Sindh Municipal Service Delivery Program (MSDP)

Final Draft

MONITORING & EVALUATION MANUAL

March 2013

Acronyms and Abbreviation

ADB	Asian Development Bank
BOS	Bureau Of Statistics
CCC	Citizen Complaint Center
CRC	Citizen Report Cards
GIS	Geographical Information System
GOP	Government of Pakistan
GOS	Government of Sindh
GPCD	Gallons Per Capita Per Day
GPS	Geographical Positioning System
ICT	Information and Communication Technologies
LGD	Local Government Department
LFA	Logical Framework Approach
MC	Municipal Committee
M&E	Monitoring and Evaluation
MIS	Management Information System
MPR	Monthly Progress Report
MSDP	Municipal Service Delivery Program
NSUSC	North Sindh Urban Services Corporation
P&DD	Planning and Development Department
PHED	Public Health Engineering Department
PIFRA	Project for Improvement of Financial Reporting Auditing
PMEP	Performance Monitoring and Evaluation Plan
PMES	Performance Monitoring and Evaluation System
PMP	Performance Management Plan

PMR	Process Monitoring Report
PMU	Program Management Unit
PRC	Program Completion Report
PSC	Program Steering Committee
QMR	Quarterly Monitoring Report
QPR	Quarterly Progress Report
RBM	Result-Based Management
RDM	Result for Development Management
SCIP	Sindh Cities Improvement Program
SNE	Schedule of New Expenditures
TMC	TalukaMunicipal Committee
USAID	United States Agency for International Development

Glossary of Terms

Activity: Actions taken or work performed in a project to produce specific outputs by using inputs, such as funds, technical assistance and other types of resources.

Assumption: A factor identified as influencing the project results, and over which the implementing team has some influence control

Baseline: The existing (or initial) state in a project which serves as reference point against which changes are measured, usually expressed quantitatively

Baseline Survey: A survey undertaken to determine the baseline (state)

Beneficiaries: The individuals, groups or organizations who, in their own view and whether targeted or not, benefit directly or indirectly from the development intervention. In this Guide, they are referred to as the primary stakeholders of a project.

Community Participation: Generally considered to be the active participation of community members in local development activities. In practice, however, the term refers to a wide range of degrees of local involvement in external development interventions, from token and passive involvement to more empowerment-oriented forms of local decision-making.

Benchmark: Reference point or standard against which performance or achievements can be compared. A benchmark might refer to what has been achieved in the past, by other comparable organizations, or what could reasonably have been achieved under the circumstances.

Effectiveness: A measure of the extent to which a project attains its objectives at the goal or purpose level; i.e. the extent to which a development intervention has attained, or is expected to attain, its relevant objectives efficiently and in a sustainable way.

Efficiency: A measure of how economically inputs (funds, expertise, time, etc.) are converted into outputs.

Evaluation: A systematic (and as objective as possible) examination of a planned, ongoing or completed project. It aims to answer specific management questions and to judge the overall value of an Endeavour and supply lessons learned to improve future actions, planning and decision-making. Evaluations commonly seek to determine the efficiency, effectiveness, impact, sustainability and the relevance of the project or organization's objectives. An evaluation should provide information that is credible and useful, offering concrete lessons learned to help partners and funding agencies make decisions.

Goal: The higher-order program or sector objective to which a development intervention, such as a project, is intended to contribute. Thus it is a statement of intent.

Impact: The long term effect of a project on the stakeholders

Indicator: Quantitative or qualitative factor or variable that provides a simple and reliable basis for assessing achievement, change or performance

Input: The financial, human and material resources necessary to produce the intended outputs of a project.

Logical framework approach (LFA): An analytical, tool for Project identification and development that involves problem analysis, stakeholder analysis, development of a hierarchy of objectives and selection of a preferred implementation strategy.

Logic Framework: A table (matrix) usually presented as 4 x 4 summarizes the project following the analysis undertaken in the LFA, and specifically showing the strategy elements, their relationships, and external factors that might influence the success or failure of the project

Monitoring: The regular collection and analysis of information to assist timely decision making, ensure accountability and provide the basis for evaluation and learning. It is a continuing function that uses methodical collection of data to provide management and the main stakeholders of an ongoing project or program with early indications of progress and achievement of objectives.

Objectives (goals): A specific statement of the desired accomplishments/results of the project; sometimes referred to as the "development objective"

Outcome: The results achieved at the level of "purpose" in the objective hierarchy. In IFAD's terminology, outcome is part of impact (result at purpose and goal level).

Output: Tangible results that are produced at the completion of activities, through the sound application of the inputs; managers have a high degree of influence over outputs

Purpose: The positive improved situation that a project or program is accountable for achieving.

Qualitative: Something that is not summarized in numerical form, such as minutes from community meetings and general notes from observations. Qualitative data normally describe people's knowledge, attitudes or behaviors.

Quantitative: Something measured or measurable by, or concerned with, quantity and expressed in numbers or quantities.

Relevance: The extent to which the objectives of a project are consistent with the target group's priorities and the recipient and donors' policies.

Reliability: Consistency or dependability of data collected under repeated use of the collection procedure under the same conditions

Result: An assessment of the performance of a project or program, periodically or on an as-needed basis. A review is more extensive than monitoring, but less so than evaluation.

Risks: Possible negative external factors, i.e. events, conditions or decisions, which are expected to seriously delay or prevent the achievement of the project objectives and outputs (and which are normally largely or completely beyond the control of the project management).

Stakeholder: An agency, organization, group or individual who has a direct or indirect interest in the project/program, or who affects or is affected positively or negatively by the implementation and outcome of it. In this Guide, primary stakeholders is the term used for the main intended beneficiaries of a project.

Validity: he extent to which something is reliable and actually measures up to or makes a correct claim. This includes data collection strategies and instruments

Work Plan: A detailed document stating which activities are going to be carried out in a given time period, how the activities will be carried out and how the activities relate to the common objectives and vision. The work plan is designed according to the logical framework and contains a description in each cell of the work plan table of each activity and output, its verifiable indicators, the means of verification and its assumptions.

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Chapter 1   Introduction and Background

1.1 Program Goal and Objectives

The Original Activity Agreement for the Sindh Municipal Service Delivery Program (MSDP) was signed between the USAID/Pak and Government of Sindh on January 27, 2011. Subsequently the Amended and Restated Activity Agreement for the Sindh Municipal Services Program (MSP) was signed on April 25, 2012.

Program Goal: Sustained improvement in municipal services delivery to better address the basic needs of citizens located in small and medium towns, mainly in Northern Sindh.

Objectives:

- Improve basic municipal services delivery in a more transparent and accountable manner
- Establish a collaborative partnership relationship between USAID and Provincial Government for urban sector policy, program design and implementation
- Upgrade provincial information systems for planning, operations and monitoring and evaluation
- Deepen the capacities of local government administration

1.2 Program Description

Sindh Municipal Service Delivery Program (MSDP) has been designed to achieve improved municipal service delivery by encouraging partnership/ownership of local communities to address the basic needs in selected towns/ secondary cities,towns affected by floods of 2010 and other areas.

The Program is being jointly financed by USAID/ Pakistan and GOS, with a total cost of US $76.65 Million (PKR 6,668.55 Million) against which USAID/Pak would finance up to US $ 66 Million (PKR 5, 742 Million) as grant whereas; Government of Sindh will contribute US $ 10.65 Million (PKR 926.55 Million) towards administration/management cost of the Program.

The towns of Jacobabad, Qambar, ShahdadKot, Khairpur Nathan Shah, Mehar and Johinow stand selected by the Program Steering Committee for such initiative.

The approved PC-I as well as the Need Assessment Framework thereofprovides detailed guidelines for selection of feasible locations /Project/Sub-Projects under the MSDP.

1.3 Program Management Unit (PMU)

A PMU for the Program established under P&D Department is to serve as the Secretariat of the Provincial Steering Committee (PSC).

The PMU is responsible for effective and efficient implementation of the full range of activities under this Program. The PMU will focus on Policy, Management Information System and Capacity Development. The PMU with its Headquarters at Karachi will also establish Field Offices which would be responsible for field operations, planning, implementation and monitoring of capital investment activities. The PMU will work closely with municipalities to

identify, tender, and supervise construction of individual infrastructure sub-projects based as the needs of respective towns.

The PMU is headed by a Program Director (PD) who is responsible to Program Steering Committee (PSC) for policy guidelines and provide oversight of the Program. He will be assisted by Managing Director (Works), Director (Finance & Compliance), Director (Reforms) and Director (M&E Specialist). The Director will be assisted by Managers/Deputy Directors and Assistant Directors as provided in the MSDP PC-I.

The PC-I further proposes three Field Offices to be located in the project areas, each headed by a Project Manager who will be assisted by Assistant Executive Engineer, F&A Officer and Reforms Officer.

1.4 Stakeholders of the Program

Government of Sindh, USAID/Pak, , Program Steering Committee, Planning &Development Department, Local Government Department, Public Health Engineering Department, Program Management Unit, Taluka Municipal Administrations, Civil Society Organizations, Media,Program Beneficiaries and Communities in general form the partnership under this Program. Each of thesestakeholders has to play their due role in making the Program a success.

1.5 Context

The Monitoring and Evaluation Framework proposes to plan a comprehensive list of actions and resources to mitigate the M&E risks identified in the Pre Award Assessment of P&D Department commissioned by USAID/Pak before signing agreement with GoS for the Municipal Services Delivery Program (MSDP). Pre-Award Assessment of P&D Dept. done by KPMG – a CA firm, made following observations on the existing Monitoring and Evaluation (M&E) arrangements with regard to the following in-adequate M&E functions. (Risk Mitigation Framework is attached as Appendix-I).

    i.   Inadequacy of staff numbers and skills
    ii.   Lack of operational MIS for M&E
    iii.   Information in monthly progress reports does not contain M&E reporting
    iv.   Absence of mechanism for validation of reported results and non-compliance with PC-III, PC-IV and PC-V.
    v.   SLGO monitoring mechanisms not fully operational.

Some of these concerns have already been addressed in the PC-1 document by proposing key M&E arrangements. However, there is a need for detailed guidelines for program staff and other stakeholder to ensure efficient and effective implementation of the Program.

1.6Purpose of M&E Manual

This Manual is to bring understating among the Program staff especially M&E team regarding various policies and procedures pertaining to M&E functions as enshrined in the MSDP documents. Reference to these policies and procedures will help M&E personnel in PMU and down levelto track and monitor the progress of the Program through collection of authentic, data and develop the mechanism for progress reporting, analyzing, reviewing and periodic

evaluation. The Manual also discusses in detail the indicative Results Frameworkand Monitoring & Evaluation Plan encompassing the reporting requirements specific to Sindh MSDP right from Monthly Progress Report to Quarterly, Annual, Mid-Term and Project Completion Report including their periodical review. It also defines and describes various M&E processes to be undertaken during the program life such as Baseline Surveys,Endline Surveys, Diagnostic Studies,and Best Practices Case Studies etc. It also gives exposure to M&E staff regarding Citizen Complaint Centers and User Surveys/Citizen Report Cards. It is expected that the Manual would assist PMU and M&E staff in carrying out M&E activities to the satisfaction of stakeholders. This also provides basic principles and concepts for effective M&E systems.

This will further provide guidelines to the M&E staff for facilitating them in carrying out various M&E functions in order to implement the M&E System in most proficient manner in line with the requirements of USAID/Pak and other stakeholders.

1.7 Review and Approval of M&E Manual

The manual will be reviewed by the Program Management Unit (PMU) at the start of the Program in consultation with the participating MC/TMC and seek approval of the Program Steering Committee (PSC) so as to ensure effective management and course correction during the implementation of Program. All the stakeholders of the Program i.e USAID/Pak, Planning Commission of Pakistan, Govt. of Sindh, Program Steering Committee, P&D Department, Local Govt. Department, Public Health Engineering Dept., Program Management Unit, Municipal Committees, Civil Society Organizations, Media and the Communities in general, have to play their roles for ensuring effective Monitoring and Evaluation at different levels. USAID/Pak beside; participating in PSC meetings will play its role at strategic level through periodic missions as well. PSC will provide oversight including review of the implementation/progress, strategic guidance and approvals required for smooth transparent and sustainable implementation of the Program. The PMU along with LGD and MC/TMC will undertake operational monitoring and progress reviews. Civil Society Organizations, Media and Communities will be expected to provide feedback on the relevance and usefulness of the intervention being undertaken in their areas. The M&E Plans and reports will be made accessible to the users to create awareness to help in the entire process of implementation for fostering policy interaction and have a dialog at various levels. The Manual shall be reviewed by Director M&E annually and updated, if required, with the approval PD.

Chapter 2 Basic Concepts of Monitoring and Evaluation

2.1 Monitoring

In simple terms "Monitoring" means to keep a careful check of project activities over a period of time. It helps to know how things are proceeding and give early warning of possible problems and difficulties. Monitoring is a regular collection and analysis of information to assist timely decision making and ensure accountability. It provides the basis for evaluation and learning. Monitoring is, an ongoing and continuous function which uses methodical collection of data facilitating the program/project management and the stakeholders with early indicators of progress and achievement of objectives.

Monitoring of a program or intervention involves collection of routine data on regular basis which measures progress towards achieving the objective of the Program. Its purpose is to permit stakeholder to make timely decisions pertaining to effectiveness of Programs and efficient use of resources. Monitoring focuses on the implementation process to exactly know as to how well the Program was being implemented. Monitoring requires the collection of data throughout the program life right from start which provides a baseline, up-to the completion stage i.e. endline. Thus monitoring facilitates the project management and the stakeholders to determine if certain adjustment is needed during the currency of program for achievements of the desired outcomes/results.

2.2 Evaluation

Evaluation may be defined as a systematic examination on of a planned, ongoing or completed Program/Project. It aims to answer specific questions and to judge the overall value of an endeavor and provides lessons learned to improve future actions, planning and decision making. Evaluation generally seeks to determine the efficiency, effectiveness, impact, sustainability and the relevance of the Program's objectives. An evaluation is expected to provide information that is credible and useful, offering concrete lessons learned to help partners and funding agencies in further decision making.

Evaluation is a very important tool in the overall Monitoring and Evaluation System which enables to review the inputs and activities and assesses how effectively they have resulted in achieving the desired outcomes and inputs. Evaluation is fundamentally an exercise to help decision makers understand how and to what extent, a Program is responsible for particular measured results.

The Evaluations can be undertaken at the beginning of the Program, Mid-way and at the completion of Program. Thus Evaluation involves the systematic and objective collection of information about the activities, characteristics and outcomes of the activities that enable to determine its worth. Evaluation is a major part of learning and can provide useful information on the outcomes of Program and dynamics of the stakeholders.

2.3 Types of Evaluation

There are many types of evaluation undertaken for different types of Projects depending on nature of project e.g. Internal Evaluation, External Evaluation, Interim Evaluation, Completion

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Evaluation, Mid-Term Evaluation, Process Evaluation, Impact/ Outcome Evaluation and Summative Evaluation. However, the Planning Commission of Pakistan outlines following three types of project evaluation:

    i.   Ex-Ante Evaluation
    ii.   On-going/ Mid-Term Evaluation
   iii.   Terminal Evaluation/Ex-post Evaluation

2.3.1 Ex-ante Evaluation

This type of evaluation which is also known as "Design Evaluation" is carried out at the planning/ design stage of the project. Its purpose is to carefully examine Program objectives, strategy to be adopted to achieve those objectives and the resources to be made available as inputs. Ex-Ante Evaluation serves as a guiding document for program implementation and periodic evaluation.

2.3.2 Mid-Term Evaluation

As evident from its name the "Mid-Term Evaluation" is carried out about the mid way of the program implementation period. It is carried out to re-examine following aspects related to the program.
   a) Relevance of the Program with local needs and national agenda for development.
   b) Effectiveness of the Program output in contributing towards the intended outcomes of the program.
   c) Efficiency with which resources/inputs of the Program have been converted into Program outputs and outcomes.
   d) Sustainability of the Program in terms of bringing about reforms in the delivery process, building capacity of the institutions involved, creating additional financial resources through user charges, and improving policy and regulatory frameworks.
   e) Any impact that the Program has created on the well-being of the intended beneficiaries.
   f) Changes required in the Program design, approach and allocation of resources.
   g) Other recommendations to improve the Program.

2.3.3 Terminal Evaluation/Ex-post Evaluation

The purpose of this evaluation, which is carried out upon completion of the Program, is to discover the actual, as compared to the projected, results of implementing a Project/Program. Outcomes are the major concern of this evaluation and it serves the need of stakeholders whether resources allocated/ utilized in the initiative have produced the desired outputs and outcomes. It also provides for comprehensive internal and external accountability of the Project.

2.4 Significance of Monitoring and Evaluation

Monitoring and Evaluation is an essential component of any intervention. It helps stakeholders of a Program/Project to make informed decisions regarding Program implementation and service delivery based on objective evidence. It ensures the most effective and efficient use of resources. The M&E System objectively assesses the extent to which Program is having desired

impact, in what areas it is effective and where course correction needs to be considered. M&E is a continuous process that occurs throughout the life of a Program.

2.5 Difference between Monitoring and Evaluation

Generally the terms "Monitoring" and "Evaluation" are mixed together as if it is one but these are two stages of analysis in terms of progress made in relation to goals of the Program.

Monitoring in the mode of systematic reporting and analysis carried through the Program cycle to determine changes that have taken place over a period of time. On the other hand 'evaluation' which is carried out generally few times during the Project cycle, is the analysis of the effectiveness of the activity that would finally prompt a judgment regarding the progress made in relation to the goals of a Program.

In simple term difference between the Monitoring and Evaluation is that the former is concerned with the **gathering** of information and the latter with **interpreting the information**. These are two distinct actions but go hand-in-hand as the tools for **assessing** the **viability** and success of a Program. Monitoring comes first and provides an opportunity to demonstrate how resources are being used, where as the 'evaluation' uses this information to determine whether project goal and objectives have been achieved or not. Evaluating a Program can show what strategies works and whether changes need to be made. Evaluation provides Lesson Learned and experience gained for future use.

