



LAGOS STATE GOVERNMENT

***POLICY & STRATEGY INFORMATION
MANAGEMENT/MONITORING &
EVALUATION SELF ASSESSMENT
REPORT***

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Executive Summary

Introduction

The State Evaluation and Assessment Tool (SEAT) is a SPARC self-assessment tool that gives State players opportunity to evaluate and assess their performance in the context of Policy and Strategy environment, and Management Information and Monitoring & Evaluation systems. The tool assessed key features and specific indicators that describe ideal situations for both Policy and Strategy, and Information Management and Monitoring & Evaluation (P&S and M&E). Overall, eight key features made up of seventeen specific indicators were assessed under the Policy and Strategy, while a total of six key features made up of seventeen specific indicators were assessed under information Management and M&E. Each indicator has four descriptive options (A to D). Participants chose which option best describes the current situation in the State. The option chosen was then supported with evidence to justify the decision.

The current assessment is a repeat of an assessment carried out previously against the same measures back in 2009 – though some small modifications (described below) have been made to the P&S set of indicators.

The objectives of the self-assessment are to:

- provide Lagos State Government with an objective baseline assessment of the current status of policy development, strategic planning, M&E and information management against which future reform progress in these areas can be measured; and
- assist Lagos State Government identify priority areas of change given the objective assessment of the current situation of the State development process.

The self-assessment was facilitated over a two-day period (February 8 and 9, 2012) at a workshop in Ikeja Lagos and a total of 31 persons (excluding consultants) participated. The participants included the Head of Service (HoS) who opened the workshop, Permanent Secretaries, and Directors drawn from the Office of the Head of Service, Ministry of Economic Planning and Budget (MEPB), Ministry of Agriculture and Cooperatives (MoAC), Ministry of Education (MoE), State Universal Basic Education Board (SUBEB), Ministry of Health (MoH), Ministry of Finance (MoF), Ministry of Works and Infrastructure (MoWI), Lands Bureau, Lagos State Bureau of Statistics (LBS), Ministry of Local Government and Chieftaincy Affairs (MLG&CA), and Public Service Office (PSO).

Policy and Strategy

Generally, regarding the Policy and Strategy situation in Lagos State, the results of the SEAT Self-Assessment show that policy and strategic planning in the State have aggregate scores of A and B. Policy guidelines and realistic budget envelopes based on macro-economic projections and fiscal strategy approved by Executive Council are used for budgeting in the medium term. Also baseline data and information are used for evidence based planning and decision making although the data and information are not reliable in all MDAs.

The planning process involves wide consultations which started with the 2000 Ehingbeti Economic Summit and has been expanded to include other consultation techniques to ensure that the voices of a wide section of the society such as the underprivileged and socially excluded are heard and incorporated into plans. However, there were no targeted consultations of the underprivileged and disadvantaged persons prior to the development of

the draft SDP and MTSSs¹ to ensure their concerns are included in the plans. The existing MTSSs with the exception of Education and Health, have not been validated by stakeholders. MDAs, local governments, and non-state actors such as development partners are constantly consulted for planning purposes but there was no evidence of their direct involvements in the development of the draft SDP and MTSSs except for the Health and Education sectors that enjoy donor support. Furthermore, MDAs plans are modified and aligned with annual budgets especially health and education to improve the impact on the cross-section of the citizens including the vulnerable groups. The 10 MTSS previously developed for 10 MDAs by the LaSG were not costed, were not aligned with the planning cycle and were not based on sector ceilings. Consequently the MTSS process was more or less an exercise. However, there are plans to link all 25 MTSSs to the 2013 budget. Assessments of institutional, organisational and human capacities to deliver the proposed strategies have resulted in changes in processes, organisations and structures for example the Economic Intelligence Unit (EIU) was established as the research unit for Economic Planning department and planning units were established in MDAs under the leadership of senior civil servants. There continues to be a two-way communication and good working relationships between the State MDAs and their Federal counterparts while international and most national policies, legislations and regulations continue to guide and inform State policies, strategies and plans. The quality and type of publicity used to disseminate policies has enhanced the citizens' feedback mechanism.

In spite of the acknowledged strengths in the policy environment, sector outcome targets used by MDAs have not been presented to the Executive Council. Performance reviews are largely limited to financial reviews and reporting although strategies for evaluation of outcomes and impact assessments are being developed which will be reported in annual performance management reports (PMRs) and the findings will result in changes in policies, strategies and/or structures of organisations. In spite of the State Government focus on improving service delivery, the government has not signed agreements or contracts with citizens and / or with independent accreditation organisation which expresses commitment to improving service delivery although there are areas where there has been focus on service delivery such as the Lands Bureau which published its fees, rates and process for issuing a Certificate of Occupancy to land which has been reduced from over six months to 30 days. Also Ministry of Economic Planning and Budget, a pilot ministry for developing corporate plan was developing its service charter at the time of SEAT workshop.

During the SEAT Validation exercise held on June 28, 2012 the scores for three indicators were changed. Indicator 5 (i) was changed from A to C because LGA planning officers were not directly involved in the development of the draft SDP and MTSSs; Indicators 7 (i) and (ii) were changed from Bs to Cs because consultations were not targeted at gender, the underprivileged and disadvantaged.

