, preparation of queries, and statistical analysis of significance across time
- Review drafted report and facilitate presentations

#### 4.5 Future Research and Data Sharing

There is a massive amount of data in the report which can be disaggregated in interesting ways, for example by gender and poverty. Because the previous survey data covers only 96 communes and 48 DMKs it is probably not appropriate for causal inference.

## CHAPTER 5

### SNA CAPACITY ASSESSMENT

#### 5.1 Introduction

Capacity development is an important part of NCDD efforts to promote sub-national democratic development. MEID is responsible for conducting and facilitating the capacity assessment is part of the capacity development in close collaboration with relevant other divisions such as PADD. In principle the capacity assessment should be undertaken on a regular basis. In 2011 NCDD developed DMK Capacity Assessment Manual and conducted a first capacity assessment on DMK administrations. Importantly the DMK Capacity Assessment Manual describes how provinces will undertake the assessment and how a dialogue and discussion about capacity will take place within this framework. The procedure is envisioned to be constructive, supportive and undertaken jointly; it intends to identify constraints and makes recommendations to improve DMK performance. The key elements of the capacity assessment are summarized as follows:

- The process is a structured dialogue about performance. The intention is that the assessment indicators are “actionable” in the sense that they should help identify ways to improve SNA operations
- The capacity assessment process is implemented as part of the routine work of Capital/Provinces
- The dialogue is “evidence-based,” and involves the discussion and interpretation of a set of indicators and checklists.
- The indicators, where possible, are objective and verifiable
- Capacities and indicators are organized according to the functions SNAs are supposed to undertake
- The indicators consist of scores and checklists which allows them to be summarized and indexed by function and by units within the SNAs who are responsible for the functions
- The assessment also covers how well the identified functions are currently undertaken, i.e. the degree to which capacity is “used” or the degree to which low capacity hinders an organization’s ability to undertake its mandate or functions
- The development of the assessment and dialogue process is expected to be dynamic and to change over time
- In the future, functions are likely to expand and as guidelines and operational manuals are developed a more specific set of standards will be developed. These will make it more clear what is expected of SNAs. The standards will be used to revise indicators and checklists
- The assessment aims to support the Organizational Development (OD) process. It is expected OD will review results from this exercise
- The process is evidence based, includes “means of verification,” and is derived from functions and expectations found in “regulatory instruments.

Key documents related to SNA capacity assessment include:

- DMK Capacity Assessment Manual 2011
- Manual on DMK Capacity Assessment Baseline Data Preparation 2012
- DMK Capacity Assessment Reports 2011 and 2013
- NCDD Manual on SNA Organizational Capacity Development 2012
- SNA Capacity Development Evaluation Report 2017
- IP3s CD Strategies
- IP3s Results Framework.

## 5.2 Capacity Assessment Process

The SNA capacity assessment will be undertaken in the following steps:

- Develop, review and revise indicators and document them in the database
- Review and revise forms
- Train staff in undertaking the assessment
- Collect data and export to Excel
- Import the data into the Database
- Assess data quality and review and revise the data to finalize it
- Prepare reports.

## 5.3 Review of Indicators

At the end of the year the indicators need to be reviewed and revised. A more in-depth review will need to take place if functions are added to SNAs. The trend should be to reducing these indicators in order to facilitate more discussions on capacity and to improve the quality of data collected. The review of indicators must also include:

1. Assigning functions to the indicators. This assignment (described in more detail in capacity assessment manual) determines how indexes are automatically calculated
2. Assigned the indicator to forms. The assignment of forms (and codes) determines who collects the indicator. Assign CD Unit Codes to the indicator which is required in the automatic conversion of Excel files to the Access files.

## 5.4 Revision of Survey Software Forms

From the database defining the indicators and indexes, print the forms. This information should be incorporated into the Survey Software. The Survey Software, during 2012 was implemented using Lime Survey Software. The list of indicators in each form will be converted into the computer.

## 5.5 Training

Once the indicators are finalized and survey software updated training can commence. This should take place in the beginning of the year (for example during January). MEID is responsible for developing training materials and taking lead in conducting the training.

## 5.6 Data Collection and Data Entry

Capital and provinces are responsible for conducting the SNA Capacity Assessment. However, the data entry can be done by each level of SNAs.