Shown below is a comparison between the Monitoring and Evaluation in a simple tabular form.

Table 2.1: Comparison of Monitoring and Evaluation

Description	Monitoring	Evaluation
BasicPurpose	Collecting, reporting and analyzing the information and adjusting the work plan, if necessary	Improving effectiveness, impact and future programming
Main action	Tracking	Assessment
Frequency	On a regular basis (e.g. through monthly and Quarterly Progress Reports regular observations)	By mid-term or after the project has ended
Focus	Inputs, outputs, outcomes	Effectiveness, relevance, impact and cost-effectiveness
InformationSources	Self-evaluation, participatory evaluation, rapid participatory evaluation	Same as for monitoring, plus external evaluation and interactive evaluation
UndertakenBy	Project staff (in conjunction with beneficiaries)	Same as for monitoring, plus external evaluators

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2.6 Why use Monitoring and Evaluation

Great importance is placed on Monitoring and Evaluation because, when done and used properly, they strengthen the basis for managing for results, foster learning, knowledge generation and support transparency/accountability. M&E provides information and facts which when accepted and internalized becomes knowledge and promote learning. The learning form M&E is applied to improve the overall performance and quality of results.

2.7 Monitoring and Evaluation Systems

A Monitoring and Evaluation System can be defined as a set of organizational structure, management processes, standards, strategies, plans, indicators, information system, reporting mechanisms and accountability relationships etc which combined together form a base for tracking the implementation and results achieved through an intervention or Program. The M&E System provides flexibility so that it could respond to emerging requirements of the Project/Program for feedback and information to users by redesigning its outputs. The collection of information, its analysis and use by the M&E stakeholders form the basis of M&E System for a program/project. The M&E System is the combination of Monitoring and Evaluation activities which acts a management tool for a Program. The Monitoring activities help in providing relevant insight for ongoing evaluations and build up a set of information for more comprehensive evaluations, effectiveness, impact, assessment, relevancy and sustainability of program/sub-project.

2.8 Objectives of the M&E System

Through an effective M&E System following objectives are achieved for**:**

- Collection of routine/periodic measurements of Program inputs, activities and outputs carried out during implementation.
- Keeping track of activities on continuous basis and pointation at an early stage, about the shortcomings with regard to delivery of inputs and execution of activities or production of outputs so that course correction could be timely undertaken.
- Analyzing and assessing the Program inputs, activities and results. This is to help in determining the effectiveness, impact and relevance of the Program implementation keeping in view the Program objectives.
- Analyzing the objectives and achievements so as to maximize the impact and document lessons learned throughout the Program implementation.
- Enhancing accountability to stakeholders through transparency in use of resources, proper monitoring/evaluation and wider dissemination of information pertaining to various stages of program implementation.

2.9 Components of M&E System

An M&E System provides detailed information on inputs, activities, outputs and outcomes. This can be done by preparing a comprehensive Monitoring & Evaluation Plan. The M&E Plan for a program/sub-project comprises of M&E inputs/outputs, the frequency/schedule to carryout various M&E activities, tools and methods to be adopted besides; persons responsible for undertaking such activities etc. There are several common types of Frameworks such as Results

Chain, Logical Framework Approach (LFA), Result Framework, Performance Measurement Framework .The Frameworks are key elements of M&E Plans which depict the components of a program/sub-project and the sequencing of various steps required to achieve the desired outcomes. The Frameworks help in enhancing understanding of Program goals/objectives, define the relationship among the factors key to implementation and their casual (cause-and-effect) relationship which could effect the success of the Program. The Frameworks help in understanding and analyzing how the Program is supposed to work. The main components of Frameworks used in Frameworks are defined below to have a clear understanding.

a) **Inputs:** The "Inputs" are the resources used/ deployed to undertake various Program activities to produce "outputs" input can also be defined as the personnel, finance, equipments, knowledge, information and other resources necessary for producing the planned outputs and achieving expected accomplishments. In simple terms these are the financial, human and material resources necessary to produce intended outputs of program/sub-project.

b) **Activities/Processes:** Activities are the actions taken or work performed in a program/sub-project to produce specific outputs by using inputs such as funds, technical assistance and other types of resources. Activities are undertaken to achieve objectives of a Program and these activities provide basis for preparing a implementation schedule.

c) **Outputs:** Outputs are the tangible (easily measureable, practical), immediate and intended results to be produced through sound management of the agreed inputs. Examples of outputs include goods, services or infrastructure produced by a project which are meant to help realize its purpose. Outputs also include changes resulting from the intervention, that are needed to achieve outcome at the purpose level.

d) **Outcomes:** Program outcome can be termed as a key anchor of the Program design. It describes what the Program intends to accomplish by the end of project implementation and discuss the perceived developing problem(s) and how to address these. Outcome is the result achieved at the level of "purpose" (the positive improved situation that a program/sub-project is accountable for achieving). It can be termed as a part of impact (Result at purpose and goal level).

e) **Impact:** The impacts are the changes in lives of people, as perceived by them and their partners at the time of evaluation, plus sustainability- enhancing change in their environment to which the program/sub-project has contributed. Changes can be positive or negative, intended or unintended. These "perceived changes" may correspond either to the purpose level or to the goal level of a project intervention. The impact could be influenced by many factors other than the Program it self.

Above components form a chain which can be described asInputs (or resources) are used in processes (or activities) which produce immediate or intermediate results (or outputs) ultimately leading to longer-term or broader results (or outcomes) and impacts.

2.10 Results Chain

A Result Chain is the casual sequence for a development intervention which stipulates such sequence to achieve the desired objectives. It describes a desired change and the means to achieve the change. It links the five components: inputs, activities, output, outcome and impact. The Results Chain is a tool for measuring effectiveness and attributing change to the intervention/ Program. Illustration of Results Chain is given the finger given below.

The Result Chain logic model identifies the linkage from inputs to activities through the desired outputs to the expected outcomes. Table given below shows example of output, outcome, and impact as regards the MSDP infrastructure rehabilitation/up-gradation.

Table 3-1: Example of output, outcome and impact

Outputs	Outcome	Impact
Water supply The drinking water system to increase production of safe potable water rehabilitated	Increased availability and use of safe potable water by households Reduced consumption of unsafe water	Reduced water-related illnesses, healthier citizens, reduced health costs
Solid Waste Management System for safe collection, transportation and dumping of solid waste including hazardous waste developed	Enforcement ensured for the safe collection, transportation and final disposal of all unavoidable wastes to waste disposal facilities.	Reduced generation and environmental impact of all forms of solid waste ensured
Sewerage Treatment System for sewerage i/c facility for sewerage treatment and final disposal Rehabilitated/Upgraded	Nalis in streers changed to piped lateral sewers. Open drains for carrying only rain water Constructed.	Improved environmental impact due to un-interrupted flow of domestic sewerage and rain water

2.11 Logical Framework Approach (LFA)

The Logical Framework Approach or Log Frame provides a set of designing tools used for planning, designing, implementing and evaluation of projects/programs. Through this, participatory objective-oriented planning is undertaken spanning over the life of Program.

As evident from the title, it shows logical connection between the inputs, processes/activities, and how they link to the Program's Objectives (outcomes and impacts). Logical Framework is thus a way of structuring the main elements in a program/sub-project which highlight logical linkages between intended inputs, planned activities and expected results.

The Logical Framework Approach is an analytical, presentational and management tool that involves problem analysis, stakeholder analysis, developing a hierarchy of objectives and selecting a preferred implementation strategy. It helps to identify strategic elements (inputs, outputs, purpose, goal) and their causal relationship, as well as the external assumptions (risks) that may influence success and failure. It thus facilitates planning, execution and evaluation of project.

2.11.1 Components of LFA

Logical Framework is based on a systematic analysis of development situation, particularly key development problems and of the options for addressing those problem. The five essential components are the same as described earlier i.e Inputs, activities, outputs, outcomes and impacts. Performance Indicators/Targets, Means of Verification and Assumption and Risks form the columns of LFA where as the five components stated above make its rows as exhibited in table below:

Table 3-2: Components of LFA

Design Summary	Performance Indictors/ targets	Means of verification	Assumptions and risks
Impact			
Outcomes			
Outputs			
Activities			
Inputs			

The components which make the columns are defined as under:

- **Design Summary**: It is what the Program will do to achieve the desired change.
- **Performance Indicators**: These are the means by which an objective can be judged to have been achieved or not achieved. These are therefore tied to goals and objectives and serve as yardsticks by which to measure the degree of success in goal achievement of goal.
- **Performance Targets:** These are the expected values upon completion of the program/sub-Project.
- **Means of Verification:** The expected source(s) of information that can help answer the performance questions or indicators where the information to verify achievements is to be found.
- **Risks and Assumption:** Risks are normally beyond the control of project management where as assumptions are the external factors that could affect the progress or success of a program. Assumptions can be termed as positive conditions.

2.12 Performance Measurement Frameworks (PMF)

Performance Measurement Framework is a structured plan for data collection, analysis, use and dissemination of performance information pertaining to a program/sub-projects. This Framework helps structure the answers as to who will do what, when and how? PMF exhibits various components of a Program and the sequence of steps needed to achieve the desired outcomes. It defines the relationship between the factors key to implementation. This further helps understand and analyze how the Program is expected to work. The PMF documents the main elements of monitoring system and ensures that performance information is collected on regular and timely manner.

The main components of a PMF are organized in a matrix format as given in following table:

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Table 3-3: components of a PMF

Design Summary	Performance Indicators	Baseline Data	Performance Targets	Data sources	Method of Data collection	Data Collection Frequency	Responsibility for Data Collection
Impact							
Outcome							
Output							
Activities							
Input							

It is to be noted that Design Summary, Performance Indicators and Performance Targets are common to both the LFA and PMF and are already covered under LFA. However PMF includes additional components such as baseline data, data source, methodology of data collection, frequency of data collection and responsibility for data collection. These components are briefly explained below:

Baseline Data:

Baseline Data is the information consisting of facts and figures collected at the initial stages of a Program that provides a basis for measuring progress in achieving project objectives. This is initial collection of data which serves as the basis for comparison with the subsequently acquired data. It is exisitng or new data and information collected to verify that a suggested issue is of such a magnitude that it requires an intervention. The Baseline Data is used to determine the quantitative level for the indicators of success and indicates how much change will occur if the desired outcome is achieved.

Data Sources:

There are a number of possible data sources such as;

i) Primaryperformance data; ii) Secondary data

Primary performance data is the specialized data collection exercises such as focus groups, expert panels or surveys in which the information need to be collected for the specific Program in hand. The exercise may include survey such as the number of water supply, sanitation, and solid waste collection disposal schemes, number of household/beneficiaries, and perception of stakeholders on the new schemes. Sources generating primary data are termed as primary data sources.

Secondary Data is the information that has been collected for other purposes. This data could be generated from records of various departments such as Public Health Engineering Department, Local Govt, P&D Department, Bureaus of Statistics etc. Those records can provide information pertaining to number of ongoing and completed schemes in difference sectors/sub sectors including water supply, sewerage and solid waste collection & disposal etc. Sources that provide secondary information are as Secondary Data Sources.

Methodology of Data collection:

There are several methods/tools to collect Data to be used in the PMF such as:

- Individual/household interviews
- Focus group discussions
- Questionnaire surveys
- Documents review
- Field visits
- Periodic reports etc.

Frequency of Data Collection:

Depending on performance indicator, the data could be collected as an ongoing, monthly, quarterly, annual, bi-annual or annual basis. The timeliness in providing data is one of the main objectives of the monitoring and evaluation for decision making.

Responsibility for Data Collection:

In assigning responsibility, it should be taken in account not only that which parties have the easiest access to the data, but also their capacities and the system to facilitate data collection. The Program beneficiaries, professional organizations, partner organizations, consultants and Program staff could be assigned the task of Data Collection.

2.13 Results Framework

Results Framework is a matrix or summary of the different levels of results expected from Project or Program. The results comprise the longer-term Objectives (Outcomes/Impacts) and Intermediate Outcomes and Outputs that precede and lead to those longer-term objectives. The Results Framework contains the essential elements of the logical and cause-effect relations among inputs, outputs, intermediate results (outcomes) and impact. The Results Framework is a Planning, Communication and Management tool which includes the Strategic Objectives (SOs) and Intermediate Results (IRs) necessary to achieve the Objective. It also exhibits the cause and effect linkages between the Intermediate Results and the Strategic Objective.

Strategic Objective (SO) is an outcome that is most ambitious result which can be achieved and for which the organization is willing to be held responsible. Intermediate Result (IR) is a discrete result that is necessary to achieve. The Goal and SOs appear at the top of the Results Framework. Before achieving the SO, the lower level Intermediate Results must first be reached. Under each IR are subordinate IRs that relate directly to IRs. Results Frameworks are the types of Frameworks used by USAID in what is called Performance Management Plan (PMP).

The Results Framework underpins a strategic planning process and serves as a living management tool fostering ownership and consensus, enabling corrective actions, facilitating the coordination, guiding the course for achieving a Strategic Objective and finally serving as a key accountable tool for evaluations. These tools are briefly defined below:

Planning Tool: The process of designing a Results Framework guides the Program Management in establishing a valid development objective, assessing what Intermediate

"Outcomes" and "Outputs" are needed to achieve that objective, by prescribing appropriate intervention in alignment with the desired cause-and-effect linkages.

Consensus, coordination and Ownership Tool: The Results Framework provide as opportunity to the Program team to work with key stakeholders to agree on coordinating the implementation approach, agreeing on the expected results and specifying needed resources. This creates a sense of ownership in among the intended beneficiaries.

Management Tool: Results Framework is a Management Tool for guiding corrective adjustments to activities, reallocating resources, and re-evaluating targeted objectives or underlying assumption. It therefore enables to understand and make decisions related to un-intended effects of the Program.

Communication and Reporting Tool: Results Framework acts as a vehicle for communication about resources, activities, and outcomes for Program Team as well as to other stakeholders. It can act as an important tool in illustrating to the beneficiaries what the Program is meant to achieve. It identifies how progress toward the targeted objectives will be measured. It also serves as the basic accountability tool for developing an evaluation approach to the intervention.

2.13.1 Components of Results Framework

The components of a Results Framework are described below:

1). Strategic Objective (SO): is a broadly defined objective that a Program must achieve to make its strategy a success. The Strategic Objective are generally externally focused. Thus Strategic Objectives can also be an inspiring and overarching destination. SOs tend to be more specific and cover a well defined time frame.

2). Intermediate Result (IR): This is an important result that is seen as an essential step in achieving a strategic. Intermediate Results (IRS) are measurable results that may capture a number of discrete and more specific results.

3). Sub-IR: These are basically the direct results or outputs of the activities conducted in the project.

4). Activities: These are groups of tasks carried out using project inputs to produce the desired outputs.

2.14 Indicators

What is an Indicator?

An indicator is a quantitative or qualitative factor that provides a simple and reliable means to reflect the changes connected to an intervention. Indictors are used in establishing baselines, monitoring and evaluation. Indicator is a variable that measures one or more aspects of a

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Program which is/are directly related to Program's objectives. It is a variable whose value changes from baseline level at the time the Program starts to a new value after the Program and its activities have their impact felt. At that point the variable, or indicator, is calculated again. Indicator is also a measurement which is usually expressed as a percentage or a number.

Indicator focuses on a single aspect of a Program. This aspect may be an input, an output or an overarching objective. One or two indicators per result are generally recommended, at least one indicator for each activity, but no more then 10-15 indicators per area of significant Program focus.

Indicators help in understanding where we are now, where we are going and how far we are from Goal. It is therefore a clue or symptom, or a pointer to something that is changing. Besides indicators are bits of information that summarizes the characteristics of system or highlight what is happening in the system.

Indicators consist of information that signals change. An indicator is a variable that provides a simple and reliable means to reflect the changes connected to an intervention. Indicators enable to perceive differences and improvements, relating to desired change (objective or result) in a particular context.

2.14.1 Types of Indicators

Indicators can be "Quantitative" or "Qualitative". Both types of indicators can be either "Direct" or "Proxy".

Qualitative indicators are descriptive observations and can be used to supplement the numbers and percentage provided by quantitative indicators. They complement quantitative indicators by adding a richness of information about the context in which the program has been operating. The examples are "20% increase in Lady Councilor's belive that their voices are making difference in decision making", and "10% decrease in women's perception that they are marginalized in decision making".

Indicators, either 'Quantitative' or 'Qualitative' can be "Direct" or "Proxy". The 'Direct' Indicator corresponds precisely to results at any performance level. For example, counts of children vaccinated are direct measures of output; instances of change in hand-washing behavior are a direct measure of project/program outcome; and a decrease in infant mortality is a direct measure of project/program impact.

Indirect or "proxy" indicators are used to demonstrate the change or results where direct measures are not feasible. Some objectives, particularly impact objectives, are difficult to monitor. It is often necessary to select indirect or proxy indicators that may be easier for evaluators to measure. For example it may not be possible to directly measure improved participation of women in the Program. It would be judged through the information such as number of meetings held, total numbers of participants disaggregated by gender count, the decision made and as to who made the decision. This is an indirect/proxy indicator depicting enhanced participation by women in decision making as regards MSDP.

2.14.2 Characteristic of indicators

A good indicator should possess following characteristics:

- **Objective:** The indicator must be factual; without distortion by opinion personal feelings or prejudices.
- **Measurable:** An indicator must be measurable. If it can not be measured, it is impossible to establish if change has caused improvement.
- **Well defined:** The indicator should have accurate and consistent definition so that data collected over a span of time do not vary due to different collectors or the different time.
- **Based on current knowledge:** It shall not require significant academic knowledge.
- **Validity:** The indicator must have a direct relationship to the outcome that it is measuring.
- **Easily obtainable:** It shall not need another management process. If data can not be easily or readily collected, that indicator is of no value.
- **Reflect changes:** A good indicator shall reflect changes in the condition over a period of time.