M&E and Information Management

A number of organizational reforms have taken place within LSG in order to strengthen Information Management and M&E in the State; for example through developing the MoEPB Central Project Coordinating Department into an M&E unit with a broader mandate. In order to strengthen the service delivery capability of MDAs, Executive orders were issued for MDAs to establish planning units during 2010 with functions covering planning, M&E and statistics. Subsequently, the M&E department within MoEPB provided extensive guidance and training to these departments to help them establish M&E systems. These Planning Units have M&E Sections, but the extent to which these they have clearly defined roles and

¹ All references to MTSSs (Medium Term Sector Strategies) in this report means the sector MDAs which are currently 25 in Lagos State Government

responsibilities tends to vary across MDAs and there is need to more fully institutionalize M&E functions within Planning Units and to provide professional M&E staff.

No formal cross-government M&E strategy exists. However, elements of such a strategy exist in a number of separate documents. For example, the draft State Development Plan contains an M&E framework which details the overall responsibilities of MDAs and the MTSS Manual incorporates a focus on indicator selection, target setting and sector M&E.

The extent to which internal and external clients have been completely identified and the full range of their M&E information needs understood varies between MDAs. The overall assessment by MoEPB is that the majority of these information needs relate to monitoring of outputs - the information needs of clients related to outcome tracking has not been fully identified, although the introduction of performance management reporting process is beginning to change this in some sectors. In general, MDAs appear to have the data needed to satisfy information needs and are responsive to requests. They are less effective at proactively understanding the information needs of different audiences.

Most MDAs report that they have a sufficient number of staff for M&E; however, these staff are often not used effectively and are completely clear on their roles and responsibilities. The main challenge is that staff with M&E responsibilities are often planners or statisticians posted into these roles and are not M&E specialists. Consequently, whilst many have a good working knowledge of M&E, they do not fully understand many M&E concepts and approaches.

Generally, Management Information Systems (MIS) have been effectively implemented across more than half of MDAs in the state (in particular, Health and Education). There is a good and increasing range of statistics held within relevant databases in the State Bureau of Statistics. Generally, there is a good degree of confidence in the data produced by most MDAs. Validation and verification processes have been established by the Bureau of Statistics as part of quality assuring data submitted by MDAs.

During 2010, MoEPB led the development of Performance Management Report (PMR) guidelines and has subsequently supported the development of PMR processes in response within the Education, Health and Environment sectors/functional groups. Each of these three sectors/functional groups have prepared PMRs in response. Within the three sectors/functional groups having implemented PMR processes, the concept of using PMR to support adjustment of MTSSs is now understood as a result of training provided by MoEPB. In addition, the strategy of using PMR processes to adjust MTSSs has been included within the draft State Development Plan (SDP).

1 Introduction

1.1 Lagos State Background

Lagos State was created in the first wave of States creation after independence on 29th of May 1967. Prior to this, it was a British colony (1861-1960) and later, the country's capital (1914-1991). Territorially, it is made up of the old Federal Capital Territory of Lagos and the Colony Provinces of Ikeja, Badagry, Ikorodu, Lagos and Epe all collectively referred to by the acronym 'IBILE'. The State shares borders with Ogun State in the West, Republic of Benin in the East and the Atlantic Ocean in the South. Lagos State currently has 20 Local government areas and 37 local council development areas. Lagos State benefited immensely from being the capital of the country and as the commercial capital. It ceased to be the capital on December 12, 1991 when the seat of the Federal Government moved to Abuja. Despite this move, Lagos State continues to exhibit immense economic attributes anchored on a large and growing population, occupying an area of only 3577km square. This makes Lagos State the smallest land size in Nigeria and most densely populated. Lagos has emerged over the years as a sprawling mega city of immense dynamism, complexity and opportunity whose strategic location ensures it has attracted domestic and international migration.

The natural attributes of the State lies in its 180 km of palm fringed Atlantic water front and large areas of suitable land for commercial farming, fishery development and wildlife conservation. Agriculture is thus undertaken in zoned lands located in Itoikin, Igbonla, Araga Epe, Lekki, Ilogbo Eremi, Ajara-Badagry, Agege, Eti Osa and Ikorodu. Lagos State remains the economic hub of Nigeria, with 70 kobo of every Naira spent in the country being spent in Lagos. Currently, Lagos contributes about 12 percent of Nigeria's Gross Domestic Product (GDP), comparable only to Rivers and Delta, which are oil producing states. The State is the lead contributor in the non-oil sector, contributing an average of 19 percent equal to the contributions of some 13 Nigerian States put together. The demonstration of the commercial hub status of Lagos is perhaps best described by the fact that it currently contributes about 65 percent of Value Added Tax (VAT) to the federation coffers. In the State itself, the income and expenditure profile has increased, from about N20 billion in 1999 to N405 billion in 2009, ten years after. The State houses over 60 percent of the manufacturing industry of the Nigerian economy and is remarkably suited to lead the efforts of the Nigerian economy towards Vision 20:2020. These include leveraging on the position of host to the two largest sea ports in Nigeria namely Apapa and the Tin Can ports. These two ports combined assume the responsibility for the significant carriage of goods out of Nigeria and West Africa, while the State also houses the biggest international airport in the country which has about a million visitors daily. Lagos is also recognized as the increasingly dominant place for financial services. By virtue of its strategic location and as the economic hub, Lagos proudly attracts world class labour and human capital, and ultimately would become the place where many nationals will want to reside in the Country.

Lagos has a total population of about 20 million and estimated to be growing at between 6% and 8% annually, making it one of the fastest growing cities in the world, growing 10 times faster than New York and Los Angeles and has a combined population of 32 sub-Saharan African countries. Lagos State is therefore has the highest concentration of manpower in sub-Saharan Africa, with 53.5% of its inhabitants belonging to the working class. Urbanization studies have shown that the Lagos-Lekki corridor is growing at about 16.6% annually, as against Nigeria's average of 2.9%. Whilst the total population presents substantial potentials it also poses enormous challenges for governance and sustainable development.