For example of DMK Capacity Assessment each DMK will enter data on all forms. The key forms of the assessment are listed below:

- DMK Council Chief Form
- DMK Council Member Form
- Administration Director Form
- Council Meeting and Decision Making Form
- Board of Governors Form
- Administration and Finance Office Form (Finance sector)

- Admin and Finance Office Form (Admin sector)
- Planning and CS support office (DM) Planning
- Inter-sector Office Form
- Staff Self-assessment Form
- CS Council Chief Form
- WCCC Form
- Provincial Assessment Form
- One Window Service Office Form

Each indicator on the form must have a code attached to it. The codes are called “CD Unit IDs” in the software. These are described in more detail in the software manual.

When DMKs enter the data, it is first saved on their computer and then later posted (automatically) to the NCDD server.

When the data has been finalized (i.e. is complete, covers all forms and all DMKs) the spreadsheets will be provided to the MEID. Each spreadsheet must:

- Be named started with the word FORM, like FORM1, Form2, Form 12.
- Be copied to the directory where the database is stored. Forms from previous years must be saved elsewhere because the software will automatically read in all EXCEL spreadsheets located on the directory and starting with the 4 letters FORM.

Once all the forms are copied to the appropriate directory, the data can be read in using the database (see the manual).

## 5.7 Import the Data into the Database

To ensure the quality of data and reduce outlier before

From the database import the data. Once imported, to reduce human error and bias to check the validity of the data is necessary. If the data does not look right, the following steps may be taken:

1. In extreme cases call the DMK and ask them to correct it. This can be very time consuming and can only be done when the DMK data overall is of unacceptable quality. In most cases it is not possible to address outliers through phone calls
2. Revise the validation rules employed in the software to remove the inaccurate data
3. When either data or validation rules have been changed, the data needs to be processed again within the software.

## 5.8 Preparing Reports

The software can be used to generate all necessary reports. As described in the manual, data can be easily exported into Excel. In this respect, the term “report” is used in two ways:

1. To refer to outputs printed from the database software. These “reports” are then used to prepare the “DMK Capacity Assessment Report.” As mentioned earlier, it may be a better use of time and resources in the future, to prepare only a short report, but to attach a wider range of supporting data.
2. The “DMK Capacity Assessment Report.” As mentioned earlier, it may be a better use of time and resources in the future, to prepare only a short report, but to attach a wider range of supporting data.

## CHAPTER 6

### POLICY MONITORING AND EVALUATION

#### 6.1 Introduction

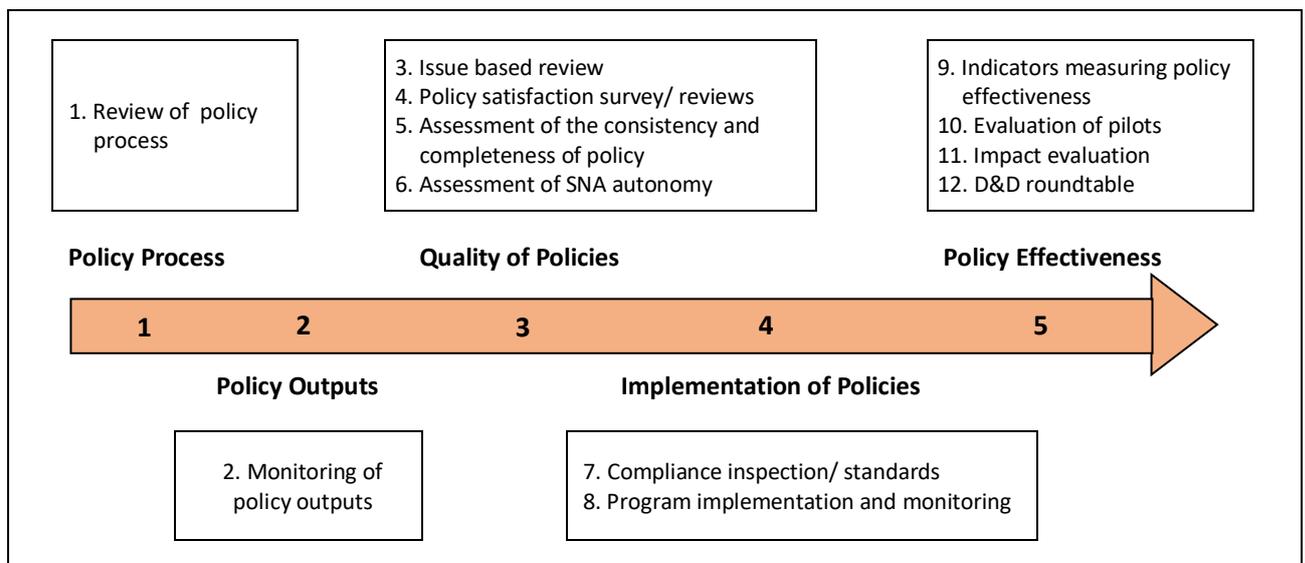
The “Policy Monitoring and Evaluation Manual” describes how NCDDS intends to monitor and evaluate policy. It describes the instruments and processes to be used as well as an action plan and institutional responsibilities. It defines policy as:

“A purposeful, consistent course of action, principles, or set of decisions: (i) produced as a response to a perceived problem, (ii) formulated by a specific political process, and (iii) adopted, implemented, and enforced by a public agency”.

#### 6.2 Framework for Policy Monitoring and Evaluation

The manual identifies and describes, in detail, 12 different policy monitoring and evaluation tools. These use a mix of quantitative and qualitative methods and are depicted below.

**Policy Monitoring and Evaluation Instruments**



#### 6.3 M&E Policy Workplan

Policy monitoring and evaluation is a long term proposition. The PMSD needs to work closely with the Policy Analysis and Development Division (PADD) in slowly adopting these instruments.

Moreover, every year the MEID, in consultation and cooperation with PADD, shall prioritize and prepare an M&E Policy Workplan focusing on key regulations to be monitored and evaluated.

## CHAPTER 7

# IMPACT EVALUATION

### 7.1 Introduction

Impact evaluation investigates causality. When NCDD wants to know whether the IP3 is effective, whether its outputs have resulted in outcomes, they are asking impact evaluation questions. Impact is a change in one thing (a variable) caused by another:

**IMPACT:** A change resulting from or caused by an intervention; the effects of an intervention, positive or negative, intended or unintended

Impact evaluations compare outcomes of those who received the program (individuals, communities, organizations) against those who did not. The intervention (an output, program, or policy) is what we do, while the outcome is the resulting change. The output has costs, while the outcome is a benefit. Mathematically, the output is the independent variable, while the outcome is the dependent variable. Impact occurs when A causes B (in shorthand: A-B). For example, did the implementation of the CS fund (A) result in or cause a reduction of poverty (B)? Or, did the IP3 (A) improve local governance (B)? Correlation (the observation that two variables tend to move together) is not the same as causality. Though A and B may be correlated, drawing causal inference must: (i) conclude B did not “reverse” cause A, (ii) conclude the observed change in B was not caused by a third or omitted variable (C), and (iii) rule out the possibility that the result was due to sampling methodology (i.e. ensure the correlation is generalizable). In practice meeting these three conditions is very difficult.

Impact is the difference between the changes that occurred with the intervention, and the changes that would have occurred had the intervention not taken place. This is called the counter-factual.

Ideally, the counterfactual (what would have happened) is actually constructed through experimental techniques, as it might in a laboratory. This is the process which is used in testing medicines, where patients are randomly assigned into a treatment group (receiving the medicine) and a control group (receiving a placebo). The control group is used to measure the counterfactual. A difference of differences (before and after between the treatment and control group) is used to measure the marginal impact of the treatment. The before and after scenario is used to address all the possible omitted variables.

Summative cost-benefit analysis cannot be done without first measuring marginal impact through such an impact evaluation.

### 7.2 Impact Evaluation Process

In an evaluation, because the counterfactual cannot be directly observed (because it did not happen), the counterfactual is calculated or implied, using either experimental or non-experimental techniques. In experimental techniques the data is generated intentionally, as part of the program design by randomly assigning individuals (or organizations or other unit of observation) into control and treatment groups.

Randomized experimental techniques could be used in the IP3 if CSs or DMKs were randomly placed into different groups, but the approach has not been to do this.

In experimental design the treatment and control group are known (and real) while in a quasi-experimental design the control and treatment groups are generated statistically.