2.15 Data collection Plan

Data collection strategy is to be evolved keeping review the data required for all the indicators. Data is to be used to measure status and progress of the Program implementation. This needs decision on several things such as considering different sources of data and time framework for collecting the required information. The data sources are either secondary and/or primary sources. If the information is available through secondary sources, there may be no need for primary data. In case of MSDP Sindh, the data regarding existing water supply and sewerage system etc may be available with Public Health Engineering, Local Govt Department and P&D Department (BOS) which can be used for designing and planning the additional facilities or up-gradation/ repair/rehabilitation of existing facilities. The M&E team of MSDP has to take early decision at the start of the Program regarding data collection strategy including the schedule for collection of such data.

2.16 Performance Targets

Performance Targets are the indicators of achievement during a period of time due to the intervention. The targets are to set prior to start of a Program/Project. Prerequisite to specify Performance Target is to establish baseline. The overall Performance Targets need to be developed for the Program life but for the effective monitoring purposes, Performance Targets could be set on annual basis which help stakeholders to know if the Program was moving at the desired pace. In case of non-achievement of Performance Targets, informed decision need to be taken for course correction. The targets for inputs, activities and output are generally set on quarterly, or annual basis. The Performance Targets for outcomes may span for the entire Program life which could be spread over a number of years.

Chapter 3: MSDP Results Framework

3.1 Results Framework

The Program would adopt Results Framework approach while establishing the M&E system for the Program. Results Framework is an important element of any M&E system. It summarizes the key objectives of the Program. The basis of the MSDP results framework is the approved PC 1 document. Preparation of Results Framework is the responsibility of Director M&E. However, before the initiation and appointment of the Director M&E and other technical staff members, an illustrative results framework for MSDP has been proposed in the Manual.The proposed Results Framework would by validated by the Program Director, MSDP in consultation with all the participating MCs/TMCs, Program Steering Committee and USAID/Pak. It is a one-off activity to be accomplished through participating Workshop. The Results Framework will serve as the basis of evaluation of the Program. Baseline, Mid Term Evaluation, End-lineEvaluation, User Surveys, Case Studies etc. will enable tracking of Program against the Key Performance Indicators (KPIs) as given in the Results Framework. The proposed Program Result Framework in given in the following diagram:

Proposed Illustrative Results Framework

Goal/Impact: Municipal Services Delivery improved and sustained in targeted town of Sindh
Indicator 1: %age population benefited in targeted towns
Indicator 2: %age improvement in public health conditions of target community
Indicator 3: %age increase in the revenues of municipalities through User charges

Outcome-1: Municipal Infrastructure upgraded and rehabilitated
Indicator 1.1: %age UCs with improved municipal infrastructure
Indicator 1.2: %age increase in the population having access to Safe Drinking water through local municipal administration
Indicator 1.3: # of Water resources protected and conserved
Indicator 1.4: %age increase in population having access to sewerage collection and disposal system
Indicator 1.5: %age increase in population having access to safe Solid Waste collection and disposal system
Indicator 1.6: # of Master Plans implemented

Outcome-2: Improved Management Systems implemented
Indicator 2.1: # of Local Administration institutions with improved management systems
Indicator 2.2: # of rules and regulations improved

Outcome-3: Increased Citizen Participat service delivery
Indicator 3.1: %age improvement in the Cit satisfaction with municipal services
Indicator 3.2: # of Schemes designed in collaboration with target communities

Output-1.1: Access to Safe Drinking Water increased
Indicator 1.1.1: # of Water Supply Schemes rehabilitated
Indicator 1.1.2: # of new Water Supply Schemes developed
Indicator 1.1.3: # of new Water Supply connections extended to Households
Indicators 1.1.4: # of Water Supply Schemes identified for rehabilitation or development

Output-2.1: Decision-Support Information Systems developed
Indicator 2.1.1: # of modules developed for Geographic Information System
Indicator 2.1.2: # of departments and TMAs using the developed Geographic Information System

Output-3.1: Local partners engaged for comm participation
Indicator 3.1.1: # of Manuals and SOPs develop citizen engagement
Indicator 3.1.2: # of local organizations engage schemes design and implementation process
Indicator 3.1.3: # of Community Dialogues/ Me held
Indicator 3.1.4: # of Public Awareness campaig completed
Indicator 3.1.5: # of Media Interventions comp

Output-2.2: Operational Systems developed for Local Administration
Indicator 2.2.1: # of Management systems developed
Indicator 2.2.2: # of TMAs using the developed Management Systems
Indicator 2.2.3: # of Policies and Procedures updated
Indicator 2.2.4: # of TMAs implementing Computer-based Complaint Management System

Output-3.2: Community complaints addressed
Indicator 3.2.1: # of Complaints registered
Indicator 3.2.2: # of Complaints addressed
Indicator 3.2.3: # of Complaints registered in t

Output-1.2: Safe sewerage System developed and implemented
Indicator 1.2.1: # of existing Sewerage systems rehabilitated

MSDP Goal: Municipal services Delivery improved and sustained in targeted towns of Sindh

The program's goal is to improve the access and quality of municipal services availability to local population of targeted districts and Taluka s of Sindh. The project will strengthen the local institutions to perform their operations and activities in a more transparent, accountable and effective manner for improved service delivery outcomes. The project plans to achieve its Goal by providing improved municipal services infrastructure for safe drinking water, sanitation and solid waste management, development of management systems to bring in efficiency and effectiveness in operations, In addition, with citizen participation mechanisms, accountability and transparency in identification and implementation will be ensured. In order to sustain the service delivery outcomes, the human resource capacity of officials and training institutions will be enhanced to plan and implement municipal service delivery projects.

Outcome 1: Municipal Infrastructure upgraded and rehabilitated

A major portion of the project would contribute to this outcome. The municipal infrastructure comprises of provision of safe drinking water at the doorstep of people, development of sanitation system and collection and disposal of solid waste through properly designed systems. The interventions to rehabilitate the existing system along with its extension to new locations would contribute in the achievement of this outcome. The outcome would address the issues of access and availability of water, extension of proper sanitation systems and management of solid waste.

Outcome 2: Improved Management Systems implemented

The project focuses on 'Institutional Strengthening' through one of its result area i.e. 'Management Systems Improvement' at the provincial and Taluka level. The management system development approach has been adopted to bring in accountability and transparency in operational management. The program interventions under this Outcome are targeted towards building of decision support system; GIS based spatial information systems, complaint management systems and financial management systems.

The interventions contributing to this result area also include improvement of existing policies and procedures of the organizations and developing new policies if required

Outcome 3: Increased Citizen Participation in Service Delivery

The outcome will focus on the level of citizen participation in the local decision making process. It will be based on reliable data based on people's perception about service delivery outcomes. Successful mechanisms for citizen engagement during the design and implementation phase of the schemes would ensure the ownership and trust of local population on the government institutions. Formal engagement of civil society groups would create trust and ownership thus resulting in sustainability of the project activities.

Outcome 4: Local government administrations capacities enhanced

This Outcome level result area focuses on the Capacity Development of employees of the target organizations which are considered to be a key player for contributing in the organization's effectiveness, accountability and transparency. To achieve this outcome the interventions are planned to target officials directly involved in the designing of the service delivery interventions. For longer term sustainability of the program results, training institutions responsible for training public servants will also be focused in terms of curriculum development, training of faculty members and institutional support.

3.2 Indicators' Definitions

Objectively Verifiable Indicators (OVIs)	Indicator Definition
Indicator 1: %age population benefited in targeted towns	The indicator measures the percentage change of people benefitting from the project interventions. It is expected that there would be improvement in citizens views about the municipal services provided by the respective organization. The results will be compared with the baseline survey results. It will be compared over time during the implementation of the project
Indicator 2: %age improvement in public health conditions of target community	The indicator measures the percentage change in the public health indicators of the target population. Public health indicators include water related disease prevelance indicators. The improvement would be measured through post intervention surveys.
Indicator 3: %age increase in the revenues of municipalities through User charges	The indicator will measure the change on revenue source of local municipalities on account of municipal services. The indicator will report results of implementation of management systems implemented
Indicator 1.1: %age UCs with improved municipal infrastructure	The indicator will measure the % change in the Union Councils where municipal infrastructure of water supply and sanitation were rehabilitated or newly established. The information will be collected regulary. The unit of measure will be UCs
Indicator 1.2: %age increase in the population having access to Safe Drinking water through local municipal administration	The indicator measure the change in access of safe drinking water facilities. This includes, % increase in piped connections as compared to baseline report or data from the MCs. The unit of measure will be households
Indicator 1.3: # of Water resources protected and conserved	The indicator measure the number of water sources used for the supply of safe drinking water to local population i.e small dams, tube wells, rain water reservoirs etc. The measure will be number of intervention planned to conserve and protect water sources
Indicator 1.4: %age increase in UCs having access to sewerage collection and disposal system	The indicator measures the change in the number of Union Councils where underground sewerage system developed. The unit of measure will be UCs
Indicator 1.5: %age increase in population having access to safe Solid Waste collection and disposal system	The indicator measure the increase in the access and availability of solid waste collection system. The unit of measure will be local population having access to solid waste collection points
Indicator 1.6: # of Master Plans implemented	The indicator measure the number of Master Plans developed at the TMC level. The Master plans identifying schemes in the three areas of intervention will be targeted
Indicator 1.1.1: # of Water Supply Schemes rehabilitated	The indicator measures the existing number water supply schemes present in the targeted area which were found non functional and made functional after the intervention. Water supply schemes means piped water distribution system

Objectively Verifiable Indicators (OVIs)	Indicator Definition
Indicator 1.1.2: # of new Water Supply Schemes developed	The indicator measures the number of new water supply schemes identified in the targeted area and reflected in the Master plan. Water supply schemes means piped water distribution system
Indicator 1.1.3: # of new Water Supply connections extended to Households	The indicator measure the number of new connections extended by the local municipalities after the project intervention. The unit of measure will be new connections. The information will be disaggregatred at UC level, urban rural or to different segments of the population
Indicators 1.1.4: # of Water Supply Schemes identified for rehabilitation or development	The indicator measures the schemes identified in the Master plan or in community meetings organized with citizens by the TMCs
Indicator 1.2.1: # of existing Sewerage systems rehabilitated	The indicator measures the existing number of sewerage schemes rehabilitated in the targeted area which were found non functional and made functional after the intervention.
Indicator 1.2.2: # of new Sewerage systems developed	The indicator measures the number of new sewerage schemes developed in the targeted area which were also reflected in the Master plan.
Indicator 1.2.3: # of HHs connected to Safe Sewerage systems	The unit of measure will be households connected to the underground sewerage systems
Indicator 1.2.4: # of Sewerage systems identified for improvement or development	The indicator measures the schemes identified in the Master plan or in community meetings organized with citizens by the TMCs
Indicator 1.3.1: # of collection points identified for Solid Waste collection	The indicator measures the number of new solid waste collection points identified in the Master plan or in community meetings organized with citizens by the TMCs
Indicator 1.3.2: # of land filled sites identified for Solid Waste disposal	The indicator will report on the new landfill sites identified for the disposal of solid waste. The indicator
Indicator 1.3.3: # of collection points regularly visited for solid waste collection	The indicator will measure the collection points where the Muncipal service garbage disposal truck visited regularly.
Indicator 1.3.4: # of new equipment and machinery deployed for Solid waste management	Measure the number of trucks, trolleys, machines, dumpers, hand carts in use for disposal of solid waste
Indicator 2.1: # of Local Administration institutions with improved management systems	The indicator measure the number of TMC/MCs or related institutions where management systems including MIS, billing softwares, GIS introduced and made functional
Indicator 2.2: # of rules and regulations improved	The number of new procedures, tools, instruments developed to simplify the procedures will be reported under this indicator
Indicator 2.1.1: # of modules developed for Geographic Information System	The indicator will measure the number of modules developed with project intervention

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Objectively Verifiable Indicators (OVIs)	Indicator Definition
Indicator 2.1.2: # of departments and TMAs using the developed Geographic Information System	The indicator will measure the number of GIS modules implemented in TMCs or MCs
Indicator 2.2.1: # of Management systems developed	The indicator will specifically focus on the management systems including both IT based and non IT based systems
Indicator 2.2.2: # of TMCs using the developed Management Systems	The indicator will measure the number of TMCs/MCs using the MIS systems
Indicator 2.2.3: # of Policies and Procedures updated	This indicator will measure the improvement and modifications in the existing management polices and procedures in practice and improved after the project intervention
Indicator 2.2.4: # of TMCs implementing Computer-based Complaint Management System	The indicator will measure the number of TMCs using the complaint management systems, the unit of measure will be TMCs.
Indicator 3.1: %age improvement in the Citizen satisfaction with municipal services	The indicator will measure the number of people satisfied with the municipal services. The data on the indicator will be compared with the baseline survey based on people's perception about the municipal services
Indicator 3.2: # of Schemes designed in collaboration with target communities	The unit of measure to report on the indicator will be based on the number of schemes identified after having formal citizen involvement
Indicator 3.1.1: # of Manuals and SOPs developed for citizen engagement	The indicator will measure the number of manuals or SOPs for formal engagement of citizens. The mechanism for citizen engagement will be designed keeping in mind the local environment
Indicator 3.1.2: # of local organizations engaged in schemes design and implementation process	The number of CSO including NGOs, CBOs, business organization or other professional bodies engaged in civic matters will be reported under the indiactor
Indicator 3.1.3: # of Community Dialogues/Meetings held	Community dialogues or meetings includes meetings, focus group discussions or any other formal arrangement for citizen engagement
Indicator 3.1.4: # of Public Awareness campaigns completed	This will include public awareness campaigns through IEC material or public meetings
Indicator 3.1.5: # of Media Interventions completed	This indicator will include information on print and electronic media
Indicator 3.2.1: # of Complaints registered	Complaints mean grievances of people on municipal services or against delay in the provision of services to common people
Indicator 3.2.2: # of Complaints addressed	This indicator will measure number of complaints addressed by the complaint redress mechanisms developed by the project

Objectively Verifiable Indicators (OVIs)	Indicator Definition
Indicator 3.2.3: # of Complaints registered in the Computer Based Complaint Management System	The indicator will measure the formal complaints registered in the computer based grievance redressal system
Indicator 4.1: %age increase in the technical skills and capacity of TMA's officials to plan and implement municipal services	The indicator will measure the change in the knowledge and skills of TMA officials in planning, design and implementation of municipal services schemes
Indicator 4.2: # of institutions fulfilling the capacity needs of TMAs' staff	The indicator will identify the training institutions whose capacity has been enhanced to develop and plan training programs to enhance the skills of local officials
Indicator 4.1.1: # of Training Programs developed	No of training courses developed for different tiers of the government
Indicator 4.1.2: # of Training Programs implemented	The indicator will measure the number of trgs implemented or conducted
Indicator 4.1.3: # of individual benefitting from the training programs	All officials attending training programs, orientation sessions implemented through training institutions
Indicator 4.2.1: # of Training Courses' Curriculum updated	The indicator will measure the number of training curriculums modified or newly developed to enhance the skills and knowledge of officials
Indicator 4.2.2: # of Master Trainers Trained	The capacity of training institution faculty through TOTs

3.3Performance ManagementPlan (PMP) for MSDP

The PMPof the MSDP project includesKey Indicator, Baseline Data, Means of Verifications, Data Sources, Methods of Data Collection, Schedule of Data Collection and responsibility for Data Collection

An illustrative Performance Management Plan is given below:

Objectively Verifiable Indicators (OVIs)	Means of Verification (MoVs)	Data Collection Method/Tool	Data Disaggregation	Baseline Value	Responsibility	Data Collection Frequency
Indicator 1: %age population benefited in targeted towns	TMAs record, GIS System	Field teams to report data on specific formats	Gender, Location	1,800,000	M&E Specialist	Quarterly
Indicator 2: %age improvement in public health conditions of target community	Household level survey	Survey Questionnaire	Gender, Age Group, Diseases		M&E Specialist	Annual
Indicator 3: %age increase in the revenues of municipalities through User charges	TMAs record, MIS System	Data Analysis of Taluka Annual Reports	Area/Sector		M&E Specialist	Annual
Indicator 1.1: %age UCs with improved municipal infrastructure	Completion Certificates, TMAs record, GIS/ MIS System	Field Reports, Provincial Annual Reports	Location, Area/Sector	*(Existing # of UCs)*	M&E Specialist	Quarterly
Indicator 1.2: %age increase in the population having access to Safe Drinking water through local municipal administration	Completion Certificates, TMAs record, GIS/ MIS System	Field teams to report data on specific formats	Gender, Location	1,800,000	M&E Specialist	Quarterly
Indicator 1.3: # of Water resources protected and conserved	Completion Certificates, TMAs record, GIS/ MIS System, On-site pictures	Engineering firm & Field Teams data and reports	Location	*(Existing # of Water Courses requiring rehabilitation)*	M&E Specialist	Quarterly
Indicator 1.4: %age increase in population having access to sewerage collection and disposal system	Completion Certificates, TMAs record, GIS/ MIS System	Field teams to report data on specific formats	Gender, Location	1,800,000	M&E Specialist	Quarterly
Indicator 1.5: %age increase in population having access to safe Solid Waste collection and disposal system	Completion Certificates, TMAs record, GIS/ MIS	Field teams to report data on specific formats	Gender, Location	1,800,000	M&E Specialist	Quarterly