1.2 Lagos State Reform Environment

Lagos State Vision 20:2020 (LSV2020) was developed in 2009 as the State's contribution to the National Vision 20:2020 Economic Transformation Blueprint. Lagos State is in the forefront of economic growth and development in Nigeria. The State Government's vision is to become one of the top mega cities in the world, and be an urbanised State and Africa's regional economic hub by 2015. The State's overarching polity thrust is: *poverty eradication and sustainable economic growth through infrastructural renewal and development*. All policies, strategies, programmes and projects of the State therefore are aimed towards achieving the policy thrust and the vision.

Lagos State has developed the zero draft of a 15 year State Development Plan (2011 – 2026) (SDP) through the harmonisation of all policies contained in various documents in the State and by fleshing out the Lagos State Ten Point Agenda (TPA) otherwise called the Lagos Economic Advancement Programme. All development plans in the State were and continue to be hinged on the TPA and these include State Economic Empowerment Development Strategies 2005-2007 (LASEEDS), LV2020 and the draft SDP. The TPA (not listed in any order of priorities) contains broad policy statements and has been translated into ten implementable medium term sectoral strategic plans (MTSSs) and 15 draft MTSSs. SMART policy outcome and output targets that are gender and social inclusion compliant are provided in the MTSSs and indicative budget ceilings deriving from macro-economic projections and fiscal strategies are used. Although the budget ceilings have been approved by the Executive Council since 2010, the MTSSs have not been linked to annual budgets. There are plans to link all 25 MTSSs to the 2013 annual budgets which will begin the process of MTSSs actualising the first three years of the State's long term plan. The TPA continues to be the successive Governors' lead priority document, enjoys the greatest commitment from the political leadership and therefore continues to form the basis for informed policy planning and strategy making in the State.

Ten Point Agenda

- 1. Roads**
- 2. Transportation**
- 3. Power & Water Supply**
- 4. Environment/Physical Planning**
- 5. Shelter**
- 6. Health**
- 7. Education**
- 8. Food Security**
- 9. Employment Generation**
- 10. Revenue Enhancement**

In line with the culture of inclusive governance by the State Government, all State policy and strategy documents are developed through State wide consultations and dialogues with all sections of the society comprising of state and non-state actors and incorporating their views in strategic plans. There were no specific consultations targeted for the socially excluded, underprivileged and disadvantage groups in society although the State continues to implement specific policies for them. MTSSs except Education and Health that enjoy donor support have not been validated by stakeholders. General consultations started with the annual Ehingbeti Fora (Economic Summits) in 1999 but evolved into a forum held every two years in 2006 and have now gone beyond the summits. The State uses a wide range of methods to disseminate policies, programmes and projects and has robust feedback mechanism for users of government goods and services in its concerted efforts to continue to improve service delivery.

1.3 Purpose of the Self Assessment

The DfID funded State Partnership for Accountability, Responsiveness and Capability (SPARC) is working to support state governments in implementing their governance reforms. This support is provided under a number of interlinked technical work streams including: a)

Policy and Strategy Development (P&S), b) Public Financial Management (PFM) and c) Public Sector Reform (PSR). In addition to these primary work streams, SPARC support is also focusing on a number of cross-cutting themes including: a) Monitoring and Evaluation (M&E), b) Local Governments Authorities (LGAs) and c) Knowledge Management (KM).

In order to assist the Lagos State government in identifying priorities for change in these areas, a State Evaluation and Assessment Tool (SEAT) exercise was conducted in 2009 with the primary work stream areas with broad based participation from relevant state government ministries, departments and agencies (MDAs). The exercise was repeated in February 2012. This report presents the results of the repeat self-assessment for the primary work stream of Policy and Strategy and the cross-cutting theme of M&E.

The main purpose of the first self-assessment was to help the State Government identify priority areas of change in the areas of policy development and strategic planning and associated fields of M&E and information management. A further purpose was to provide the State Government with an objective baseline assessment of the status of policy development, strategic planning, M&E and information management against which future reform progress in these areas could be measured.

Accordingly a major purpose of the repeat exercise is to assess progress against this baseline over the intervening three year period. A later comparison of the results should help to demonstrate whether efforts have been successful. In areas where progress has been slow or negligible, some re-thinking of reform strategy might be appropriate.

1.4 The Self Assessment Indicators

The indicators used in the self assessment are grouped under the two overarching themes of: a) Policy and Strategy and b) M&E/Information Management. For each of these themes a number of *key features* have been identified which effective policy and strategy making processes and M&E/Information Management systems should exhibit.

The key features required for an effective Policy and Strategy making process included in the self assessment consist of:

- **P&S 1A:** Provision by politicians of policy guidelines and realistic budget envelopes.
- **P&S 1B:** Sector Policies are Financially Feasible.
- **P&S 2:** Outcome basis of sector policy statements and availability of central planning support for MDA strategy development.
- **P&S 3:** Baseline information and research findings are used to inform policy definition / formulation and strategy making.
- **P&S 4:** National or international legislative and regulatory policies or guidelines are considered when making sector strategies and advice is sought from federal agencies or other international agencies when necessary.
- **P&S 5:** The actions and policies of federal departments, local governments and private or non-governmental sector actors are taken into consideration in strategy development.
- **P&S 6:** Sector Strategies are consistent with human and organisational capacity to implement them.

- **P&S 7:** The views and opinions of customers, including disadvantaged groups, are taken into consideration when making strategies.
- **P&S 8:** The government has signed up to a public commitment to deliver feasible policy outcomes.