**Table 1: Impact Evaluation Methods**

Types of Evaluation	Methods	Overview
Experimental Design	Randomized design	This involves the random assignment of individuals or households either as project beneficiaries, or as a control group which does not receive the service or good being provided by the project.
Quasi-experimental design	Regressions, Instrumental Variables and other statistical methods	This method involves the use of a “non- equivalent” control group to match as closely as possible the characteristics of the project population – either through propensity score matching or using a multivariate regression approach. This method often involves the use of large scale sample surveys, and sophisticated statistical analysis;

### 7.3 Impact Model and Data

Models are used to pose questions of impact. Indicators are the variables used to measure the “A’s” and “B’s” within the model of causality (A-B). In the example above, the hypothesis we wished to test was whether the CS fund reduces poverty. An indicator of the level of CS funding might be “CS funding per capita in constant \$US” while indicators of poverty might be “per capita GDP” or “% of the population below the poverty line.” The IP3 results framework identified three levels or types of D&D results (outputs, outcomes [SNA Results] and impacts [Citizen Results]) as well as numerous indicators that might be used to measure them.

In the IP3 model:

- Outputs are the improved individual, organizational and institutional capacity, where institutional capacity is taken to be an SNA improved political, administrative and fiscal autonomy.
- Outcomes are the improved functioning of SNAs, or further down the results chain, improved citizen welfare and the reduction of poverty. The table below outlines some of the key result areas and the availability of data.

**Table 2: Data Availability**

Types of Indicators	CSs	DMKs	CPs	Sources
<b>1. Inputs:</b>				
Expenditures/ funds	Some	Some	Some	MEF and Line Ministries
Staffing level per capita		Some	Some	MOI and MCS data
<b>2. Capacities</b>	N/A	Yes	Yes	CD assessment, NCDDS
<b>3. Degrees of autonomy</b>				
Fiscal	Some	Some	N/A	MEF
Financial Management	Yes	Yes	Yes	MEF
HR Management		Yes	Yes	MOI and MCS
Political	Yes	Yes	Yes	MOI, NEC
Assignment of functions	Some	Some	Some	NCDDS, Line Ministries
<b>4. Governance</b>				
Governance surveys	Some	Some	N/A	Governance Surveys, NCDDS

Types of Indicators	CSs	DMKs	CPs	Sources
Administrative data	N/A	Some	N/A	MIS, NCDDDS
Compliance data	N/A	N/A	N/A	MOI
<b>5. Service Delivery Levels</b>				
Infrastructure Projects	Yes	Some	N/A	PID, NCDDDS
Recurrent Services to citizens	Yes	N/A	N/A	NCDDDS
Administrative & internal Services	N/A	Some	Some	OWSOs, MOI
<b>6. Service Delivery Satisfaction</b>	Some	Some	N/A	Governance surveys, NCDDDS
<b>7. Poverty</b>	Yes	Yes	Yes	CDB, MOP

Additionally, there are extensive data from evaluations focusing on results of the IP3 that have been completed so far:

- DMK Capacity Assessments 2011, and 2013
- Mid Term Review of IP3-I, 2012
- Governance Surveys, 2013 and 2016
- Gender Audits 2013 and 2016
- Qualitative Governance Survey, 2017
- Mid-Term Review of IP3-II and National Program, 2016
- IP3 CD Assessment 2017
- CS Budget Execution Study 2008

## 7.4 Research Agenda

Research will be used, in the impact evaluation, to gain an understanding of underlying reasons, opinions, and motivations about the D&D reform. It will provide insights into the problem or help to develop ideas or design activities related to the D&D reform. The research is also meant to be a background and reference for researchers and policy makers in developing policies and making decisions.

A research agenda for NCDD can be found in “NCDD Research Strategy.” In brief the agenda is to identify D&D areas to be studied and methodologies to be used in the research. The research agenda should produce and indicate the evidence base and degree of implementation in real life practice.

## 7.5 Actions to Promote Evaluation

The MEID is responsible to promote the evaluation of D&D reforms by others. In most countries, evaluations are largely undertaken by Universities and research institutions. In order to promote others to more actively evaluate, it as planned NCDD would:

1. Standardize the D&D indicators and make these available to researchers,
2. Hold high level meeting with politicians and senior management of ministries/ institutions and SNAs to promote policy dialogues,
3. Hold or promote forums to disseminate and debate policies between researchers, universities, DPs, CSOs, media and other relevant stakeholders and Government,
4. Hold or promote D&D events to disseminate and dialogue policies between NCDD and relevant stakeholders.