Objectively Verifiable Indicators (OVIs)	Means of Verification (MoVs)	Data Collection Method/Tool	Data Disaggregation	Baseline Value	Responsibility	Data Collection Frequency
	System					
Indicator 1.6: # of Master Plans implemented	GIS/MIS System, Mid-Term Evaluation Report	Field teams to report data on specific formats	Location		M&E Specialist	Quarterly
Indicator 1.1.1: # of Water Supply Schemes rehabilitated	Completion Certificates, GIS/MIS System	Field teams to report data on specific formats	Location		Field Monitoring Officer	Monthly
Indicator 1.1.2: # of new Water Supply Schemes developed	Completion Certificates, GIS/MIS System	Field teams to report data on specific formats	Location		Field Monitoring Officer	Monthly
Indicator 1.1.3: # of new Water Supply connections extended to Households	New Connection Record at TMA	Monthly Report Format	Location		Field Monitoring Officer	Monthly
Indicators 1.1.4: # of Water Supply Schemes identified for rehabilitation or development	Needs Assessment Survey Report, Field Visit reports, Master Plan	Analysis of Needs Assessment Report and field data	Location		Field Monitoring Officer	Quarterly
Indicator 1.2.1: # of existing Sewerage systems rehabilitated	Completion Certificates, GIS/MIS System	Field teams to report data on specific formats	Location		Field Monitoring Officer	Monthly
Indicator 1.2.2: # of new Sewerage systems developed	Completion Certificates, GIS/MIS System	Field teams to report data on specific formats	Location		Field Monitoring Officer	Monthly
Indicator 1.2.3: # of HHs connected to Safe Sewerage systems	Monthly Bill record, Field Visit Report	Analysis of TMAs record	Location		Field Monitoring Officer	Monthly
Indicator 1.2.4: # of Sewerage systems identified for improvement or development	Needs Assessment Survey Report, Field Visit reports, Master Plan	Analysis of Needs Assessment Report and field data	Location		Field Monitoring Officer	Quarterly
Indicator 1.3.1: # of collection points identified for Solid Waste collection	Needs Assessment Survey Report, Field Visit reports, Master Plan	Analysis of Needs Assessment Report and field data	Location		Field Monitoring Officer	Quarterly
Indicator 1.3.2: # of land filled sites identified for Solid Waste disposal	Needs Assessment Survey Report, Field Visit reports, Master	Analysis of Needs Assessment Report and field	Location		Field Monitoring Officer	Quarterly

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Objectively Verifiable Indicators (OVIs)	Means of Verification (MoVs)	Data Collection Method/Tool	Data Disaggregation	Baseline Value	Responsibility	Data Collection Frequency
	Plan	data				
Indicator 1.3.3: # of collection points regularly visited for solid waste collection	TMA record, Field Visit Reports	Analysis of TMAs record, Field teams to report data on specific formats	Location		Field Monitoring Officer	Monthly
Indicator 1.3.4: # of new equipment and machinery deployed for Solid waste management	TMA record, Field Visit Reports	Analysis of TMAs record, Field teams to report data on specific formats	Location		Field Monitoring Officer	Monthly
Indicator 2.1: # of Local Administration institutions with improved management systems	Systems implementation & deployment certificates, Monitoring Reports	Workshops, meetings and monitoring teams reports	Location		M&E Specialist	Bi-Annually
Indicator 2.2: # of rules and regulations improved	Manuals, SOPs, Notifications	Field based reporting, review of Manuals, SOPs & Notifications	Area/Sector, Subject		M&E Specialist	Bi-Annually
Indicator 2.1.1: # of modules developed for Geographic Information System	Live deployed GIS System, Completion Certificate/report	Review of software through a User Account	Area/Sector, Subject		M&E Manager	Quarterly
Indicator 2.1.2: # of departments and TMAs using the developed Geographic Information System	TMAs Hardware & connectivity, Deployment Certificate	Review of database & report generation through a User Account	Location, Department		Field Monitoring Officer	Quarterly
Indicator 2.2.1: # of Management systems developed	Manuals, Guidelines, Frameworks, Monitoring reports	Review of Systems, Visits to relevant offices	Area/Sector, Subject		Field Monitoring Officer	Quarterly
Indicator 2.2.2: # of TMAs using the developed Management Systems	TMAs record	Analysis of TMAs record, Field teams to report data on specific	Location		Field Monitoring Officer	Quarterly

Objectively Verifiable Indicators (OVIs)	Means of Verification (MoVs)	Data Collection Method/Tool	Data Disaggregation	Baseline Value	Responsibility	Data Collection Frequency
		formats				
Indicator 2.2.3: # of Policies and Procedures updated	Manuals, Guidelines, Frameworks, Monitoring reports	Review of Systems, Visits to relevant offices	Area/Sector, Subject		Field Monitoring Officer	Quarterly
Indicator 2.2.4: # of TMAs implementing Computer-based Complaint Management System	Live deployed Computer-based System, Completion Certificate/report	Review of software through a User Account	Location		Field Monitoring Officer	Quarterly
Indicator 3.1: %age improvement in the Citizen satisfaction with municipal services	Household level survey	Survey Questionnaire	Gender, Location, urban/ peri-urban		M&E Specialist	Annual
Indicator 3.2: # of Schemes designed in collaboration with target communities	Field visit report	Monthly report	Gender, sector		MOs	Monthly
Indicator 3.1.1: # of Manuals and SOPs developed for citizen engagement	Citizen engagement manual	Progress Report			Manger ME	Quartlery
Indicator 3.1.2: # of local organizations engaged in schemes design and implementation process	Partnership agreement, invitation letters to cSOs	PMU record	Male CSO, female CSOs			
Indicator 3.1.3: # of Community Dialogues/Meetings held	Meeting report	Field visit	Meeting catogory		MOs	Monthly
Indicator 3.1.4: # of Public Awareness campaigns completed	Meeting report	Field visit	Meeting catogory		MOs	Monthly
Indicator 3.1.5: # of Media Interventions completed	Contract, media reports	Monthly Progress Report				
Indicator 3.2.1: # of Complaints registered	Complaint register		sector		Compalint officer	Monthly
Indicator 3.2.2: # of Complaints addressed	Complaint register		sector		Compalint officer	Monthly
Indicator 3.2.3: # of Complaints registered in the Computer Based Complaint Management System	CMS report		Sector, Location, gender		MIS	Monthlhy
Indicator 4.1: %age increase in the technical skills and capacity of TMA's officials to plan and implement municipal services	Post Training Survey report	questionnaire			Manager M&E	Monthly
Indicator 4.2: # of institutions fulfilling the capacity needs of TMAs' staff	Partnership Agreement, MOUS					Quarterly

Objectively Verifiable Indicators (OVIs)	Means of Verification (MoVs)	Data Collection Method/Tool	Data Disaggregation	Baseline Value	Responsibility	Data Collection Frequency
Indicator 4.1.1: # of Training Programs developed	Training tool kits	Progress report				Quarterly
Indicator 4.1.2: # of Training Programs implemented	Training report	Field visit				
Indicator 4.1.3: # of individual benefitting from the training programs	Participant list	Progress Report	Officalscatagories			Quarterly
Indicator 4.2.1: # of Training Courses' Curriculum updated	Training currculum					Quarterly
Indicator 4.2.2: # of Master Trainers Trained	TOT reports	Progress Report	sector			Quarterly