The key features required for an effective M&E/Information Management system included in the self assessment consist of:

- **M&E 1:** Institutional & legal framework for information management and monitoring and evaluation (M&E).
- **M&E 2:** A strategy developed setting out scope and purpose of information management / M&E
- **M&E 3:** Organizational capacity for managing information and carrying out information management / M&E.
- **M&E 4:** Effectiveness of Management Information Systems (MIS), Statistics and Data.
- **M&E 5:** Performance management processes in support of policy, strategy and program adjustment.
- **M&E 6:** Cross-cutting issues are reflected in the information management / M&E systems.

For each of the above key features, a number of high level indicators have been developed which form the basis for the self assessment. By examining the assessment results for these indicators, an overall assessment has been made for each key feature which indicates the extent to which they are effectively implemented in the State.

1.5 Methodology

The self assessment was facilitated over a two day (February 8 -9, 2012) workshop in Lagos. There was broad representation from Lagos State Government MDAs, including participants from various ministries, departments and agencies which included: Office of the Head of Service, Ministry of Agriculture and Cooperatives, Ministry of Education, State Universal Basic Education Board, Ministry of Health, Ministry of Local Government and Chieftaincy Affairs, Ministry of Works and Infrastructures, Lands Bureau, Ministry of Economic Planning and Budget, Lagos Bureau of Statistics and Public Service Office. There was high level representation from these organisations that included the Head of Service who officially opened the workshop and Permanent Secretaries. The total number of participants from Lagos State was 31, made up of 26 men and 5 women.

The methodology for the workshop was adapted from the State Evaluation and Assessment Tool (SEAT) approach which was used by SPARC in 2009. Participants were provided with a policy and strategy and M&E/information management performance measurement framework which listed and described each key feature and indicator. The workshop consisted of five main working sessions over the two days within a number of key features being covered in each session.

In each session, the workshop facilitators presented indicators for each key feature in turn. The P&S indicators were presented by the M&E consultant with the P&S consultant taking notes and asking relevant questions. The reverse was done for M&E. This methodology was

to ensure that the consultants recorded useful and relevant information for their areas of expertise while ensuring workshop participants understood the context and the issues that needed to be covered. Workshop participants were asked to review each of these indicators and assign a score (A, B, C or D) for each which represented the current situation in the State. For each indicator, a minimum requirement for each score was described in the performance measurement framework to assist participants in the scoring. All discussions on each indicator were then held in plenary and scores for each indicator was agreed. Workshop facilitators summarized the results of these discussions as the rationale for having awarded the selected score for each indicator. At the end of each indicator discussion, the recorded score presented back to participants for verification before moving on to the next indicator.

1.6 Scope of the Assessment

Two main sections are included for: a) policy and strategy and b) information management/M&E. At the beginning of each section an overview of the current situation is presented together with a summary of key feature scores. This overview is based on the indicator assessments developed in the workshop, together with further analysis conducted by SPARC consultations in preparation for the workshop.

The main body of these sections includes the results of the indicator assessment. For each key feature, the context is described followed by a summary of indicator scores. Each indicator is listed in turn together with the description used in the performance assessment framework. The four scores are included, with the score agreed during the workshop highlighted. The rationale for the score, as identified by workshop participants is included as a narrative.

The assessment was an overall assessment of the current situation in MDAs within the State. Some MDAs are covered in more detail in the rationale as a result of stronger evidence supporting the discussions in the workshop. However, a detailed assessment of the situation is beyond the scope of this assessment and it is recognized that further investigation will be needed in these areas.

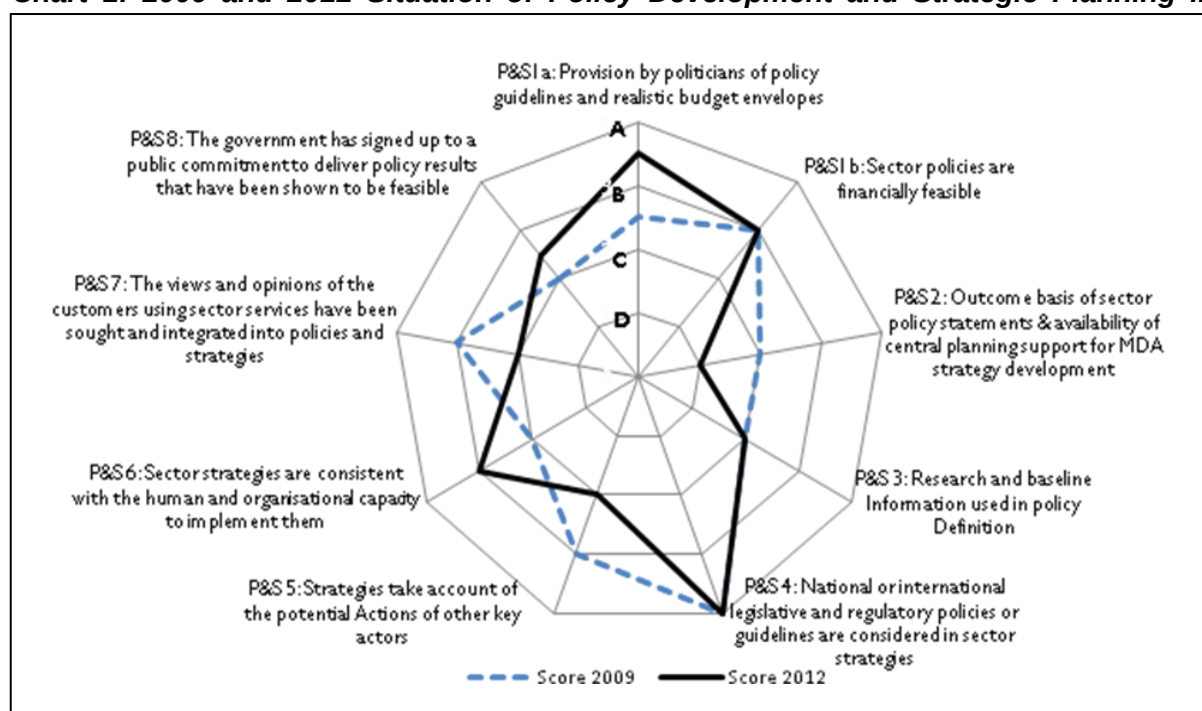
2 Assessment of Policy and Strategic Planning