## **CHAPTER 8**

### **RESULTS FRAMEWORK**

#### **8.1 Introduction**

The IP3s are monitored and evaluated through Results Framework which include indicators, targets and sources of information/ means of verifications (MOVs). Essentially the achievements of the IP3 are monitored and evaluated in three main ways:

1. Impact indicators which monitor and evaluate the IP3 achievement at goal level looking primarily, for examples, at poverty, autonomy;
2. Outcome indicators which monitor and evaluate the IP3 achievement at purpose level focusing on service delivery, governance, capacity and behavior change of staff, compliance;
3. Implementation indicators which monitor and evaluate the IP3 achievement at output and activity levels, through the implementation of AWPBs, looking at, for examples regulations on transfer of functions, HR and financial resources to SNAs, capacity development and information dissemination on D&D reform.

#### **8.2 Impact Indicators**

The IP3 achievement at goal level will mainly be measured through CDB (annually collected by Ministry of Planning), Sub-National Project Database (SPD), Governance Surveys, evaluations and other available data of local administration.

#### **8.3 Outcome Indicators**

The IP3 achievement at purpose level will mainly be measured through surveys, evaluations, assessments, studies such as governance survey, gender audit, CD assessment which will be conducted and facilitated by NCDD and other available data from ministries, institutions, DPs, CSOs and relevant stakeholders.

#### **8.4 Implementation Indicators**

The IP3 is implemented through AWPB. The AWPB includes indicators and targets of outputs and activities. These indicators will be developed on an annual basis by IP3 implementers in consultation and support of NCDD. The IP3 results framework identified implementation indicators largely focusing on the degree to which government is decentralized.

Decentralization is widely perceived as a means to deepen democratic governance and to improve administrative and service delivery effectiveness. It concerns the allocation between the center and peripheries of power, authority, and responsibility for political, fiscal, and administrative systems.

The degree to which government is decentralized is determined through law and regulation. The IP3 Results Framework assumes the degree of decentralization will evolve and grow over time, as increasing levels of autonomy are granted to SNAs. The autonomy, therefore, will be measured through a series of indicators such as vertical decentralization (how many levels of government there are), decision making decentralization, appointment decentralization, electoral decentralization, fiscal decentralization, and personnel decentralization.

The table below summarizes IP3-3 implementation indicators. They can be used in preparing progress reports.

**Table 3: IP3-III Results Framework**

ABBREVIATED RESULT	INDICATORS	BASELINE (YEAR)	TARGET 2018	TARGET 2019	TARGET 2020	NOTE AND MEANS OF VERIFICATION (MOV)
<b>Goal: SNAs are more a accountable and autonomous</b>						
	1. Poverty index calculated through CDB	17.51				CDB 2016/ MOP. There are no forward targets.
<b>Purpose: improve management, governance, resources and service delivery of SNAs</b>						
	2. Service delivery satisfaction index	66	70.4	74.8	79.2	Governance survey 20% increase
	3. Governance index	49.4 (2016)	52.7	56.0	59.3	As above
	4. DMK capacity index	51.5 (2013)	54.9	58.4	61.8	Capacity assessment 20% increase
	5. % of SNAs with satisfactory SNA compliance inspection scores	N/A	20%	35%	50%	See output 2.1.2
	6. Gender audit index	66.6 (2016)	71.0	75.5	79.9	20% increase; to be converted to social equity
<b>Component 1: Reform Management</b>						
Output 1.1.1 Restructuring	7. Number of organizational analyses/ operations and efficiency reviews completed	0	1	2	3	Signed reports prepared
	8. Number of institutions restructured in line with decentralization	0	0	1 (MOI)	3 ministries and provinces	Signed Prakas
	9. NCDD becomes a budget entity	Not yet	Prepared	Implemented	Implemented	MEF official decision
Output 1.1.2 New NP	10. New NP developed and approved	Not yet		Analysis	Approved	Signed NCDD minutes
	11. First IP3 of new NP				Approved	Signed NCDD minutes
Output 1.1.3 Financial sustainability	12. Budget for core reforms contributed by the RGC (in \$US Millions)	\$0 (2016)	1.0	1.25	1.50	Signed AWPBs
	13. Long term TA Budget (\$US Millions)	4.5 (2017)	4	3.5	3	Signed AWPBs
	14. Value of DP contribution to IP3 operations (in \$US Millions)	2.8 (2017)	2	1.80	1.60	Signed AWPBs
	15. % of council associations' costs raised through fees	N/A	10%	20%	30%	Excludes costs of projects; MOV: Association financial statements
Output 1.2.1 Space for intra-government debate	16. Number of annual conferences held with at least 80% attendance of target audiences	0	3	3	3	Signed conference report
	17. Number of NCDD meetings held, which include performance against targets, annual quality assurance reports, bi-annual policy briefs and an annual social equity and inclusiveness report	0	2	2	2	Signed NCDD minutes
Output 1.2.2 Communications	18. Each year at least 1 behavioral change campaign, 1 television show, 2 press conferences, 3 press releases, and 3 CD events (reaching 2000 people) are completed by relevant units	Partial (2016)	Done	Done	Done	Various internal reports