Chapter 4: Organizational Structure and M&E Policies

4.1 Organizational Structure

4.1.1 Organogram of MSDP Sindh

The Organogram of the PMU for Sindh MSDP (Annexure-D) with the PC-I approved by the ECNEC on August 16, 2012 is placed at Appendix – II. The hierarchy of M&E section in the PMU is reproduced below:

```
                    ┌──────────────────────┐
                    │   PROGRAM DIRECTOR    │
                    └──────────┬───────────┘
                               │
                    ┌──────────┴───────────┐
                    │      DIRECTOR         │
                    │  (M&E SPECIALIST)     │
                    └──────────┬───────────┘
                               │
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│M&E/Data-│ │ MIS/GIS │ │   MO     │ │   MO     │ │   MO       │
│base     │ │ officer │ │(Larkana) │ │(Sukkur)  │ │(M.P.Khas)  │
│Officer  │ │         │ │          │ │          │ │            │
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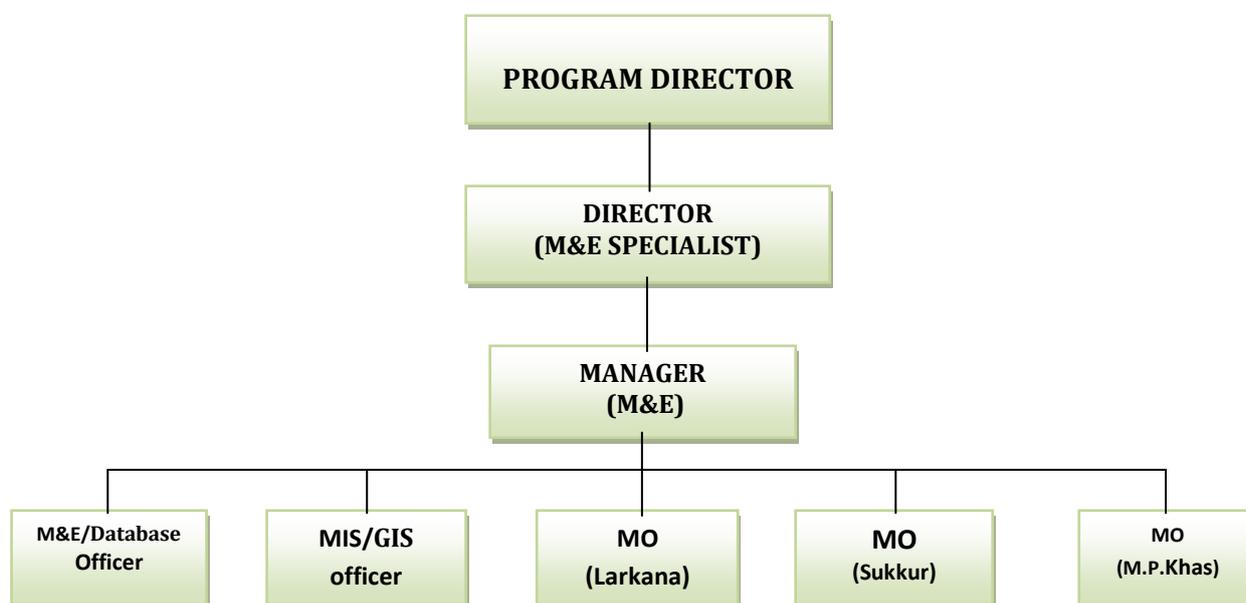
As can be seen from above diagram, M&E Section comprising of 7 positions is headed by Director (M&E Specialist) and assisted by Manager M&E. Three (3) Monitoring Officers hired for 3 main Field/Project offices (Larkana, Sukkur, MirPurKhas) will report to Manager (M&E) along with M&E/Database Officer and MIS/GIS Officer. The Director (M&E Specialist) reports directly to the Program Director. Responsibilities of the core staff of the M&E section are given at Appendix – III.

4.1.2 Role & Responsibilities of the M&E Section

It will be responsibility of the M&E Section to ensure that M&E plans and procedures comply with the "Assessing and Learning" guidelines developed by USAID/Pak for M&E functions. Moreover, Planning Commission of Pakistan requires preparations of Project Profile, Work/Cash Plan, Activity Chart, Physical and Financial Progress Report (PC-III), Project Completion Report (PC-IV) and Impact Monitoring Report (PC-V). The compliance with Monitoring and Evaluation Guidelines of the Planning Commission has to be ensured through the M&E arrangements under MSDP-PMU.

M&E Section will also arrange trainings for the staff of Municipal Committees (MCs), and Town Municipal Committees (TMCs) and Program staff in applying appreciative enquiry, focus group discussions, mapping, self-assessment and other tools and techniques to strengthen their capacity to analysis, learn and act.

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It will also be responsibility of PMU through M&E Section to enable open citizen access to the municipal decision making processes and information sources to facilitate advocacy and oversight of schemes identified by community especially women and youth, in respect of planning processes and performance monitoring. Extra attention is given for promoting leadership and equal participation of women in citizen engagement schemes. To achieve this objective, the M&E Plan has made mandatory requirement of disaggregated data collection on key performance indicators.

4.1.3 Provisions in MSDP Program Documents

MSDP PC-I stipulates providing Manager (MIS and Media) reporting to Dir (M&E). The relevant Para (page-24) against column-13 (Management Structure & Manpower Requirements) "Monitoring & Evaluation and Need Assessment Framework" is reproduced as under:

"A full-fledged M&E Section has been proposed under the PMU to be able to meet monitoring and reporting requirement of the USAID and the GOS. Detailed M&E structure and term of reference of the staff will be developed as part of the M&E Framework. Besides a Director, one Manager each for Monitoring & Evaluation, MIS and Media has been provided for"

It is mentioned against Para-13(iii) "Job description, qualification, experience, age and salary of each job" that "Job descriptions and other details will be prepared by experts at the start of the Program" As per requirements of the PC-I, the M&E Framework of June 2011 provides "Job description of M&E staff" which has been enclosed with the Framework and is given at Appendix – III.

Functions of the M&E are amply defined in Project documents i.e. MSDP PC-I including Activity Agreement(s), M&E Framework and Pre-Award Assessment as well as USAID/Pak Guidelines and Planning Commission's "Manual for Development Projects". Results Based Management (RBM) approach contained in Planning Commission's "Guidelines for Project Management" further outline the principles of M&E using RBM.

As per M&E Framework (Staffing, Training and Budget), the Program Director will be overall responsible for supervision of the M&E and MIS team. The Director M&E who will report directly to Program Director will be supported by Manager M&E and Manager MIS and Media. One M&E Officer will be hired for each Divisional Office who will report to Manager M&E.

The 1st PSC meeting decided that one Field office shall be established in Jacobabad,whereas; decision regarding other offices would be taken afterwards as the program implementation is unfolded.

Subject to the finalization of the Scope of Work and location of field offices, the M&E staff stipulated in the MSDP PC-I and in the M&E Framework can be termed as quite satisfactory with the exception of non-consistency of Organogram which does NOT show the position of Manager MIS.

The position of Manager MIS reporting to Director M&E is very essential for an effective and robust M&E System. The three (3) Monitoring Officers posted for field offices will suffice the requirements of carrying out M&E functions including mechanism for validation of reported results as required under the Risk Mitigation Framework. These Monitoring Officers would need to be provided the Real Time Monitoring devices, digital cameras and non-destructive field testing equipment to validate the quantum and quality of completed and in-progress

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works. Information on such devices and equipments can be obtained from M&E Cell, P&DD and Council for Works & Housing Research located on Hub River Road, Karachi.

4.1.4 Training & Development

In order to familiarize the newly recruited M&E staff for MSDP, brief training sessions could be held in the M&E cell of P&DD, Karachi and in the Regional Offices of M&E Cell located at Hyderabad and Sukkur. M&E Cell of P&DD, GOS can also be approached to familiarize & train the MSDP M&E staff on the use of Project Monitoring &Evaluation System (PMES). The M&E staff of MSDP will be given exposure to the M&E system being used in "Sindh Cities Improvement Project (SCIP)" and "Northern Sindh Urban Services Corporation (NSUSC)" which aims to improve Water Supply, Waste Water Management and Solid Waste Management services in a cluster of secondary cities of the north Sindh Province.

In order to carry-out the M&E function in an effective manner, the Program team including M&E staff as well as the relevant Municipal Committee staff will need some training so as to enhance their M&E capacity. An indicative training plan is placed at Appendix – IV. Detailed budget for carrying out M&E activities and for establishing Management Information System is given at Appendix – V. Assistant Director, Human Resource Development (HRD) would review the given tentative training plan, accommodate the needs of the M&E staff and update the plan in consultation with Director M&E. Program shall also benefit from the annual training programs offered by ASP-LUMS.

4.2 Performance Monitoring & Evaluation Plan (PMEP)

The PMEP Plan is part of the M&E system and reports will be prepared on regular basis. Some of the main plans which are to be designed to provide information to keep the stakeholders abreast with the progress and status of the Program are given below. However; as per Activity Agreement between USAID and GOS, the details of the forms and substance of these plans and reports will be developed jointly with USAID.

  a) Work Plans and Budgets

  b) Implementation Plans

  c) Performance Measurement Plans

  d) Resource Tracking Plans

The Annual Work Plan and Budgetswill be prepared at the start of Financial Year which shall be based on funds earmarked for the Program in the Provincial ADP for the Financial Year. Prior to start of Financial Year, the Revised Budget Estimates for preceding year and Budget Estimates for upcoming year are sought by the P&D Dept. The Budget Estimates shall be prepared based on the Physical/Financial phasing mentioned in the MSDP PC-I. However, the Budget Estimates shall be realistic keeping in view the status of the projects/sub-projects which are on-going or to be started in the next Financial Years. After Budget approval, detailed working shall be done to indicate activities/sub-activities to be undertaken during the Financial Year. Work Plan and Activity Chart will be prepared on the format of PMES; the MIS customized by M&E Cell of P&DD, which is proposed to be used by the Program.

Implementation Plans shall be prepared by the PMU at the start of every Financial Year in consultation with the concerned program sections;describing the specific

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outputs/accomplishment to be achieved at the specific time as per the agreed results framework. It shall also include timings of disbursements and the respective roles of stakeholders.

It shall be based on detailed activities/Sub-activities under the relevant Project/Sub-project. The Annual Implementation Plan to be prepared in the form of Bar Chart/Gantt Chart. All the Project Implementation Plans will be compiled on quarterly and monthly basis. The Implementation Plans shall be reviewed in the 1st week of the next month at the PMU level. The bottlenecks encountered during the review month shall be recorded and corrective measures taken to avoid occurrence of such impediments.

Resource tracking plans will be developed at the start of each financial year by the M&E section in consultation with other concerned departments. Resource tracking plan will enable the stakeholders to know if the resources have been used properly and timely to achieve the objectives of the Program and to track the deviations and delays, if any, which have occurred or continue to occur affecting the output/outcomes of the Program. It would be ensured that the M&E Plans and processes are in alignment with "Assessing and learning" guide lines developed by USAID for M&E function.

Chapter 5: M&E Data Requirements

One of the key functions of the M&E department in the program is '*Provision of timely information on the program's interventions to all the stakeholders*'. The M&E section's feedback mechanism ofdata collection and after useful analysis, disseminating it to the program staff at all levels of the program structure will help improve the decision making process.

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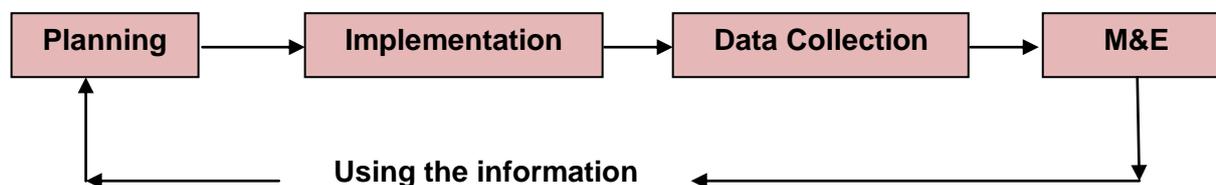
5.1 Sources of Data

The data will be collected from a number of sources for Work Planning, Monitoring, Reporting and Evaluation purposes. These will include:

- Baseline Survey
- GIS/Geo-spatial Software
- Local Government Department
- MC/TMC
- Field Visits
- Special Surveys
- Civil Society Organizations

5.2 Baseline Survey

MSDP's Results Framework encompasses the relevant Performance Indicators at the Outcomes and Impact level, in addition to the Output level Indicators. These Performance Indicators will help quantify the short-term, mid-term and long-term impact of the program interventions on the improved and sustained municipal services delivery in the targeted town of Sindh. For comparison of the achievements during the course of program implementation against the KPIs and overall program impact in terms of contribution to the Provincial level figures; a baseline survey will be conducted to set the program specific benchmarks. Baseline survey will be conducted before the start of program activities such that the community's perception and data relating to improvement in the municipal services is easily compared and evaluated on a periodic basis.

The initial baseline survey will sample the opinions, perceptions and experiences of the stakeholders in treatment and control areas. Regular (e.g., annual or semi-annual) outcome surveys will track changes in these perceptions for the entire duration of the program. The baseline survey activity will be outsourced to a Consulting Firm and Director M&E will have a lead role in the design and implementation of the activity.

5.3 Needs Assessment Survey

Needs Assessment Survey will be conducted at the beginning of the Program to provide information about user's perceptions on the availability, adequacy, quality and efficiency of public services. This data will help in the planning stages of the program i.e. in the

identification of potential schemes in the targeted town; and in the preparation of Master Plans which will be further translated into the Annual Program Work Plans. PMU and MCs/TMCs would use USAID guidelines for selection, preparation and appraisal of sub-projects given in "Managing Municipal Services Delivery". Need Assessment Surveys will be commissioned by PMU in the jurisdiction of the selected MCs/TMCs. Data from secondary sources, such as, other donors, projects, departments etc. related to Needs assessment of MCs/TMCs will also be used. Final decision may be taken by PMU considering all relevant factors.

5.4 Tools for Gathering Information

Data on the progress of program interventions (Schemes and Master Plan) and M&E related activities will move from the field level to the regional level and in-turn to the PMU level. A formalized data flow using specific tools and data collection formats will be managed by the PMU. A mix of the following tools will be used for gathering program related information:

Tool/Method	Purpose	Steps
Stakeholder Analysis	to identify the range of stakeholders that need to be included in the planning, implementation and M&E	criteria for including stakeholders; list all organizations & individuals that fit criteria; reach agreement on how to involve people
Questionnaires and Surveys	focused data collection around Indicators	ensure questions are well formulated; agree on target group & number of respondents; pretest questionnaire; collect and use information
Direct Observation	often used to complement collected data, understand context and help explain results	collect and record data as agreed; discuss observations with relevant stakeholders
Case Studies	to give a "face" to data and help to reflect context of some of the data	how the information will be obtained; Develop question checklist to guide information collection; Collect information and compile case history
Field Based Reporting	to get intervention specific details in a periodic manner	develop data collection formats; train the field staff; collect, analyze and consolidate information

5.5 Data Quality Assessment

A periodic (quarterly/annual) 'Data Quality Assessment' will be carried out to assess the quality of progress/performance data reported to the stakeholders of the program. This exercise will ensure that the program team is aware of the strengths and weaknesses of the data, as determined by applying the following five data quality standards and are aware of the extent to which the data integrity can be trusted to influence management decisions:

Validity: Do the data adequately represent performance?
Reliability: Are data collection processes stable and consistent over time?
Timeliness: Are data collected frequently and are they current?
Precision: Do the data have an acceptable margin of error?
Integrity: Are data are free of manipulation?

Chapter 6: Reporting Mechanisms

6.1 Monitoring & Evaluation Plan

An indicative Monitoring and Evaluation Plan in a matrix form, recommended in M&E Framework has been given in the Manual at Appendix – IV, which comprises of M&E Inputs and Outputs, the Frequency/Schedule for undertaking various M&E activities, the tools proposed to achieve the Outputs. It also indicates the persons/ offices/entities responsible for taking the action and audience/users of the information. Following paragraphs provide detailed explanation of the use of different tools/methods, input and output as well as pinpoint the methodology to be adopted for monitoring and reporting mechanism as per the Monitoring and Evaluation Plan.

6.2 Field Visits

Field Visits are ongoing monitoring process which provides the basis for Progress Monitoring, Process Monitoring and Users Feedback. Field Visits are mainly conducted to kick off the activities, take on-spot decision to remove bottlenecks and to validate the progress at project site. In fact validation is the key objective of field visits from monitoring point of view. Field Visits may be carried out by staff of the PMU, P&D Department, PHED, Local Govt. Dept. and MCs/TMCsstaff. The M&E staff of the PMU will conduct frequent field visits of all the project sites especially from point of view of validation of the reported progress. Upon receipt of MPR(s), the Monitoring Officers would conduct the field visit to the project sites and submit the visit report to Manager M&E.Technical section of the PMU shall be responsible for monitoring the civil works of the program.

The validation shall cover the quantity as well as judgment on quality standards of the work which have been completed or are in-progress. A simple format will be used to record findings/comments and on-site decisions. Template for Field Visit Report is placed at appendix –VII. The narrative of the field visit and key issues/bottleneck, if any, hampering the progress, recommendations /course correction and follow-up action could be recorded in the field visit report. The field visit report shall be submitted by the visiting officer to his supervisor. The final visit report shall also contain a note giving timeline to the executing/implementing agency to rectify the shortcomings and compliance accordingly with in timeline as suggested by the reporting officer. Copies of the final reports should be maintained in M&E Section after circulation to all concerned. Director M&Ewill ensure follow-up visits to validate the compliance reported by the Executing Agency.

Quarterly Monitoring Report (QMR) would be prepared by Director M&E with the assistance of Manager M&E on the basis of MPRs and Field Visit Reports. Key findings of the QMR would be reflected in the Quarterly Progress Reports (QPR).

Joint field visits comprising officers of various departments/representatives of stakeholders and members of PSC may be arranged on quarterly or semi-annual basis by the Program Director. Objective of the joint field visit should be to review:

    a) Degree of efficiency and cost-effectiveness in the delivery of inputs

    b) Adherence to minimum quality standards for various outputs

    c) Participation by the target groups in the entire Program cycle

d) Identification and mitigation of any negative environmental or social effects of a subproject

Above findings may be used for the course correction and necessary decision making for the program, if required.

6.3 Monthly Progress Report (MPR) and Progress Review Meetings

Monthly Progress Reports will be prepared on proforma PC-III (b) and presented by the staff of the concerned MCs/TMCs by 5th day of each Month. Monthly Progress Review Meetings would be held at the Divisional level which will be attended by representatives of PMU, PHED, Civil Society and Media. Manager M&E will be overall responsible for compilation of the MPRs and Program Review Minutes.

Gender concerns will be addressed appropriately, as such substantial and measureable women's participation should be ensured in the review meetings. The perception of women about the developmental activities in their areas shall be recorded for follow-up. Minutes of the Meeting would be recorded on a standard format which will contain agreed actions to be followed by the Divisional Program Manager. A copy of the minutes would be maintained atrespective municipal committee, the Divisional and at the PMU levels by the M&E staff. It will be responsibility of the MIS staff to share scanned copy of the minutes through the Program website.

Following are the key responsibilities of M&E staff

- Director M&E would discuss the monthly progress with the Program Director on monthly basis.
- Physical and financial monitoring and progress monitoring would act as tools for the MPR and would be used by P&DD, FD, PMU, MCs/TMCs. It would be shared with all the stakeholders through Program website.

The Monthly Progress Report would be prepared on the PC-III (b) Proforma (Appendix – VIII) prescribed by the Planning Commission of Pakistan. It entails information pertaining to financial status, physical status, and output indicators as well as problems/bottlenecks encountered during the implementation of the project/sub-project for the reporting month.

6.4 Quarterly Progress Report (QPR)

Quarterly Progress Reports for the Program would be prepared within 15-days of the end of a Quarter. The QPRs would be prepared by the Director M&E with the assistance of Manager M&E using the PC-III (a) Proforma of Planning Commission of Pakistan(Appendix – XI). The Section 6.02 (Monitoring & Access) of the Amended and Restated Activity Agreement of April 25, 2012 requires GoS to follow Monitoring & Evaluation actions according to "PC-III" for Quarterly Reports and other processes and procedures agreed upon by USAID and GoS. The QPR will include both the Physical and Financial Progress indicators. The PC-III (a) Proforma contains the columns for Annual Work Plan including achievements up to the end of last Financial Year and targets for the reporting Year. It also includes Quarterly Work Plan based on Annual Work Plan as well the Quarterly Cash Plan.

The physical targets to be given in the PC-III (a) Proforma would be determined on the basis of Activity Chart/Work Plan which forms the part of the Proforma. The Activity Chart further sub-divides the main Activities and the quarters are further divided in to the months. The

indicators included in the PC-III (a) will also conform to the Performance Management Plan guidelines of the USAID.