2.1 Overview of Current Situation

It is evident from the self assessment that Lagos State is continuously developing its capacity for effective policy making and strategy development through investments in improving institutional, organisational and human capacities.

The results of SEAT Self-Assessment show that policy development and strategic planning in the State has aggregate scores for key features ranging between A and B. In line with the State's culture of extensive consultations and inclusive governance, the planning process involved wide consultations and dialogues with all sections of the society. These involved state actors including local government staff (P&S 5) to determine cross-cutting issues, improve collaboration and agree sector priorities, strategies and plans. Planning process also included wide section of non-state actors such as private sector players, community and faith based organisations, professionals, traditional authorities, media and development partners (P&S 7). However, there were no targeted consultations of socially excluded and disadvantaged groups although the State continues to implement policies and strategies that address issues of the underprivileged and vulnerable groups. Different techniques were used during stakeholders' consultations to capture the views of the diverse stakeholders. The State uses a two-way communication strategy which resulted in harmonious and cordial relationships with Federal government MDAs and the State incorporated international and some national policy guidelines within State Development Plan (SDP) and State Vision 20:2020, and the MTSSs (P&S 4).

Chart 1: 2009 and 2012 Situation of Policy Development and Strategic Planning in



Lagos State

The State, through its Vision 20:2020 and its 15 year State Development Plan underpinned by the Ten Point Agenda (TPA), has provided the overall long term development vision and policies for the State to achieve its policy thrust. Ten MTSSs (Education, Health, Environment, Justice, Transportation, Housing, Physical Planning and Urban Development,

Youth Sports and Social Development, Women Affairs and Poverty Alleviation, and Works and Infrastructure) were developed. To actualise the long term policies, the existing 10 MTSSs and the additional 15 being developed will implement the first three years of the long term policies if they are linked to the 2013 annual budget. The developments of the MTSSs are driven by the State except for Education and Health which benefitted from donors support. Although capital projects in the MTSSs are justified against their contributions to strategies aimed at achieving outcome targets, there is need to ensure that the Executive Council agrees to the outcome targets (P&S 2). Policy guidelines and budget envelopes produced annually by politicians are based on macro-economic projections and fiscal strategies (P&S 1) and are used for the MTSSs although the MTSSs were not linked to the 2010, 2011 and 2012 budgets. Policy outcomes and strategies have been factored into recurrent and capital expenditure and costed over the medium term and policies and strategies are revised annually to fit into the State annual budget envelopes and budget (P&S 1B). However annual performance reviews continue to be limited to financial reviews and project monitoring. There is a need to institutionalise annual performance reviews of outcomes that will inform policy and strategy making. Some research and baseline data and information are used in defining sector policies and setting outcome and output targets. Research and baseline information are not always used to define resource allocations and in the calculations of capital and recurrent budget allocations (P&S 3).

Assessments of institutional, organisational and human capacities of some MDAs to develop strategies, programmes and projects have resulted in changes to process, structures and organisations such as the creation of the Economic Intelligence Unit (EIU) as a research unit of the planning department in MEPB as well as establishment of planning units in all MDAs. Further restructuring was done in response to 1st year review by making directors head Planning Units of key MDAs. Also the development of corporate plans was introduced in MEPB and the Office of the Head of Service (OHoS) as pilot organisations in 2011. However capacity continues to be a challenge in some MDAs and there is need to continue strengthen processes and systems and further develop human capacities within MEPB so that it can continue to support other MDAs in developing their sector strategic plans, implementing strategic plans and monitoring and evaluating projects and programmes state-wide.

In spite of the State's regard for accountability, transparency, predictability and participation, the four critical pillars of good governance and focus on service delivery to citizens, there is no social contract between the State government and its citizens which will serve as a basis for informed dialogue and critical assessment of fiscal responsibility, sectoral performance and progress insofar as service delivery is concerned.

During the SEAT Validation exercise held on June 28, 2012 the scores for three indicators were changed. Indicator 5 (i) was changed from A to C because LGA planning officers were not directly involved in the development of the draft SDP and MTSSs; Indicator 7 (i) and (ii) were changed from Bs to Cs because consultations were not targeted at gender, the underprivileged and disadvantaged.

2.2 Key Feature and Indicator Scores

P&S 1A: Provision by Politicians of Policy Guidelines and Realistic Budget Envelopes

Context for the Key Feature

In most states the government has a policy agenda (sometimes termed a four point or LV2020) defining the general direction of the government. These may be very general, or include more detail. They may include projects and some costing, and service delivery outcome targets. They may also be accompanied by service sector indicative financial envelopes. Often however these features are missing.

NOTE: Normally these general guidelines need not be too specific. This is because it may be assumed (at least according to some standard of good practice) that politicians may not have the information and knowledge required to define realistic options. This is the (good practice) task of the administration – of the civil service – to take those policy outlines and budget envelopes and develop realistic strategic options which they can then send back to politicians so that they (the politicians) can choose between them from a position of informed knowledge.