ABBREVIATED RESULT	INDICATORS	BASELINE (YEAR)	TARGET 2018	TARGET 2019	TARGET 2020	NOTE AND MEANS OF VERIFICATION (MOV)
	19. # of AWPB outputs implementing communications		5	5	5	NAD submissions, based on agreed activities
Output 1.2.3 Policy experiments and learning	20. Number of policy experiments implemented and presented at an annual policy workshop or conference	0	2	3	3	Workshop / conference report
	21. Cumulative number of policy experiments leading to uptake and replication (in the form of regulatory revisions or external funding or programs)	0	1	1	2	Internal records; depends on each experiment
Output 1.2.4: Association advocacy	22. Did the Association present at least one policy paper and implement at least one communications campaign each year	NO	Yes	Yes	Yes	Minutes of policy forum
	23. Implement at least one communications campaign each year		Yes	Yes	Yes	Minutes of communications campaign
Output 1.3.1: Civil Society	24. New program, partnership and areas of cooperation with civil society/the private sector identified and financed		Developed	Financed	Implemented	Programs and agreements
	25. # of AWPB outputs working with civil society	1	5	7	10	AWPB, currently ISAF
Output 1.4.1 Management processes	26. % of non-routine outputs having project write-ups or subsidiary strategies approved by NCDDS		60%	100%		Project documents
	27. % of IP3 indicators collected	79% (2016)	90%	90%	90%	Annual reports of AWPB
	28. % of IP3 milestones and targets met on time	25% (2016)	50%	60%	70%	Annual report and AWPB
	29. % of AWPB priorities and targets met on time		80%	80%	80%	Annual report and AWPB
Output 1.4.2 Harmonization	30. Independent study to harmonize DP initiatives approved by TWG		Approved			TWG minutes
Output 1.4.3 Program Mang't	31. # of high and medium risks identified in audit report		9	7	5	External audit report
<b>Component 2: Good Governance</b>						
Output 2.1.1 Social Accountability	32. New social accountability program approved, expanding its sectors and SNA coverage		Approved			Signed program document
	33. Regulations guaranteeing citizen access to information approved	None			Approved	Signed Prakas or regulation
	34. % of planned ISAF service delivery points collecting and storing required I4C information	87% (mid 2016)	90%	95%	95%	ISAF on-line database
Output 2.1.2: Complaint mechanisms	35. New complaints handling system developed, used and rolled out		Developed	Used	Evaluated	OWSO report
	36. Number of SNA complaints resolved	378	500	1500	2000	MOI reports and complain database
	37. % of complaints received by phone or on the web	0%		20%	30%	MEID reports, including links to the website
	38. % of complaints resolved within guaranteed response times	N/A	50%	60%	70%	Complaints monitoring systems or OWSO report