The QPR would also contain narrative review of overall strategic progress on key findings of process monitoring. It shall also highlight issues requiring actions and Work/Cash Plan for the next quarter. The process indicators as mentioned above would focus on validation aspect in terms of quality and quantity. The process indicators could be developed in consultation with stakeholders in a series of workshop where **participation of women** would be ensured.

Draft-QPR would be reviewed by the PMU in a joint meeting with all the stakeholders and final QPR incorporating comments of stakeholders with due attention to women perceptions would be shared with USAID and GoS to be exhibited on the Program website.

Program Director will hold Quarterly Progress Review meetings within a month of end of the quarter. All the concerned Provincial Departments, Managing Director (Works), the Directors of PMU, and representatives of the SCIP, Urban Unit, NSUSC, Civil Society Organizations and Media would be invited to attend the Quarterly Progress Review Meetings. In order to maintain gender equality, equal participation of women would be ensured and their view-point/perception duly recorded. Minutes of the meeting would be prepared, maintained and shared with all the stakeholders. Stakeholders workshop would be held in fourth quarter of each Financial Year prior to preparation of Annual Work Plan and Budgets so as to discuss performance of the Program and issues encountered during implementation and suggest strategic changes, if needed, for course correction.

6.5 Citizen Complaint Centers (CCC)

Creation of Community Complaint Centers which is a one-off activity in the M&E Plan will act as a monitoring tool for Process Monitoring, Performance Monitoring and User Feedback. MCs/TMCs concerned will establish Citizen Complaint Centers as soon as the sub-projects enter the preparation stage.Director M&E would provide necessary assistance for establishment of such Centers. The CCCs would be appropriately equipped with computers, internet, phone and fax facilities. The centers would receive and respond to complaints in-person or through mail including email. Use of Automated Telephone Complaint System capable of receiving complaints and providing updates on the complaints is highly recommended. A simple application to allow data entry update and summary reporting of complaints through internet would be deployed by the MIS team of PMU. For the purpose of establishment of such automated system, PMU may hire the services of expert/firm. The CCC should be designed to be able to provide basic information about the sub-projects and receive complaints regarding availability and quality of municipal services, billing and any other matter related to the sub-projects and Program as a whole. Unique Identification Number would be assigned to every complaint which shall be conveyed to the "Complainant" for future reference and follow-up.

Director/Manager M&E would review the summary complaint report and convey the performance to the concernedMCs/TMCs in writing. Director M&E and Director Reforms will form a **Grievance Redress Committee** of the PMU and will circulate Redress Policy and Procedures to all the staff of PMU. The Grievance Redress Committee would be authorized to hear grievance cases from MCs/TMCs, Consultants, Contractors and other stakeholders. However; any grievances against the Committee itself or against the Program Director will be handled and redressed by the PSC. Records of the complaints and their redressal would be maintained till end of the Program and the main issues of significant nature and their

redressal would be recorded in the Project Completion Report to serve as Lessons Learned to be used in forthcoming projects/programs.

The complaint format would contain gender specific indicators and methodologies to identify how the MSDP-funded Projects/Program affect and are perceived by women.

6.6 User Survey/Citizen Report Cards

Citizen Report Cards (CRC) are user/participatory surveys to collect and analyze user's feedback on the quality and performance of public services.Objective of such surveys is to raise citizen's awareness and bring about reforms in the delivery system. The CRC is an effective Monitoring and Evaluation tool to engage citizens in assessing the performance of a Project/Program. The survey results are made public through Media and public meetings. Thus it serves as an effective instrument for promoting transparency, responsiveness and access to services, quality and reliability of services, problems encountered by users and responsiveness of service provider. CRC empowers citizen groups to play as watch–dog role to monitor the service providers and facilitates, and open proactive discussions for the public service agencies to improve their performance. CRC can also reveal the hidden costs such as bribes to avail the service. The User Survey /CRCs are meant to be accountability tools in the hands of the citizen.

In overall M&E Plan of MSDP it would be the basis for Process Monitoring, Performance Monitoring, Users feedback, Impact Evaluation and Broader Context/Forecasting. With Director (M&E) playing the lead role, the CRC would be developed through survey comprising desk reviews, focus group meetings and structured questionnaire techniques. Involvement and participation of women in these surveys is pivotal and all the surveys should include gender indicators including satisfaction or other wise of women folk. Although Need Assessment Survey will serve as baseline for the Program, additional surveys covering the same parameters would be conducted as soon as major rehabilitation sub-projects are completed or new service Projects become operational. Minimum three surveys are recommended over the life of the Program, out of which one should be completed before the Mid-Term Review. Results of Surveys are to be widely publicized through Media (Newspapers, Radio, and Television), Civil Society Organizations and the Program website. The user Survey/CRC will be undertaken at the end of Year-3, Year-4, and Year-5. In order to maintain the quality of such task and obtain the transparent feedback, PMU may engage/hire some local CSO that can perform the survey.

6.7 Program Statements of Accounts

Program Director, Director Finance & Compliance, and Auditors are responsible for preparing Program Statement of Accounts on annual basis which would act as a tool for progress and financial monitoring. PIFRA guidelines would be followed for preparation of these statements which would be shared with USAID/Pak, Finance Dept. and P&D Department.The Amended and Restated Agreement requires GOS to provide reports at least on quarterly basis describing the progress of the procurement of items, the uses of funds provided and the status of accounts into which such funds are deposited or transferred. Such reports will include information regarding all deposits and withdrawals from such accounts and the uses of such withdrawals including the prompt application of funds regarding the use of these funds. These quarterly reports would include copies of the corresponding bank statements pertaining to the reporting period. The Activity Agreement put restrictions on use of USAID

funds for program overheads. Section 10.05 of the Amended and Restated Agreement elaborates the restriction on use of funds.

6.8 Diagnostic Case Studies

The Diagnostic Case Studies will be developed to assess the health of sub-projects/program. These studies help to identify areas of the program which need attention of the program management and to take corrective steps to remove the bottlenecks hampering the progress/performance. Through diagnostic studies, the performance of a sub-project will be examined to learn from its successes achieved and difficulties encountered during implementation of the Program. These studies would serve as a snapshot of the sub-projects at a specific point of time and will provide opportunity to learn and develop strategy for improved performance.

The Diagnostic Case Studies would be undertaken at the end of Year2, Year3, and Year4. These studies would focus on the sub-projects. The sub-project case studies would involve engineers with social scientists. The case studies would be conducted with the objective of diagnosis of problems, documentation of best practices and for documentation of impact. Diagnostic Case Studies should be commissioned to understand and analyze the problems encountered during implementation stage, extent of capacity building of the Implementing staff and for introduction of reforms needed to improve performance. Gender concerns should be addressed during these studies specially concerns of women and youth and their perceptions and feedback for required reforms shall be given due weightage. Director M&E will play a lead role in getting those studies conducted and their wider dissemination through Program web-site with the assistance of Manager MIS.

6.9 Best Practices Studies

Similar to the pattern of Diagnostic Case Studies, Best Practices Case Studies shall be commissioned based on the information gathered highlighting the outcome level results. These case studies shall be developed at the end of Year2, Year3, and Year4.Suchstudies would document the excellent examples of creation of significant positive change in the implementation, capacity building and reforms processes. Objective of these Studies is to document examples where citizens, especially women and youth are satisfied with the newly provided or rehabilitated infrastructure and the improved services. Legitimacy of the Program could be established through these studies and these studies would serve as the examples for learning. Thesecase studies also need to be widely circulated through the Program web-site and the Media.As these studies would be staggered within the duration of the Program, the precedent studies would pave a way forward for the forthcoming sub-projects which would be at the initial stages of their implementation.

6.10 Impact Assessment

Impact Assessment or Evaluations would be conducted when the Program is at advanced stage of completion. Such studies would result in identifying the effects, positive or negative, intended or unintended on the target groups/communities/areas of the intervention. These studies would inform the stakeholders the extent to which the benefits have reached the target communities/areas. Such evaluation would help in knowing if the Program/Sub-projects were properly planned, managed, and monitored during the implementation, whether the funds and other resources were appropriately allocated, efficiently utilized and whether the impact had reached the target groups/communities/areas. As a result of such studies,

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strategic decisions could be taken for modification of strategies or course correction for the results to be aligned with the Goal/Objectives of the Program/Sub-projects.

The Impact Case Studies would focus on MSDP sub-projects and are recommended in Year-3 and Year-4 of the Program. Director M&E has to play the lead role in guiding such studies. Hehas to give due consideration to the gender, specially involvement of women for which a proper format is to be designed to seek feedback on the performance of the sub-projects and change in behavior and perception of beneficiary women. These perceived changes in the lives of the people living in the target areas may be corresponding to the purpose level or Goal level of the MSDP.

6.11 Mid-Term Assessment

The Mid-Term Assessment of MSDP will be conducted through a third-party consultant and will be discussed by the PSC as a part of the Mid-Term Review. The Mid-Term Review would be conducted during the third year after the commencement of Program. Broad framework for midterm evaluation will be:

a) Relevance of the Program with local needs and overall national agenda for development
b) Effectiveness of the Program output in contributing towards the intended outcomes of the Program
c) Efficiency with which resources/inputs of the Program have been converted into Program outputs and outcomes
d) Sustainability of the Program in terms of bringing about reforms in the delivery process, building capacity of the institutions involved, creating additional financial resources through user charges, and improving policy and regulatory frameworks
e) Any impact that the Program has created on the well-being of the intended beneficiaries
f) Changes required in the Program design, approach, and allocation of resources.
g) Other recommendations to improve the Program

Director M&E would be responsible for managing the Mid-Term Assessment in consultation with the stakeholders. A sample survey of beneficiaries, with emphasis on gender consideration would also be conducted as a part of the Mid-Term Assessment.

6.12 End line Survey

End line Surveyfor MSDP is to be carried out in the last quarter of the Program implementation. The same households, for which baseline survey was conducted at the start of Program, would be included in this survey. As stated under the Baseline Survey, three "treatment" sub-projects one each for safe water, sanitation, and solid waste management would be selected in the survey. Similarly in the same towns where "treatment sub-projects" were undertaken, the comparable "control sub-projects" would also be included. Control areas would be similar in terms of socioeconomic profile, access, and level of municipal services. As a matter of principle no sub-project would be planned/ implemented in the "control areas". For randomized sample design, scenarios with and without, and before and after Program would be adopted.

Objectives of undertaking Endline Survey would be to document the impact of the Program in bringing about changes in the lives of the citizens living in the intervention areas. The extent of changes caused by the Program in terms of capacity building and strengthening reforms would also be assessed through this Survey. Questionnaire to this effect would developed by the Director M&E or third-party Consultant in consultation with the stakeholders. The evaluation would be closely linked with the objectives and findings of the Mid-Term Assessment.

As stated under Baseline Survey, a random sample of appropriate number, households would be selected in each "treatment sub-project area". Same number of households located in three "control areas" would also be selected for interviews. Total numbers of households to be interviewed in sample survey should suffice for providing statistical comparisons between treatment and control groups. Comprehensive review of Program on the lines of Mid-Term Assessment would be included in the Endline Survey.

6.13 Program Completion Report (PCR)

The Program Completion Report will be prepared at the end of the Program by Director M&E with the participation of all stakeholders on the PC-IV proforma prescribed by the Planning Commission of Pakistan. PC-IV Proforma is given at appendix – X. As per procedure of Planning Commission, the PC-IV is to be prepared/ furnished after completion of the Program/Project, regardless of the closure of the accounts. PC-IV format contains detailed information about the Program/Project comparing the information as per PC-I viz-a-viz the "Actual" in respect of Dates of Commencement/Completion, Capital Cost, Financial Phasing and Physical Targets, Achievement of Objectives, RBM Indicators/Impact after completion, issues faced during implementation as well lessons learned and suggestions for future planning & implementation of similar Projects. The Project Completion Report would be prepared in accordance with the PC-IV so as to ensure further processing of Schedule of New Expenditures (SNEs).It is suggested that the Program Completion Report would be shared with PSC by PD within 3 months of the completion of the Program.

6.14 Performance Monitoring Report – O&M

As per procedures prescribed by the Planning Commission of Pakistan, the Performance Monitoring Report on PC-V format (Appendix – XI) is to be furnished by 31st July of each Year for 5 Years after completion of Project. It entails providing detailed information pertaining to Recurring Cost, Planned and Actual benefits to the economy, Marketing Mechanism, Lessons Learned during reporting Year and suggestions etc. to improve project performance. Agency/Department responsible for O&M of the completed projects would prepare the PC-V. P&D Department being Sponsoring Department of the Program would follow-up with concerned department and ensure preparation of the PC-V.

Chapter 7: Program Management Information System (MIS)

7.1 Scope and Requirement Specifications of MISfor MSDP

Scope and brief requirement specifications of the MIS are as follows:

a) A website of the Program will to be created. The website should provide introduction to the Program. Program Profile, as noted above should be made available through the website. A number of other background documents such as Program PC-1 should be made available through the website.

b) All the program staff and staff of the participating MC/TMCs should be provided on-site or off-site email facility and Internet connectivity.

c) Local area network should provide connectivity and shared electronic resources such as mass storage, printers, copiers, scanners, etc. to all staff.

d) MIS should be able to link Program inputs and outputs with Geographical Information System (GIS) to enable spatial analysis and planning

e) MIS should work closely with the M&E staff. They should provide training on the data entry, reporting, and use of PMES to all the implementers. They should be able to troubleshoot issues related to progress reporting.

f) GPS based cameras and GPS devices should be acquired to record GPS coordinates of ongoing works. Use of GPS and satellite based monitoring tools such as GoogleEarth should be promoted.

g) MIS staff should explore the possibility of installing content management software to help M&E staff provide knowledge management and record keeping services. Content management software should have the capability to receive text, images, and videos sent through mobile devices from citizens.

h) An appropriate procedure for referencing files, letters, reports, audio-visuals, maps, photos, etc. will be developed so that information can be stored, tracked, and retrieved easily.

i) Information may only be released to outsiders on the permission of the Program Director.

7.2 Project Monitoring and Evaluation System (PMES)

PMES is a web-based software for effective management of project implementation through integrated and continuous flow of electronic information among stakeholders. Format for PMES Software is placed at Appendix – XII. PMES enables following tasks:

- Online consolidated database of development schemes
- Quick & Easy accessibility to live data
- Real-time reporting and up-to-date information
- Integrated connectivity with departments to facilitate effective decision making
- Internet web address for M&E Cell, P&DD is: http://pmes.mecsindh.gov.pk/which is accessible round the clock 24/7

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7.2.1 Major Components of PMES

- Project Basic Information (Physical & Financial)

- Work Plan & Cash Plan

- Allocations

- Progress (Financial & Physical)

- Reports
    - **Project Profile Report**   (Basic information on project implementation)
    - **Professional Reports**   (Selected segmental report)
    - **Custom Report**   (Need-to-know basis report**)**
    - **Executive Reports**   (Summary Report, Analytical/Graphical Report)

Annual Targets: Annual Targets are what the project directors plan to accomplish during the course of the current financial year for their projects. They are expected to further breakdown these targets into quarters. This section of the software deals with the data relating to Annual Targets of a project. These targets are set by the Project Director after consultations with the assigned Monitoring officer. This section includes two subsections called Financial and Physical, and these include the following:

- Financial subsection is further subdivided into PSDP Allocation Targets and Component-wise Financial Targets

- While Physical subsection includes Component-wise Physical Annual Targets

As this information is the responsibility of the Project Director, so it is to be filled out once a year at the PMU.

Progress: Progress data is entered against each of the targets specified earlier. Moreover, this section also captures information related to procurement of goods, civil works and consultant appointments etc. This section of the software deals with the data relating to periodic progress of a project. This data is to be filled out on the agreed progress reporting frequency. For example, if it is agreed that the progress is to be reported every month, then this part of the software would be filled out every month.

As this relates to the progress of an ongoing project, so it is to be filled out at the PMU. This data is further subdivided into Financial, Physical and Covenants Compliance subsections, and include the following:

- Financial subsection includes information on Financial Progress, Component-wise Financial Progress, Cash Balance, Monitoring Status and Financial Progress Issues [if any]

- Physical subsection includes information on Component-wise Physical Progress, Staffing Status, a Contract section covering Award of Contracts for Civil Works, Procurement of Equipment and Recruitment of Consultant. It also covers Physical Progress related Issues [if any], and Bottle necks [if any]

- Covenants Compliance subsection deals with the progress on load covenants during the reporting period.

Data Transfer: Next Logical section of the software deals with electronic transfer of data back and forth from one office to the other, in the shape of Upload and Download. The software has been designed to be a client server application. Electronic Data Transfer from one office to the other would be done through electronic mail. This section of the software deals with the electronic transfer of data from one location to the other. This section is further subdivided into to two subsections that are as follows:

- Upload Data, which deals with transferring the data to a temporary file that can then be sent to other concerned office through electronic mail

- Download Data subsection, which deals with the ability of the PMES software to intelligently update the databases of the office receiving updates from remote location through e-mail

This section of the software is to be used on as needed basis by all the concerned offices.

Reports: This section deals with system generated reports covering project profile, annual targets, progress and management reports. This section of the software deals with the system generated reports. This section is subdivided into further subsections as follows:

- Project Profile Reports cover reports relating to Project Profile section of the software

- Annual Targets Reports cover reports dealing with the Annual Targets section of the software

- Progress Reports cover reports relating to Progress section of the software

- Management Reports section covers reports to be used by the decision makers

Utilities: This section deals with the software administrative activities like changing passwords and updating commonly used tables/lists. This section of the software deals with the system utilities that are to be used by people responsible for administrating the system software. This section is further subdivided into subsections as follows:

- Application Settings deal with the system software related settings

- Change Password subsection deals with changing of system passwords

List Management subsection deals with the management of commonly used data selection items.

7.2.2 Impact of Online Connectivity

- Increased accuracy
- Increased accessibility
- Reduced process time
- Informed decision making
- Interactive facility
- Stakeholder oriented
- Paperless environment
- Reduced overheads
- Effect on releases

The Project Monitoring and Evaluation System (PMES) is operational in M&E Cell P&DD, duly customized for provincial projects. It records information on project profile, work plan, cash plan, activity chart and PC-III. PMU MSDP will approach M&E Cell, P&DD GOS to provide login access for all implementing partners of MSDP as per the policy of M&E Cell, P&D Department, GoS.

The **Project Profile** would be prepared by the Director M&E which would be updated within one month of the end of quarter and its copy would be placed on the website of Program.

Annual Work Plan and **Budget** would be prepared by Program Director. The Annual Work Plans and budget would be the basis for process, progress, and Performance Monitoring. Director M&E has to ensure that planned inputs, activities and outputs are in line with the Program objectives. Moreover M&E schedule and resources required have to be included in the Work Plan and Budgets.

The participating MCs/TMCs may enter their Work Plans and Progress Reports directly in the PMES for which they may need very short training at the Directorate of MIS of the M&E Cell of P&DD. At MCs/TMCs level, **basic reporting unit would be sub-projects** which could be consolidated to produce MCs/TMCs level reports. Progress reports would indicate Physical and Financial targets given in the Annual Work Plan along with achievement(s). Financial indicators are already part of the Work Plan, Cash Plan and PC-III.

List of Appendices

Appendix – I   **Risk Mitigation Framework**

(Based on the Conditions Precedents and observations in Pre-award Assessment Report of Planning and Development Department Govt. of Sindh)

Sr.	Risk identified	Condition Agreed by USAID (Yes/No)	Reasons to be considered as a condition	Level Considered by USAID	Action(s) to mitigate risk	USAID Provided Technical Activity	Responsible Person /office	Timeline	Status as of report date	Addressed (Yes /No)	Info/Docs required for mitigating the risk (Per USAID satisfaction)
					Pre-Disbursement Conditions						
	There are no pre disbursement conditions										
					Post-Disbursement Conditions						
1	Lack of formal process for 1) Need Assessment & identification of schemes 2) Approval of schemes per the Planning Commission guidelines. (Pre award report reference 1.2; Page Nos. PD 27 & PD 28)	Yes	1) To ensure activities are prioritized according to demographics & location and the planning and budgeting are based on authentic data and as well as compliant with the PC regulations 2) To ensure information-based decisions for identification and approval of projects in terms of construction standards and cost projection	Post - disbursement	PC-1 to document formal processes for activity/project prioritization, selection and approval	No	Activity Manager	July 1, 2011	Outstanding	No	1. Approved PC-1 and/or necessary Proforma Planning Document(s)

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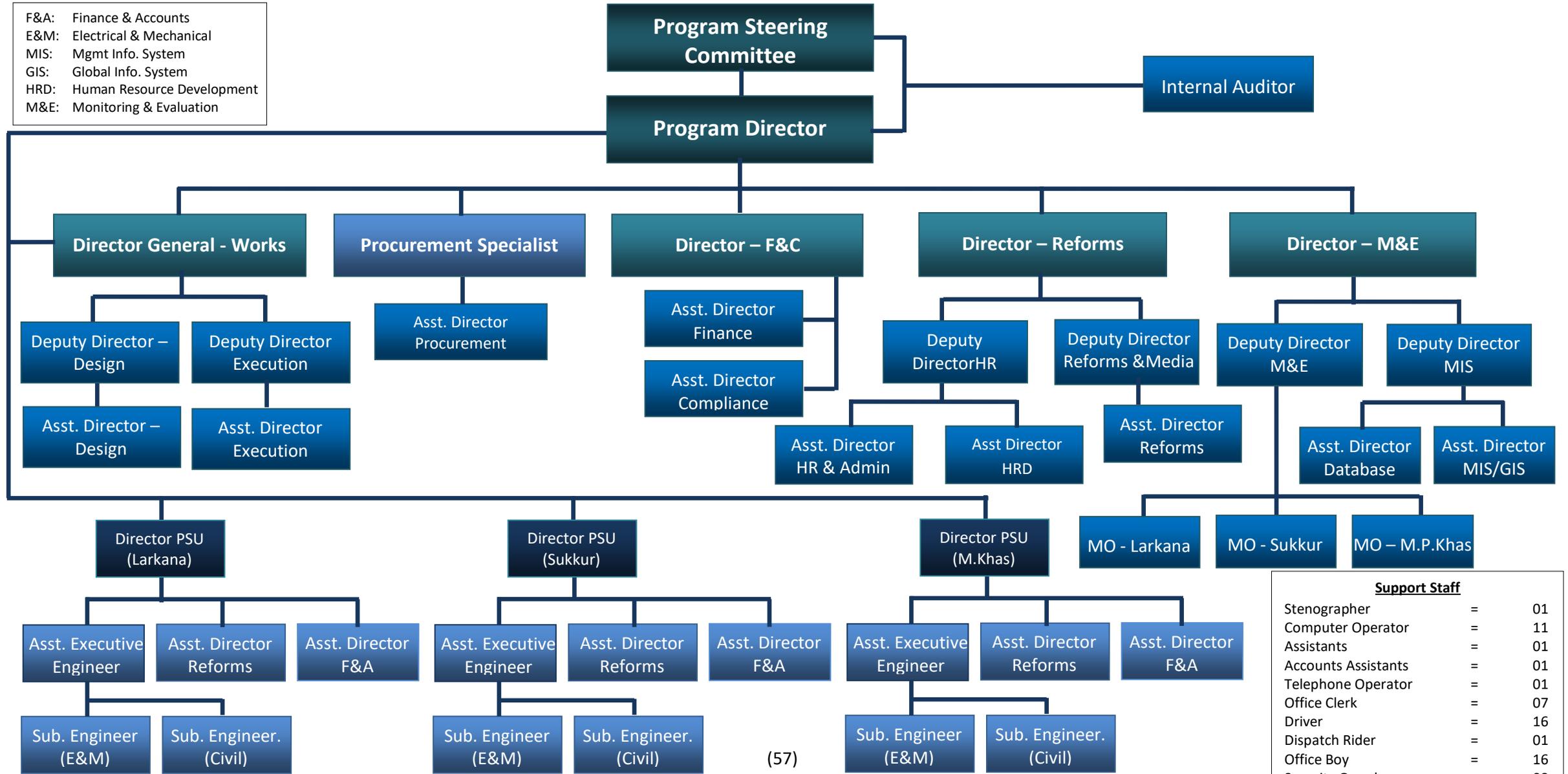| Sr.	Risk identified	Condition Agreed by USAID (Yes/No)	Reasons to be considered as a condition	Level Considered by USAID	Action(s) to mitigate risk	USAID Provided Technical Activity	Responsible Person /office	Timeline	Status as of report date	Addressed (Yes /No)	Info/Docs required for mitigating the risk (Per USAID satisfaction)
2	**Weak procurement systems:** 1) Inadequacy of staff numbers and skills 2) Inadequate redressal mechanism 3) Allowance of too much discretionary powers (4) Non-existence of ethical standards (5) Improperly defined weighting of technical and financial criteria and evaluation of supplier performance related gaps were identified in rules related to procurement of goods. (6) No centralized procurement function having specialized procurement professionals. (7) Annual procurement plan is not made as per SPP rules (8) web hosting of bid invitation not being done. (Pre award report reference Page No 54, Summary of Assessment)	Yes	To ensure transparent and legally compliant procurement system	Post disbursement	1. Centralized procurement 2. Develop and implement procurement manual 3. Procurement staff hiring 4. Capacity building of staff	Yes 1. Developing procurement Manual 2. Training Staff	Activity Manager	1. Centralized procurement contract within 2 months of disbursement 2. Within 4 months 3. Within 6 months	Outstanding	No	1. Approved PC-1 incorporating development of Procurement Manual, identification and training of adequate staff. 2. Signed 3rd party contract (USAID) 3. Procurement staff hired 4. Approved procurement manual 5. Training plan of staff
3	**In adequate M&E function** due to:1) Inadequacy of staff numbers and skills2) Lack of operational MIS for M&E (3) Information in monthly progress reports does not contain M&E reporting 4) Absence of mechanism for validation of reported results and non compliance with PC - III, PC - IV, PC - V.(5) SLGO monitoring mechanisms not fully operational.(Pre award report reference PD Nos. 29, 30, 49)	Yes	M & E is key to ensuring proper utilization of USG resources	Post disbursement	1. External contract for M&E support2. Develop M&E manual3. Strengthen/Develop/Adopt and properly utilize suitable MIS, Project Management Evaluation System (PMES), Schemes Monitoring & Reporting Tool (SMART) as suitable. MIS will help monitor repair & maintenance also.4. Hire M&E Staff5. Training of Staff	Yes1. Developing M&E Manual2. Training Staff	Activity Manager	1. M&E contract within 2 month of disbursement2. Within 4 months3. Within 6 months	Outstanding	No	1. Approved PC-I incorporating MIS and other systems, as appropriate, as PC-I deliverables2. Signed 3rd party contract(USAID)3. M&E staff hired4. Suitable MIS developed/adopted and utilized 5. Approved M&E manual/mechanism6. Training plan of staff

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Sr.	Risk identified	Condition Agreed by USAID (Yes/No)	Reasons to be considered as a condition	Level Considered by USAID	Action(s) to mitigate risk	USAID Provided Technical Activity	Responsible Person /office	Timeline	Status as of report date	Addressed (Yes /No)	Info/Docs required for mitigating the risk (Per USAID satisfaction)
4	**Financial Management system has weaknesses:** 1) Budgeting: Limitation of budgeting techniques and weak coordination among departments (2) Accountability: Non-existent Internal Audit function 3) Non-existent automated Financial Information System (Pre award report Page Nos. 37, 39, 40)	Yes	An appropriate financial management function is integral to ensure financial integrity of the funds managed by the GOS	Post disbursement	1. Financial Management manual 2. Automated financial information system - linked to PIFRA 3. Hiring and training of staff 4. Establishing internal audit function	Yes 1. Developing Financial Management Manual 2. Training Staff	Activity Manager	1. within 4 month of disbursement 2. Within 2 months 3. Within 6 months	Outstanding	No	1. Approved PC-1 incorporating financial management/information systems 2. FM staff hired 3. Approved FM manual 4. Training plan of staff 5. SAP implementation
5	**Deficiencies in HR & administration functions:** 1) Vacant posts (Pre award report Page No. 55, 56, 57)	Yes	To ensure effective HR & administration function	Post disbursement	1. HR & administration manual. 2. Training of staff in HR	Yes 1. Developing HR &administration Manual 2. Training Staff	Activity Manager	Within 4 month of disbursement	Outstanding	No	1. Approved PC 1 to incorporate appropriate posts 2. Change of key staff with the approval of USAID 3. Training plan of staff 4. HR & Administration manual
	2) Employee retention										1. Approved PC 1
	3) Inadequate qualification and experience										1. Approved PC 1

M&E Manual – Sindh Municipal Services Delivery Program (MSDP)

Appendix – II   Organogram of PMU

F&A: Finance & Accounts
E&M: Electrical & Mechanical
MIS: Mgmt Info. System
GIS: Global Info. System
HRD: Human Resource Development
M&E: Monitoring & Evaluation

- **Program Steering Committee**
  - **Internal Auditor**
  - **Program Director**
    - **Director General - Works**
      - Deputy Director – Design
        - Asst. Director – Design
      - Deputy Director Execution
        - Asst. Director Execution
    - **Procurement Specialist**
      - Asst. Director Procurement
    - **Director – F&C**
      - Asst. Director Finance
      - Asst. Director Compliance
    - **Director – Reforms**
      - Deputy DirectorHR
        - Asst. Director HR & Admin
        - Asst Director HRD
      - Deputy Director Reforms &Media
        - Asst. Director Reforms
    - **Director – M&E**
      - Deputy Director M&E
      - Deputy Director MIS
        - Asst. Director Database
        - Asst. Director MIS/GIS
      - MO - Larkana
      - MO - Sukkur
      - MO – M.P.Khas

- Director PSU (Larkana)
  - Asst. Executive Engineer
    - Sub. Engineer (E&M)
    - Sub. Engineer. (Civil)
  - Asst. Director Reforms
  - Asst. Director F&A
- Director PSU (Sukkur)
  - Asst. Executive Engineer
    - Sub. Engineer (E&M)
    - Sub. Engineer. (Civil)
  - Asst. Director Reforms
  - Asst. Director F&A
- Director PSU (M.Khas)
  - Asst. Executive Engineer
    - Sub. Engineer (E&M)
    - Sub. Engineer. (Civil)
  - Asst. Director Reforms
  - Asst. Director F&A

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Support Staff		
Stenographer	=	01
Computer Operator	=	11
Assistants	=	01
Accounts Assistants	=	01
Telephone Operator	=	01
Office Clerk	=	07
Driver	=	16
Dispatch Rider	=	01
Office Boy	=	16
Security Guard	=	08
Sanitary Worker	=	04

M&E Manual – Sindh Municipal Services Delivery Program (MSDP)

Designation: Director M&E

Reports to: Program Director

Job Description

1. Develop a good understanding of the working of the GOS, USAID, P&DD, urban development sector, Implement organizational structure and policies and procedures for monitoring & evaluation, as described in PC-1, Monitoring & Evaluation Framework, and other directives and documents
2. Develop Results Framework for the Program in a participatory manner
3. Contribute to the achievement of Program objectives by ensuring timely delivery of high quality M&E outputs
4. Promote evidence based decision making within the Program
5. Seek guidance from, and help the Program Director and Program Steering Committee in course correction, promotion of learning, and creation of accountability
6. Provide technical support in M&E field to the Program Director and M&E staff
7. Trigger and coordinate progress review meetings, circulate minutes, and follow-up and report on proposed actions
8. Effectively liaise with P&DD, and other provincial departments, Planning Commission, USAID, media, civil society organizations, and politicians to ensure coordination, market the Program, and build partnerships
9. Manage communications with both high profile stakeholders and ordinary citizens to establish a shared vision of the Program and its objectives. Ensure easy and wider public access to M&E outputs
10. Build capacity of PMU staff in monitoring and evaluation processes and tools
11. Procure and manage M&E consultants in accordance with the approved policies and procedures for effective delivery of outputs
12. Ensure timely recruitment of vacant positions and availability of budget and other resources
13. Undertake any other responsibility assigned by the Program Director
14. Manage staff and provide coaching and support in their career development

Required Qualifications and Skills

1. A postgraduate degree in social sciences, MPA, or MBA is required
2. Ten years or more experience of working in the development sector. At least five years experience of working in M&E capacity at senior level. M&E experience in the urban development context will be preferred.
3. Comfortable analyzing complex data in order to inform policy decisions and present conclusions in a clear and concise way

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4. Demonstrates strong verbal and written English skills. Has been presenting ideas in a written format for management or public audiences, research papers or papers drafted for government, donor agencies or commercial organizations

5. Proficient in concepts of evaluation design. Has managed and worked on complex and important survey assignments with organizations of repute

6. Exposure to practice of Results-Based Management in an M&E context will be given preference

7. Has direct experience of monitoring projects and interacting and delivering to a host of stakeholders

8. Possesses good command of MS Office, email, a statistical software, and a database software

9. Can plan and deliver work, make decisions, work with others and can influence them

Designation: Manger M&E

Reports to: Director M&E

Job Description

a) Develop a good understanding of the working of the GOS, USAID, P&DD, development sector etc

b) Assist with the implementation of Monitoring & Evaluation Framework, process, progress, and outcome monitoring and citizen complaint centers

c) Prepare consolidated Program plans and progress reports in compliance with the Results Framework

d) Work with MIS Manager to establish MIS

e) Assist Director M&E with timely delivery of high quality M&E outputs

f) Provide technical support in M&E field to M&E Director and M&E Officers

g) Effectively liaise with within the Program and with MC/TMCs to ensure coordination, develop a common vision and build partnerships

h) Assist with the capacity building of PMU and MC/TMC staff in monitoring and evaluation processes and tools

i) Assist with the management of consultants in accordance with the approved policies and procedures for timely and quality delivery of outputs

j) Undertake any other responsibility assigned by the Director M&E

k) Efficiently and effectively utilize M&E budget and other resources

l) Manage M&E Officers and provide coaching and support in their career development

Required Qualifications and Skills

a) A postgraduate degree in social sciences, MPA, or MBA is required

b) Five years or more experience of working in the development sector. At least three years experience of working in M&E capacity. M&E experience in the urban development context will be preferred.

c) Strong quantitative and qualitative skills required with command of a statistical analysis software

d) Demonstrated strong verbal and written English skills. Experience of presenting ideas in a written format for management or public audiences

e) Demonstrated proficiency in conceptual evaluation design. Working experience on complex and important survey assignments

f) Exposure to practice of Results-Based Management in an M&E context will be given preference

g) Has direct experience of monitoring projects and interacting and delivering to a host of stakeholders

h) Possesses good command of MS Office, email, a statistical software, and a database software

i) Can plan and deliver work, make decisions, and work with others

Designation: Manger MIS and Media

Reports to: Director M&E

Job Description

a) Develop a good understanding of the working of the GOS, USAID, P&DD, urban development sector, and the MSDP

b) Establish local area network with support for mass storage, email, printers, copiers, scanners, etc.

c) Establish the MSDP MIS by taking requirements from stakeholders and making necessary arrangements for development, customization, and installation of software and hardware

d) Tailor MIS to support objectives of the Monitoring & Evaluation Framework and informed decision making within MSDP

e) Establish MSDP website with content management and knowledge management capabilities, as detailed in the M&E Framework

f) Acquire and install professional mapping software and hardware to provide GIS based maps and analytical services to MSDP stakeholders

g) Provide support for the use of Information and Communication Technologies (ICT) to enable citizens and Program staff to interact through computerized text message, multimedia messages, photos, audios, and videos

h) Provide technical assistance with the use and troubleshooting of Provincial PMES in order to prepare Program plans and progress reports

i) Assist Director M&E with timely delivery of high quality M&E outputs and operational information

j) Provide technical support on computing and MIS to the entire PMU staff, and troubleshoot issues at MC/TMC level

k) Assist with the capacity building of PMU and MC/TMC staff in computing skills
l) Undertake any other responsibility assigned by the Director M&E
m) Efficiently and effectively utilize M&E budget and other resources
n) Manage MIS/GIS Officer and provide coaching and support in her/his career development

Required Qualifications and Skills

a) A postgraduate degree in computer sciences or MBA is required
b) Five years or more experience of working in the capacity of MIS development or management. At least two years experience of managing MIS for an organization
c) Microsoft certification in network management and experience with ICT will be preferred
d) Possesses good experience or a certification in GIS
e) Strong quantitative and qualitative skills required. Command of a statistical analysis software will be preferred
f) Has been presenting ideas in a written format for management or public audiences
g) Exposure to practice of Results-Based Management in an M&E context will be given preference
h) Possesses advanced level command of network servers, email servers, Microsoft office, project management software, databases, and a host of utility software
i) Can plan and deliver work, make decisions, and work with others

Appendix – IV   Indicative Training Plan

APPENDIX V

Indicative Training Plan

Event	Contents	Schedule	Nominated Trainees
1. One week exposure visit	SCIP, Punjab Municipal Services Improvement Project	1st Half, YR1	PD, MD, Director M&E, Manager M&E, Manager MIS
2. Knowledge Management Workshop by a training institute	Best practices, Data warehousing, Knowledge archiving, Knowledge sharing, Use of external research, Linkages with training and research institutions	2nd Half, YR1	Director M&E, Manager M&E, Manager MIS, M&E Officer, designated members of ZMC/MC/TCs
3. Three-day training workshop on Impact Evaluation (Organized by USAID or some other institute of repute such as SEDC-LUMS, etc.)	Randomized, with-without, before-after impact evaluation design	1st Half, YR1	Director M&E, Manager M&E
4. One-two day training workshop on Results-Based Management (Organized by a UN agency or Planning Commission or some other institute of repute)	Results-Based Planning, Monitoring, and Evaluation	2nd Half, YR1	PD, MD, Director M&E, Director Reforms, Director Finance, Manager M&E, Manager MIS
5. Two-day training workshop on Analysis and Participation for ZMC/MC/TC staff	Appreciative inquiry, focus group discussions, mapping, self-assessment and similar tools	1st Half, YR2	Two members from participating ZMC/MC/TCs, Director M&E, Manager M&E, M&E Officers
6. One-two week training in Network Administration, Database Management	Windows Server Management, Email Server Management, Database management	1st Half, YR1	Manager MIS, MIS/GIS Officer
7. Three-days training in the use of Information and Communication Technologies	Content Management, Use of mobile phones, GPS devices, GPS enabled cameras, videoconference for monitoring and interaction	2nd Half, YR2	Manager MIS, MIS/GIS Officer

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Appendix – V   Indicative Budget for M&E

Component/Activities	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Monitoring and Evaluation						
Training workshops and visits	701,400	300,600				1,002,000
Field visits (M&E staff only)	TA/DA covered under Establishment Charges					
Seminars and meetings with media and civil society organizations	200,000	200,000	200,000	200,000	200,000	1,000,000
Annual stakeholder workshops	100,000	110,000	121,000	133,100	146,410	610,510
Complaint Centers - excluding salary (12)		500,000	750,000	1,000,000	750,000	3,000,000
User surveys (3)			3,000,000	3,000,000	3,000,000	9,000,000
Case studies (9)		1,000,000	1,500,000	2,000,000		4,500,000
Mid-Rerm Assessment			4,000,000			4,000,000
Baseline survey	10,500,000					10,500,000
Endline survey					11,550,000	11,550,000
Sub-total	11,501,400	2,110,600	9,571,000	6,333,100	4,096,410	45,162,510
Management Information System						