Nevertheless, at the commencement of the annual planning cycle, the Executive Council and the Assembly should be considering and making their policy priorities in the context of:

- Macro-economic and fiscal projections; and
- A performance review relating to the success or otherwise of last year's programme in achieving its objectives.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
P&S 1A	<i>Provision by Politicians of Policy Guidelines and Realistic Budget Envelopes (Scoring Method M2)</i>	C+	B+
(i)	General policy guidelines and realistic envelopes have been produced and are revised annually by politicians, and are specific enough to provide a basis for strategy development by MDAs.	B	A
(ii)	There is evidence that the policy guidelines and budget envelopes are based upon macro-economic projections and performance reviews.	C	B

Assessment of Current Performance Indicator Status

- i) *General policy guidelines and realistic envelopes have been produced and are revised annually by politicians, and are specific enough to provide a basis for strategy development by MDAs.*

Score 2009	Score 2012	Minimum Requirements
A	A	There exists an agenda which a) includes policy outcome targets for all key sectors, b) provides realistic outline financial envelopes for each sector, c) has been reviewed and revised since the previous year, and d) is issued through the central ministry responsible (such as Ministry of Economic Planning) for the purpose of guiding MDAs' strategy making work.
B	B	There exists an agenda which satisfies at least two of the qualities a), b) or c) above.
C	C	There exists a policy agenda, but it is either too general to be a satisfactory guide to sector strategy making or it is not accompanied by envelopes, or it is not intended for use by sector MDAs to develop strategy options.
D	D	There is no policy agenda which can be used, or is intended for use, by MDAs for making strategy.

The Ten Point Agenda (TPA) defines overarching general policy direction of the State Government and seeks to address the overarching policy thrust of the Government: *Poverty Eradication and Sustainable Economic Growth through Infrastructural renewal and Development*. The TPA contains broad policy statements and does not include policy outcome and output targets and indicative budget ceilings. All other policy documents in the State hinged on the TPA are:

- Draft Lagos State Development Plan (SDP) is a 15 year plan to match their fiscal plans and long term borrowings.
- Lagos State Vision 20:2020 (LV2020) is the State's contribution to the National Vision 20:2020
- 10 Medium term sectoral strategies (MTSSs) while the development of the remaining 15 MTSSs commenced the week following the SEAT exercise.

The draft SDP and the MTSSs include policy outcome targets disaggregated into gender and reflect policies for the vulnerable groups. Health and Education sectors developed their MTSSs through wide consultations. The MTSSs for the other sectors were not developed through wide consultations although there are plans to validate them at stakeholders' fora. Education and Health² sector strategies are reviewed and revised annually in line with the policy priorities of the State Government and revised budget envelopes approved by the Executive Council. However, progress is not reported to and approved by Executive Council. There are plans to begin to evaluate programmes, assess impacts of policies implemented, report findings in the Performance Management Report (PMR) and obtain the necessary approvals. The policy guidelines issued by MEPB are detailed to support the processes for developing the various policy documents although there is need to strengthen some outcome targets stated in the draft SDP and the MTSSs. Macro-economic and fiscal models are produced at the beginning of every year which define budget envelopes given to the MDAs for planning and budgeting. Lagos State is currently developing budget profiling which is cash backed system to ensure timely execution of projects and programmes based on regular releases of funds.

- ii) *There is evidence that the policy guidelines are based upon macro-economic projections and performance reviews.*

² Health Sector Annual Performance Review report 2009-2012

Score 2009	Score 2012	Minimum Requirements
A	A	There is evidence that the policy guidelines and envelopes issued by the Executive Council were based upon a macro-economic and fiscal projections which are realistic, (i.e. have been subject to annual review and revision) and that the policy targets for each sector are based upon a review of performance against last years targets, and that the review has been issued through the Ministry responsible for planning.
B	B	Policy guidelines and envelopes are issued by the ExCo and there is evidence that these were based on a review of last year's performance and upon a macro-economic projection.
C	C	Policy guidelines were issued by the ExCo, and there is evidence that either a macro- economic projection or a performance review was used in developing them.
D	D	Either no policy guidelines were issued, or else the basis upon which they were developed shows no evidence of any reference to either macro-economic or fiscal projections, or to a review of previous performance.

There was enough evidence that policy guidelines and envelopes issued by Executive Council were based upon macro-economic projections and fiscal strategy prepared annually since 2010. However there was no evidence budget envelopes were based on the review of previous year's performance progress as performance reviews are still largely limited to financial reviews and project monitoring. Plans are underway to begin to evaluate outcome targets and assess impacts of programmes. In addition to financial reviews, Ministry of Agriculture and Cooperatives (MoAC) regularly monitors physical output targets and also conducts monthly review meetings which have led to re-ordering of programmes and structures. Also the results of quarterly reviews of projects have informed changes to policy guidelines in MoAC. However, these performance results do not get back to EXCO.

Budget performance was stated to be about 80% at the State level. Revenue performance in Lands Bureau in 2011 was 80% while expenditure performance was less than 60% especially with overheads and capital expenditure.

P&S 1B: Sector Policies are Financially Feasible

Context for the Key Feature

A sector policy statement (and its supporting strategy) is not legitimate unless it can be demonstrated to be financially feasible. This means that strategies should be assessed for their cost, especially in both capital and recurrent terms, and projected over a period of years (3 years minimum but potentially up to 2015). These projections should be made within the confines of a realistic and approved budget envelope (budget ceiling) projection for the sector.