ABBREVIATED RESULT	INDICATORS	BASELINE (YEAR)	TARGET 2018	TARGET 2019	TARGET 2020	NOTE AND MEANS OF VERIFICATION (MOV)
Output 2.2.1: Councilors empowerment	39. Revised procedures in use to strengthen Councilor-citizen interactions and CS-DM governance relationship		Review Completed	Guidelines issued	In use	Approved guidelines
Output 2.3.1 Inspection	40. Number of SNAs inspected by MOI for compliance and performance	0 (2016)	0	10	20	Signed consolidates inspection report of MOI
	41. % of SNAs inspected by MOI receiving satisfactory scores or meeting minimum conditions			20%	30%	Signed consolidates inspection report of MOI
	42. Cumulative number of Ministries (excluding MOI) inspecting SNAs for compliance and performance using revised processes and structures	0 (2016)	0	2	4	Signed Ministry inspection reports
Output 2.3.2: Performance assessment	43. Performance grant system piloted based on inspection and performance appraisals		Approved	In use	In use	Internal reports on grant use
	44. Number of DMs with performance improvement plans based on an assessment against standards	0	0	30	80	Various Ministry performance assessment reports
	45. Performance grant systems developed			Developed	Piloted	
Output 2.4.1 Mang't systems review	46. Participatory review of SNA management systems developed and in place	Not in practice	Developed and piloted	In use	In use	MOI reports
Output 2.4.2 MIS	47. % of DMs have accessed to and used MIS		20%	50%	80%	Data entry made at DMK level (verified by system)
Output 2.4.3 Planning system	48. % of DMs having at least 5 outputs, 4 indicators, and 3 non-infrastructure outputs in their plan	0%	20%	50%	90%	SNA project database (SPD) analysis
Output 2.4.4 Financial Management	49. Revised financial management systems in use	Not in use	Analyzed	Piloted	Used	Various changes in regulatory environment; piloting report
Output 2.5.1 Leadership social equity	50. Develop web-enabled database to monitor staffing composition, quotas, etc.		Analysed	Piloted	Used	Data in the system and up to date
	51. Implement a strategy to promote women in SNA non-management positions		Developed	Implemented	Implemented	Signed approved strategy with implementation monitoring
	52. % of Governors/Deputy governors completing mandatory gender awareness	0% (2016)	95%	95%	95%	Training attendance report (signed)
	53. % of women in PC management positions	12.1% (June 2016)	20%	22%	25%	Personnel Database
	54. % of women in DMK management positions	21.5% (June 2016)	25%	27%	30%	Personnel Database
Output 2.5.2 Mainstreaming	55. Number of new programs implemented to support youth, handicapped, ethnic minorities and other groups		Program Designed	1 program implemented	2 program implemented	Approved action plans and budgets for each program
	56. % increase in the gender audit mainstreaming score 2016 to 2019	9.7% from 2013 to 2016			15%	Audit score (gender mainstreaming only)

ABBREVIATED RESULT	INDICATORS	BASELINE (YEAR)	TARGET 2018	TARGET 2019	TARGET 2020	NOTE AND MEANS OF VERIFICATION (MOV)
Output 2.5.3 Social Protection	57. SNA funding for social protections services through fiscal transfer mechanisms (\$US Millions)	N/A	1	2	3	SNA project database (SPD) analysis
Output 2.5.4 Social equity CD	58. Ministries and SNAs allocated their budgets to support WCCCs and GMAGs	9.7	Implemented	Implemented	Implemented	Action and budget plans of Ministries
<b>Component 3: HR Management and Development</b>						
Output 3.1.1 Decentralized HR management	59. % of SNAs recruiting staff using decentralized procedures	0%		70%	100%	Sample from selected PCs and DMKs
	60. % of PC and DMK Directors of Administration who had their performance appraised by their BOGs based on their job description	0%		25%	75%	Department of training report
Output 3.2.1 CD methods and approach	61. CD best practice guidance / Quality Assurance processes in place	Not in place	Developed, used, reported	Used and reported	Used and reported	Department of training report
	62. Number of SNAs receiving CD grants	0	Grant system developed	20	40	Department of training report
Output 3.2.2: CD provided	63. % of CSs completing at least 1 awareness creation event, one learning forum, 1 Councilor forum, 2 site-based facilitation events and 1 mentoring visit		50%	70%	90%	Department of training report
	64. % of DMs completing at least 2 awareness creation events, one learning forum, 1 Councilor forum, 6 site-based facilitation events and 4 mentoring visits		50%	70%	90%	Department of training report
	65. % of PCs completing at least 2 awareness creation events, one learning forum, 1 Councilor forum, 5 site-based facilitation events and 2 mentoring visits		50%	70%	90%	Department of training report
Output 3.2.3 Institutional arrangements for CD	66. Key CD providers restructured and strengthened		Capital and provincial CD Division established	Recommendations form CD exercise implemented	NASLA in operation	Approved regulations
<b>Component 4: Service Delivery and Local Development</b>						
Output 4.1.1: Improved GM regulatory environment	67. % of recommendations implemented from the action plan to remove constraints around the general mandate	0%	Analysis complete	25%	75%	Action plan to improve general mandate implantation (based on analysis of constraints)
	68. % increase in CS and DM expenditure on social services and social protection (from 2017 baseline)	N/A	25%	100%	200%	SPD database
Output 4.1.2 GM Best Practice	69. Cumulative number of SNA best practices verified and documented through an SNA learning program	0	15	30	45	SNA best practice guidelines (signed)
	70. Annual best practice guidance on the general mandate rolled out (and revised annually)	0	Done	Done	Done	MOI reports
	71. Cumulative number of SNAs replicating best practice	N/A		10	30	Learning program or SPD