MSDP website development	200,000					200,000
Server machines 1/	500,000					500,000
Server software	100,000					100,000
E-mail server (outsourced)	100,000	110,000	121,000	133,100	146,410	610,510
Proxy server software	50,000					50,000
User software	4,000,000					4,000,000
Network hub and cables	30,000					30,000
Wireless access points	40,000					40,000
Installation	50,000					50,000
Internet Broadband	240,000	264,000	290,400	319,440	351,384	1,465,224
Wireless broadband for field visits	72,000	79,200	87,120	95,832	105,415	439,567
Network Maintenance Contract	100,000	110,000	121,000	133,100	146,410	610,510
Sub-total	5,482,000	563,200	619,520	681,472	749,619	8,095,811
Grand Total	**16,983,400**	**2,673,800**	**10,190,520**	**7,014,572**	**4,846,029**	**53,258,321**
1/ Purchase of computers, peripherals, multimedia devices etc. is covered elsewhere udner Establishment Charges						

Appendix – VI   Indicative Monitoring and Evaluation Plan

M&E Inputs and Outputs	Frequency/schedule	Tool/Method for:							Responsibility	Methodology	Users
		Progress Monitoring	Process Monitoring	Performance/ Outcome Monitoring	Financial Monitoring	User Feedback	Broader Context and Forecasting	Impact Evaluation			
Results Framework	One-off	☐		☐				☐	Director M&E	Participatory Workshop	GOS,USAID,P&DD,PMU,MC/TMCs, evaluators, website
Baseline Survey for Impact Evaluation	One-off			☐		☐	☐	☐	Director M&E	Randomized, stratified sample survey	GOS,USAID,P&DD,PMU,MC/TMCs, evaluators, website
Program Work Plans and Budgets	Annual	☐		☐	☐		☐		PD	Bottom-up from divisional Offices, MC/TMCs	GOS,USAID,P&DD,PMU,MC/TMCs, Auditors, website
MC/TMC Work Plans and Budgets	Quarterly	☐		☐	☐				MC/TMC	With the Participation of MC/TMC level stakeholders	PMU, Divisional Office, MC/TMC
Cash Plan	Quarterly	☐			☐				Director Finance /Director M&E	As per P&DD format	Finance Department, P&DD,PMU
Field Visit Reports	Ongoing	☐	☐			☐			All PMU, and MC/TMC staff, Staff of Participating Departments, Civil Society, Contractors	Direct observation recorded as back-to office report on the agreed format	PMU, Divisional Office, MC/TMC, Auditors, website

M&E Inputs and Outputs	Frequency/schedule	Tool/Method for:							Responsibility	Methodology	Users
		Progress Monitoring	Process Monitoring	Performance/ Outcome Monitoring	Financial Monitoring	User Feedback	Broader Context and Forecasting	Impact Evaluation			
Progress Report (MPR)	Monthly	☐			☐				Manager M&E	PC-III (B) format	P&DD, Finance Department, PMU, MC/TMCs, website
Progress Review Minutes	Monthly		☐						Manager M&E	PMU agreed format	P&DD, Finance Department, PMU, MC/TMC, website
Progress Report (QPR)	Quarterly	☐	☐		☐				Manager M&E	PC-III (A) format	USAID, P&DD, Finance Department, PMU, MC/TMC, Auditors, website
Progress Review Meeting and Minutes	Quarterly		☐						Manager M&E	PMU agreed format	P&DD, Finance Department, PMU, MC/TMC, Auditors, website
Process Monitoring Reports (PMR)	Ongoing		☐			☐			PMU Directors , Program Managers	Field visits, Review workshop	PMU, MC/TMC , Auditors, QPRs, website
Citizen Complaint Center	one-off		☐	☐		☐			Director M&E	Summary Complaints Report received through MIS	PMU, MC/TMC , website
User surveys/Citizen Report Cards	(YR3, YR4, YR5)		☐	☐		☐	☐	☐	Director M&E	Panel surveys combining desk reviews focus group meetings and structured questionnaire techniques	PMU, MC/TMC, evaluators, website

Monitoring and Evaluation Plan

M&E Inputs and Outputs	Frequency/schedule	Tool/Method for:							Responsibility	Methodology	Users
		Progress Monitoring	Process Monitoring	Performance/ Outcome Monitoring	Financial Monitoring	User Feedback	Broader Context and Forecasting	Impact Evaluation			
Program Statement of Accounts	Annual	☐			☐				PD, Director Finance & Compliance, Auditors	PIFRA Guidelines	USAID, GOS, P&DD, Finance Department
Diagnostic Case Studies (3)	YR2,YR3, YR4		☐	☐	☐	☐			Director M&E	Focused on subproject	USAID,GOS, P&DD, PMU, MC/TMC,
Best Practice Case Studies (3)	YR2,YR3, YR4		☐	☐		☐			Director M&E	Focused on subproject	USAID,GOS, P&DD, PMU, MC/TMC, website
Impact Case Studies (3)	YR3, YR4		☐	☐		☐		☐	Director M&E	Focused on subproject	USAID,GOS, P&DD, PMU, MC/TMC, website
Mid-Term Assessment	YR3	☐	☐	☐	☐	☐	☐	☐	Director M&E	As discussed in the M&E Framework	USAID,GOS, P&DD, PMU, MC/TMC, website
Endline Survey for Impact Evaluation	YR5			☐		☐	☐	☐	Director M&E	Randomized, stratified sample survey	USAID,GOS, P&DD, PMU, MC/TMC, website
Program Completion Report, PC-IV	YR5	☐	☐	☐	☐				Director M&E	As per Planning Commission format	USAID, Planning Commission, GOS, P&DD, PMU, website
Performance Monitoring Report (Operation and Maintenance), PC-V (YR6 onward)	YR6	☐	☐		☐				P&DD	As per Planning Commission format	GOS, P&DD

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Appendix – VII   **Template for Field Visit Report**

1.	ADP No. / Name of the Project:					
2.	Location of the Project:					
3.	Executing Agency:					
4.	Approved Cost of the Project:					
5.	Status/Date of approval					
6.	Name of the Executing Agency/Department					
7.	Completion Period as per PC-I(dd/mm/yyyy)					
8.	Objectives					
9.	Scope of the Project					
10.	Date of A.A. issued					
11.	Date of Tenders invited (if any)					
12.	Date of work award					
13.	Allocation year-wise:	**2007-08**	**2008-09**	**2009-10**	**2010-11**	**Total**
14.	Releases:					
15.	Expenditure:					
16.	Last Visit Date					
17.	Current Visit Date					
18.	**Physical Progress**					

Major item / Unit / Quantity as per PC-1	As per PC–I (Rs. in Million)	Revised PC – I (if any) (Rs. in Million)	Progress As on Visit date	Remaining work	Remarks

19.	Period required completing the project in all respects.		
20.	Year-wise requirement for remaining works		
21.	Compliance with Previous visit observations and recommendation		Status (Implemented / Not implemented / partially Implemented)
22.	Bottlenecks which hamper the progress		
23.	Observations (office use)		

24.	Recommendations (office use)		
25.	Name and Designation of Officers met during the visit	**Name**	**Designation**
26.	Visiting Officers		

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Appendix – VIII   Monthly Progress Report, PC-III (b) Proforma

Government of Pakistan
Planning Commission

Implementation of Development Projects
(To be furnished by 5th day of each month)

1   Name of the Project:

2   Financial Status

　　　i) PSDP allocations for the current year

　　　ii) Current quarter requirements as per cash plan

　　　iii) Releases during the month

　　　iv) Expenditure during the month

3   **Physical Status**
　　Physical achievements during the month under report

S.No	Items	Unit	Quantities

4   Output Indicators

5   Problem/Bottlenecks in
　　Projects Implementation

☐ Ban on Recruitment
☐ Delay in Consultants Appointments
☐ Lack of coordination between Fed/Prov Govts.
☐ Land Acquisition
☐ Turn over PD/Staff
☐ Concept & Design Problems
☐ Delay in Release of Fund

☐ Law & Order Situation
☐ Management Capacity
☐ Non Exisitence of PMUs
☐ Intra-Departmental Problems
☐ Procurement problems
☐ Contractor's Problem
☐ Others

<u>**PC-III (a) Form**</u>
<u>**(Revised – 2005)**</u>

Government of Pakistan
Planning Commission
Implementation of Development Projects
(Physical Targets based on PSDP allocation)
To be furnished by 1ˢᵗ July of each year

1. **Name of the Project:**

(Million Rs)

2. **Approved Capital Cost:**

(Million Rs)

3. **Expenditure up to the end of last Financial Year:**

Actual	Accrued	Total

(Million Rs)

4. **PSDP allocations for the Current year:**

Total	Local	FEC

5. **Annual Work Plan:**

As per PC-I			Achievements upto the end of last year	Target for current year
Item	Unit	Quantities		

6. **Quarterly work plan based on annual work plan:**

Item	Unit	1ˢᵗ Quarter	2ⁿᵈ Quarter	3ʳᵈ Quarter	4ᵗʰ Quarter

7. **Cash Plan:**

(Rs Millions)

1ˢᵗ Quarter	2ⁿᵈ Quarter	3ʳᵈ Quarter	4ᵗʰ Quarter

8. **Output indicators:**
   To be determined by project director on the basis of indicators given in the PC-I.

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Government of Pakistan
Planning Commission
Instructions to fill-in PC-III (a) Proforma

1. **Name of the Project:**
   Indicate name of the project.

2. **Approved capital cost:**
   Provide approved capital cost by the competent forum.

3. **Expenditure upto the end of last financial year:**
   Provide the actual and accrued expenditure upto end of last financial year.

4. **PSDP allocations for the current year:**
   Provide allocations for the project as shown in the PSDP/ADP.

5. **Annual Work Plan:**

   - Provide scope of work as indicated in the PC-I by major items of work.
   - Actual physical achievements upto the end of last financial year against the scope of work indicated in PC-I.
   - Physical targets for the year be determined on the basis of activity chart/work plan to be prepared each year on the basis of PSDP allocations. (Blank activity chart/work plan for major items of works enclosed).

6. **Quarterly Work Plan:**
   The quarterly work plan be prepared on the basis of annual work plan.

7. **Cash Plan:**
   Indicate the finances required to achieve the quarterly work plan targets as indicated at 6 above.

8. **Output indicators:**
   A number of projects start yielding results during its implementation. In such projects the recurring cost is capitalized and the project start yielding results during its implementation. Indicate quantifiable outcome of the projects for the current year.

   The Proforma alongwith activity chart/work plan has to be furnished by 1st July of each financial year.

Appendix – X   Program Completion Report, PC-IV Proforma

**GOVERNMENT OF PAKISTAN
PLANNING COMMISSION**
******
PROJECT COMPLETION REPORT
(PC – IV PROFORMA)

To be furnished immediately after completion of the project regardless the project accounts have been closed or not.

1.	Name of the Project/Program/Study	
	Location	
2.	Sector	
	Sub-Sector	
3.	Sponsoring Ministry/Agency	
4.	Executing Agency (s)	
5.	Agency for Operation & Maintenance after Completion	
6.	Date of Approval & Approving Forum (DDWP/CDWP/ECNEC/PDWP/Other)	
	• Original	
	• Revised	

7.	a) Implementation Period	Date of Commencement	Date of Completion
	• As per PC-I		
	• Actual		

b) Extension(s) in the Implementation Period (if any)	Date	Period (Months/Days)
	•	•
	•	•
	•	•

(Rs. Million)

8.	Capital Cost	PC-I Cost (approved)			Actual Expenditure		
		Local	FE/Loan/ * Grant	Total	Local	FE/Loan/ * Grant	Total
	• Original						
	• Revised						

* Clearly specify the source and mention exchange rate

(Rs. Million)

9.	Financing of the Project	Local	FE/Loan/* Grant	Total
	• Federal Share			
	• Provincial Share			
	• Donors/Others			
	Total:			

* Mention the Rupee exchange rate, if applicable

2

(72)

10. Project Accounts

a) Nature of Account	Type	Date of Opening	Lapsable/ Non-lapsable
	PLA		
	Assignment Account		
	Current Account		
	Saving Account		
	Other		
b) Status of Account	• If closed, mention the date		
	• If not closed, mention reasons thereof & tentative closure date		

11. Financial Phasing as per PC-I and Expenditure

(Rs. Million)

Year	PC-I Phasing		PSDP Allocation		Releases		Expenditure	
	Total	FE/Loan/* Grant	Total	FE/Loan/* Grant	Total	FE/Loan/* Grant	Total	FE/Loan/* Grant
1	2	3	4	5	6	7	8	9
Total								

* Clearly specify the source

12. Physical Targets and Achievements

S.No.	Items (as per PC-I)	Unit	Quantity	Actual * Achievements

* Attach/Annex detailed information for each item separately

13. Item-wise Planned & Actual Expenditure

(Rs. Million)

S.No.	Items (As per PC-I)	PC-I Estimates			Actual Expenditure		
		Total	Local	FEC	Total	Local	FEC
	Total:						

3

14. **Recurring Cost after Completion of the Project**

(Rs. Million)

S.No.	Components	PC-I Estimates*			Actual Expenditure*		
		Total	Local	FEC	Total	Local	FEC
	Total:						

* Mention source and agency responsible for financing the recurring cost after completion of the project

15. **Achievement of Objectives**

S. No.	As Contained in the PC-I	Actual Achievement*

* Attach/Annex detailed information for each objective separately. In case of not achieving the objectives fully/partially, indicate reasons thereof

16. **Year-wise Income from Services/Revenue Generation**

(Rs. Million)

S. No.	As Estimated in the PC-I	Actual

17. **RBM Indicators as given in the PC-I**

S.No.	Input	Output	Outcome		Targeted Impact
			Baseline Indicator	Targets after Completion of Project	

18. **List of Project Directors (PDs) till Completion**

S.No.	Name & Designation	From	To

19. **Responsibility/Ownership of Assets (Procured/Acquired/ Developed) after Completion of the Project**

- Indicate Agency
- List of Assets (Moveable/Immoveable)

4

20. **Impact after Completion of the Project**

   a) Financial
   b) Economic
   c) Technological
   d) Social (Education, Health, Employment, area Development, etc.)
   e) Environmental
   f) Any other

21. **Mechanism for Sustainability of Activities after Completion**

   Indicate mechanism how the project activities will be continued on sustainable basis

22. **Financial/Economic Analysis**

S.No.	Components	As Per PC-I	After Completion
a)	**Financial**		
	Net Present Value (NPV)		
	Benefit Cost Ratio (BCR)		
	Internal Financial Rate of Return (IFRR)		
	Unit Cost Analysis		
b)	**Economic**		
	Net Present Value (NPV)		
	Benefit Cost Ratio (BCR)		
	Internal Economic Rate of Return (IERR)		

23. **Issues Faced during Implementation**

   - Organizational Management
   - Capacity of the department concerned
   - Decision making process
   - Any other

24. **Lessons learned**

   a) Project identification
   b) Project preparation
   c) Project approval
   d) Project financing
   e) Project implementation

25. **Suggestions for Future Planning & Implementation of Similar Projects**

Submitted by:

Signature	_____
Name & Designation	_____
Telephone No.	_____
E-mail Address	_____
Date	_____

5

M&E Manual – Sindh Municipal Services Delivery Program (MSDP)

Government of Pakistan
Planning Commission
Instructions to fill in PC-V Proforma

1.   <u>Name of the Project:</u>

Indicate name of the project.

2.   <u>Objective & scope of the project:</u>

Indicate objectives and scope of the project as stated in the approved PC-I. It may also be indicated that upto what extent the objectives of the project have been met.

3.   <u>Planned & actual recurring cost:</u>

Provide planned (as per PC-I) and actual recurring cost of the project alongwith details for the financial year under report.

4.   <u>Planned & actual manpower employed:</u>

Provide category-wise details of manpower actually employed for the operation of the project as compared to proposed in the PC-I.

5.   <u>Planned & actual physical output:</u>

Provide output of the project as given in the PC-I for the year under report and compare it with actual output of the project.

6.   <u>Planned & actual income of the project:</u>

Provide income of the project as indicated in the PC-I for the year under report alongwith assumptions and compare it with the actuals for the year.

7.   <u>Benefits to the economy:</u>

Provide quantifiable planned & actual benefits to the economy for the year under report.

8.   <u>Planned & actual social benefits:</u>

2

Provide social benefits to the target group as given in the PC-I, compare with the year under report and state to what extent the social benefits have been achieved.

9. **Planned & actual cost per unit produced/sold:**

Provide cost per unit produced and sold at the weighted cost of capital of the project.

10. **Market mechanism:**

Indicate how the output of the project is being marketed. In case it differs from the PC-I, the details may be provided.

11. **Maintenance of building & equipment:**

Provide arrangements made for the maintenance of building & equipment during the last financial year. It may also be indicated whether annual maintenance of building & equipment was carried out in the last financial year.

12. **Output targets:**

Indicate whether output targets as given in the PC-I for the year under report have been met. In case of variation, give reasons.

13. **Lessons learned:**

Provide lessons learned during the year under report
   i.   Operation
   ii. Marketing
   iii. Management.

14. **Change in project management:**

In case of any change in the senior management of the project, the details alongwith justification be provided.

15. **Suggestions to improve project performance:**

Based on the experience gained during last financial year, suggest measures to improve the projects performance.

3

Appendix – XII   Format for PMES Software

Data Collection form for PMES Software

(One time Project Information)

1	Project Name						
2	Sector						
3	Province	i)		Location:		i)	
		ii)				ii)	
		iii)				iii)	
		iv)				iv)	
4	Objective						
5	Scope						
6	Approval Date (MM/DD/YYYY)	CDWP		ECNEC		Any Other	
7	Decision of Approving Forum	i.					
		ii.					
		iii.					
8	Commencement Date (MM/DD/YYYY)	As per PC – I			Actual		
9	Completion Date (MM/DD/YYYY)	As per PC – I			Expected		
10	Approved Cost of The Project (Million Rs.)	Local		F.E.C		Total	
11	Type of Project Accounts						
12	Date of Establishment of CPMU						

13 Funding Agency

S.No.	Name of Funding Agency
I	
Ii	

14 Sponsoring Agency

S.No.	Name of Sponsoring Agency
I	
Ii	

15 Executing Agency

S.No.	Name of Executing Agency
I	
Ii	

16 Land and Utilities (Tick 'Yes' or 'No')

Land Acquisition	Yes	No	Remarks	
Utilities	Yes	No	Remarks	

(78)

Litigation if any	Yes	No	Remarks	
Resettlement	Yes	No	Remarks	
Others (*if any*)			Remarks	

17 Financing Plan (Million Rs.)

S.No.	Funding Agency	Mode of Financing (grant/loan)	Local	F.E.C	Total
I					
Ii					

18 Loan/Grant Approval Status

Funding Agency	
Approval Date	
Signing Date	
Legal Opinion Date	
Effectivity Date	
Closing Date	
Extension in Loan Closing Date (If any)	

19 Itemized Details of The Capital Cost (Million Rs.)

Project Component	Sub Component	Planned Cost (As per PC-1)	Revised Cost (As per Contract)	Unit	Quantity (As per PC-1)	Rev Quantity (As per Contract)	Remarks

20 Year-Wise Financial Phasing As per Approved PC-I

S.No.	Financial Year	Local	F.E.C	Total
I				
Ii				
Iii				

21 Year-Wise Physical Phasing   **Note: Use same table for each year**

S.No.	Financial Years	Component	Sub Component	Units of Quantity	Quantity
I					
Ii					
Iii					

22 Project Director (s) Information

Project Director Name	Postal Address	Phone No. (Off/Res)	Fax No	Email Address	Monthly Salary	Is trained by PPMI? Yes No	Appointment Nature Full Time	Appointment Nature Additional Charge	Appoint-ment Date	Reason for Delayed Appoint-ment	Leaving Date along with reason

Note: Give names of PD's changed during the

	implementation of project

23	Local and Foreign Consultant Information				
Nationality	Experience (In Years)	Specialization	No. of Consultants	Consultancy Cost	Contract Duration

Data Collection form for PMES Software

(Yearly/Quarterly bases information)

24	**WORK PLAN**							
	Financial Year 2006-07							
	Status Approved Unapproved Please tick the relevant box							
	QUARTERLY SCHEDULE OF PHYSICAL ACTIVITIES							
	No.	Component	Sub Component	Unit	Jul-Sep	Oct-Dec	Jan-Mar	Apr-June
	I							
	Ii							
	Iii							
	Iv							
	V							

25	**CASH PLAN**											
	(Million Rs.)											
	Financial Year 2006-07											
	Status Approved Unapproved tick the relevant box									Please		
	Object/Functional Classification (PIFRA code)											
	QUARTERLY FINANCIAL REQUIREMENTS, BASED ON WORK PLAN (Million Rs.)											
	No.	Component	Sub Component	Cumulative expenditure upto June of last F.Y	Jul-Sep		Oct-Dec		Jan-Mar		Apr-June	
					F.E.C	Total	F.E.C	Total	F.E.C	Total	F.E.C	Total
	I											
	Ii											
	Iii											
	Iv											
	V											
2	**Cash/Work Plan Approval Status (2006-2007)**											

(80)

6	Date of preparation by Project Director	
	Date of approval by P&D Division (Concerned Technical Section)	
	Date of approval by PAO	
	Date of acceptance by Ministry of Finance	

27	PSDP Allocation (Million Rs.)				
	Financial Year	Local		F.E.C	Total
	2006-07				
	Total PSDP Allocation Since Inception of Project (Year Wise)	Financial Years	Local	F.E.C	Total
		I			
		Ii			
		Iii			

28 Amount Released (2006-2007)   (Million Rs.)
Note: Date of release by AGPR is mandatory

Quarter	Local	F.E.C	Total	Date of release of Funds by AGPR	Date When the amount reached the Project Authority	Reason if funds are not released
1 st						
2 nd						
3 rd						
4 th						
Total Releases Since Inception of Project (Year Wise)	Financial Years		Local	F.E.C	Total	
	I					
	Ii					
	Iii					

Data Collection form for PMES Software

(Monthly information

29	Total Expenditure upto 30 June 2006 (Million Rs.)	

30 Monthly Financial Progress Report (Million Rs)

2006 – 07

July		August		September		October	
Local	Total	Local	Total	Local	Total	Local	Total

November		December		January		February	
Local	Total	Local	Total	Local	Total	Local	Total

March		April		May		June	
Local	Total	Local	Total	Local	Total	Local	Total

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Quarterly Progress 2006-2007   **(Auto Generated based on monthly progress, No input required for this)**

Quarter – 1	0	Quarter - 2	0	Quarter - 3	0	Quarter - 4	0

31	Expected completion cost of the project (Million Rs)	

32 Total Physical progress up to 30-06-2006

Components	Sub Components	Unit	Achievement upto 30-06-2006	% Progress	Remarks

33 Physical Progress (2006-07)
Note:- Achievements should be based on Work Plan Targets only for 2006-07.

Component	Sub Component	Unit	Achievements											
			Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec

If Monthly Physical Progress can not be Provided, Please enter the information in last month of every Quarter

34 Issues (Tick the relevent issues)

☐	Ban on Recruitment	☐	Concept & Design Problems	☐	Contractor's Problem
☐	Delay in Consultants Appointments	☐	Delay in Release of Fund	☐	Law & Order Situation
☐	Lack of coordination between Fed/ProvGovts.	☐	Internal departmental problems	☐	Management Capacity
☐	Land Acquisition	☐	Procurement problems	☐	Non Exisitence of PMUs
☐	Turn over PD/Staff				

35 Any Other Issues/updates   **Note:- Each issue should be well elaborated with a row to take proper remedial action.**

I	
Ii	
Iii	