At the stage of policy and strategy development it is therefore necessary to conduct an exercise that will begin or continue the process of developing a Medium Term Sector Strategy (MTSS) exercise (see the SEEDS manual for guidelines) within a medium term budget or expenditure framework. There are a number of information requirements for the conduct of such an exercise including:

- Provision (probably after negotiation) of budget ceilings/ envelopes covering the period (years) for which the MTSS is being developed;

- Baseline information about the sector (so in education for example, about the numbers of children to be educated, current enrolments, qualified teacher numbers, books and desks availability, numbers and conditions of buildings, and so on);
- Research results about cost effective strategies for achieving improvements in enrolment and outcome standards in education;
- Information about the views of consumers (parents) and other stakeholders, especially about the measures which might or might not work locally; and
- Information about the systems and human capacities in the system that will need to be enhanced and strengthened in order to allow for improved implementation.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
P&S 1B	<i>Sector Policies are Financially Feasible (Scoring Method M1)</i>	B	B
(i)	For sector defined policy outcomes, a set of strategies has been developed and these have been factored into both capital and recurrent resource requirements that are costed over a minimum of three year projections, and the strategies and policies are revised so as to bring projected costs to fit within the projected budget envelopes.	B	B

Assessment of Current Performance Indicator Status

- i) *For sector defined policy outcomes, a set of strategies has been developed and these have been factored into both capital and recurrent resource requirements that are costed over a minimum of three year projections, and the strategies and policies are revised so as to bring projected costs to fit within the projected budget envelopes.*

NOTE: That the MDAs concerned for the purpose of this indicator are those which are directly charged with responsibility for implementing the budget in line with sector policies and which directly receive funds or authorization to spend from the MOF. Department and agencies that report and receive budgetary funds through a parent ministry should not be considered in the assessment.

Score 2009	Score 2012	Minimum Requirements
A	A	90 percent of MDAs comply
B	B	Between 50 and 90 percent of MDAs comply
C	C	At least 1 MDA complies but less than 50 percent comply
D	D	No MDAs comply

Ten out of 25 sectors have developed their MTSSs which include policy outcomes and strategies. The 10 sectors have factored in both capital and recurrent resource requirements that are costed over three year period. The strategies and policies are revised annually so as to bring projected costs to fit the projected budget envelopes although but MTSSs were not linked to the 2010, 2011 and 2012 budgets despite the envelopes. The remaining 15 MTSSs were developed the week of February 13 which was the week following the SEAT exercise. There are plans to link all 25 MTSSs to the 2013 budget and in line with the advised budget envelopes.

P&S 2: Outcome Basis of Sector Policy Statements & Availability of Central Planning Support for MDA Strategy Development

Context for the Key Feature

Policy statements for sectors, whether separately presented or as part of broader policy documents (such as SEEDS documents) tend to comprise lists of projects (for example, build 10 secondary schools or 20 roads). Policy statements should be founded on a SMART outcome target so as to ensure that strategies (which may include infrastructure construction for example) actually deliver on service delivery improvements. For example if a hospital is to be built the evaluation question should be, “has this had a positive impact upon the health of the population as expressed in outcome targets?” If not alternative strategies need to be thought through.

Also, sectors require central support and coordination when making strategy. It is desirable that departments or ministries of planning should themselves establish central support units to provide guidance on how to make sector strategies.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
P&S 2	<i>Outcome Basis of Sector Policy Statements & Availability of Central Planning Support for MDA Strategy Development (Scoring Method M1)</i>	C	D
(i)	All capital projects are justified against their contribution to a strategy aimed at achieving this (these) outcome targets.	A	B
(ii)	Sector outcome targets used by the relevant MDA(s) have been agreed (via the State Planning Agency) by the Executive Council.	A	D
(iii)	The level of support provided by the central planning Ministry or Department.	C	B

Assessment of Current Performance Indicator Status

- i) *All capital projects are justified against their contribution to a strategy aimed at achieving this (these) outcome targets.*

Score 2009	Score 2012	Minimum Requirements
A	A	90 percent or more comply
B	B	Between 50 and 90 percent comply
C	C	Between 20 and 50 percent comply
D	D	Less than 20 percent comply

There are examples of instances where capital projects are justified against their contributions to strategy aimed at achieving stated outcome targets and the State overarching policy thrust. Policy targets are usually smart, measurable, achievable, relevant, time bound, gender and social inclusion compliant (SMARTG&SI). The MoAC implemented projects of constructing rice mills where the defined outcomes are: i) reduce of reliance on rice; ii) improve food security and iii) increase employment generation. Another example

from the Ministry of Housing is the construction of 100 units of housing to deliver the ministry's policy thrust of provision of affordable houses for the masses.

Planning is still mostly about outputs rather than outcomes although there are some implicit assumptions that some capital projects will deliver certain outcomes. Majority of participants assessed the State performance.

ii) *Sector outcome targets used by the relevant MDAs have been agreed (via the State Planning Agency) by the Executive Council.*

Score 2009	Score 2012	Minimum Requirements
A	A	90 percent or more comply
B	B	Between 50 and 90 percent comply
C	C	Between 20 and 50 percent comply
D	D	Less than 20 percent comply

The existing 10 MTSSs contain outcome targets but have not been presented to EXCO by MEPB and therefore have not been agreed by the Executive Council. MEPB plans to present all 25 MTSSs to EXCO for approval once the 15 outstanding MTSSs are concluded.

iii) *The level of support provided by the central planning Ministry or Department.*

Sectors require central support and coordination when making strategy. It is desirable that departments or ministries of planning should themselves establish central support units to provide guidance on how to make sector strategies. These departments may:

1. Advise on a procedure to be followed;
2. Provide sources of research and evidence where required, but especially about cross-state issues including poverty and accessibility indices;
3. Co-ordinate baseline information production and up-dating;
4. Provide cross-sector banks of data and information, for example about the local economy;
5. Facilitate the development of cross-sector implications;
6. Provide information about national and state policy guidelines; and
7. Advice on participatory techniques.