ABBREVIATED RESULT	INDICATORS	BASELINE (YEAR)	TARGET 2018	TARGET 2019	TARGET 2020	NOTE AND MEANS OF VERIFICATION (MOV)
Output 4.1.3: Pilot Funds to support the GM	72. Cumulative number of Community projects funded through the Local Community Partnership Fund (LCPF)		0	30	90	Implementation reports (LCPF)
	73. Cumulative number of innovative SNA activities or projects funded through the SNA Innovation Fund (SIF)		0	10	20	Implementation reports (SIF)
	74. Cumulative number of joint SNA-CSO activities or projects funded through the Civil Society Partnership Fund (CSPF)		0	5	10	Implementation reports (CSPF) or SPD
Output 4.1.4 Facilitation of general mandate	75. Cumulative number of CSs facilitated to make better use of the general mandate		25	150	400	PRF/CDD monitoring reports
	76. Cumulative number of DMs facilitated to make better use of the general mandate		25	100	185	PRF/CDD monitoring reports
Output 4.1.5 CC, SS projects	77. % of CC, SS projects making fiscal transfer through treasury systems		20%	40%	60%	Fund allocations and transfers to SNAs
Output 4.2.1 Functional transfer regulations	78. Cumulative number of service delivery costing studies completed	0	4	11	11	Signed reports from each Ministry
	79. Cumulative number of Ministries completing Prakas and Sub-Decrees delegating or devolving functions	2	5	10	14	Various regulatory instruments (signed)
Output 4.2.2 FR Implementation plans	80. Cumulative number of functional reassignment action and budget plans (FRABPs) approved by NCDDDS	0	6	12	14	Approved plans
Output 4.2.3 Transfer of functions	81. Cumulative number of Provinces where DMs are implementing the transfer of primary education	0	0	1	2	As above
	82. Cumulative number of Districts collecting solid waste	0	5	50	100	As above
	83. Number of Municipalities implementing at least 2 transferred urban functions	0	0	10	26	As above
	84. Value of conditional grants transferred to SNAs to provide transferred functions (\$US Millions)	N/A	2	4	8	MEF budget data (approved budget)
Output 4.2.4 One Window Service Mechanisms (OWSM)	85. Number of citizens receiving one window services	667,816 (2016)	750,000	900,000	1,300,000	Various MOI reports
	86. Number of different services available	232 (2016)	240	245	255	Increases by 10% from 2016. MOV: various MOI reports
	87. Number of SNAs providing one window services	52 (2016)	100	150	175	Various MOI reports and OWSO report
Output 4.3.1 Ministry standards	88. Cumulative number of Ministries revising their standards and regulations in light of decentralization	0	1	3	5	Ministry guidelines, strategies, regulations, etc.
Output 4.4.1 Provincial restructuring	89. Value of budgets reallocated from Provincial support functions (SNA Structures, roles, responsibilities, staff, budget and reporting system of provincial organization revised)		Study complete	System restructured		Various MOI reports

ABBREVIATED RESULT	INDICATORS	BASELINE (YEAR)	TARGET 2018	TARGET 2019	TARGET 2020	NOTE AND MEANS OF VERIFICATION (MOV)
Output 4.4.2 DMs strengthened to support CSs	90. Regulations on administrative support to CSs revised		completed	Implemented	Implemented	Various MOI reports
<b>Component 5: Fiscal Decentralization</b>						
Output 5.1.1 DM and CS Funds	91. DM development component as a% of the national revenues	0.35%%	0.37%%	0.5%	0.5%	Approved national budgets
	92. Equity fund allocation system developed		Approved	Implemented	Implemented	Approved regulations and allocations
	93. Regulations on performance based incentives developed		Approved	Pilot	Implemented	Approved regulations
Output 5.1.2 Revenue reassignment	94. % of provincial own-source revenue is shared to DMs	0	3%	3%	3%	Approved national budgets
	95. % of provincial own-source revenue is shared to CSs	0	1%	1%	1%	Approved national budgets
Output 5.1.3 Conditional Grants	96. Number of DMs receiving pilot Conditional Block Grants	0	0	15	40	MEF reports or annual budget
Output 5.2.2 SNIF	97. Total value of projects implemented through the SNIF (\$US Millions)	\$0 (2016)	5.82	6.75	8.24	SNIF reports