NOTE: The assessment of this dimension in the Workshop should be led by the sector MDAs involved in the assessment, not by the planning MDA itself. Take an average of the score assessments provided by the MDAs represented in the assessment. In providing this assessment a negative response does not necessarily reflect a lack of knowledge or capacity on the part of planning ministry staff – it could be mainly the result of a lack of resources available for them to perform these tasks.

Score 2009	Score 2012	Minimum Requirements
A	A	The complete range of advice and support listed above (seven bullet points) is provided to an adequate level by the planning ministry.
B	B	Between 4 and 6 of the items of advice and support listed above is provided to an adequate level by the planning ministry.
C	C	Between 2 and 3 of the items of advice and support listed above is provided to an adequate level by the planning ministry.
D	D	Either adequate support or advice is provided in one of the listed areas above, or no adequate support or advice is provided.

The general opinion of participants is that MEPB provides adequate range of advice and support to MDAs. Five of the seven MDAs present at the SEAT exercise stated that MEPB provides necessary support to MDAs in most areas indicated. Ministries of Health and Housing stated that MEPB does not provide sources of research and evidence when required, especially about cross-state issues including poverty and accessibility indices. Ministries of Education, and Local Government and Chieftaincy Affairs stated that MEPB does not provide information about national and state policy guidelines. The necessary building blocks for planning are beginning to take hold in central planning office. There is need to further build on these blocks with more institutional, organisational and human capacity development.

P&S 3: Research and Baseline Information used in Policy Definition

Context for the Key Feature

In order that strategies devised to achieve policy outcome targets are potentially effective, and make efficient use of resources, there is a need for these to be based upon baseline information and upon research into effective approaches.

There are two issues here. One concerns the quality of the information and of the research. The second concerns the extent to which it is used. Typically information databases are inaccurate because the methods of data collection (or the sources of information) are unreliable. For example data collected from primary schools may be distorted by staff so as to give the impression that they are teaching more children than they actually are with a view to obtaining more money from budgets.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
P&S 3	Research and Baseline Information Used in Policy Definition (Scoring Method M1)	C	C
(i)	What is the quality of baseline or research information available to MDAs?	C	B
(ii)	Has baseline information/research results been used to develop strategies?	C	C

Assessment of Current Performance Indicator Status

i) *What is the quality of baseline or research information available to MDAs?*

Score 2009	Score 2012	Minimum Requirements
A	A	At least 80 percent of MDAs have accurate and up-to-date baseline databases or research material available providing basic information and indicators about the service market, the services provided, and measures of impact.
B	B	At least 80 percent of MDAs have baseline databases or research information available which provide some basic information about the sector, but only for half of them (not less than 40 percent of MDAs) is this information accurate and up-to-date.
C	C	At least one MDA has an accurate and up-to-date information database or research information, and at least 30 percent of other MDAs either have databases that are not accurate and up-to-date or they are working on these.
D	D	No MDAs have accurate and up-to-date baseline databases or research information

At least 80 percent of MDAs stated have some baseline and research information which provide basic information about the sector for planning and decision making but the accuracy and reliability of the data and information in some MDAs are questionable. Education and health sectors have reliable baseline data and information because of the ongoing support of donors. Baseline assessments are conducted prior to the implementation of most projects in some MDAs for example MoH at the time of the SEAT exercise was conducting rapid assessments in Health Sector for malaria research, In-door residual spraying for malaria control programmes, research on Economic Survey for the computation of State Gross Domestic Product which involved 28 activity sectors in the State out of 33 GDP to conduct sectoral analysis; the 2010 and 2011 household survey; impact assessments of implementing poverty alleviation programmes, and literacy survey. MEPB through Bureau of Statistics collects data and statistics from the 20 LGAs and 37 LCDAs through regular interface with LG Budget Planning and Research department for collection of data within the LGs and LCDAs. All these data, surveys and research information have informed policy and strategy making.

ii) *Has baseline information/research results been used to develop strategies?*

There should be evidence (perhaps in some written record) that the results were used in reaching definitions of the resource allocations required to achieve results, and in the calculations of capital and recurrent budget allocations. (Evaluate only those MDAs that were judged in i) and ii) above to have adequate baseline and research information available.)

Score 2009	Score 2012	Minimum Requirements
A	A	At least 90 percent of the MDAs with this information can provide evidence that the results were used in defining policies and strategies.
B	B	At least 70 percent of the MDAs with this information can provide evidence that the results were used in defining policies and strategies.
C	C	At least 50 percent of the MDAs with this information can provide evidence that the results were used in defining policies and strategies.
D	D	Less than 50 percent of the MDAs with this information can provide evidence that the results were used in defining policies and strategies.

Baseline information and data are used in defining outcome and output targets. They however have not been linked to annual budgets although there are plans to link them through the first year of the MTSSs to the 2013 budget. For example during the Health planning process, the HRH baseline assessment was supported by PATHS-2 and this contributed to the development of the state specific HRH policy which is in its validation stage. The assessment also identified the need for the re-distribution of health workforce in the State and this has informed the HRH workforce analysis survey which would commence shortly within the state health facilities. ESSPIN supported private schools census which covered nursery, primary and secondary schools in the State. Also some research studies have been conducted to inform policy direction for example Rapid assessments such as Household surveys, and In-door residual spraying for malaria control programmes. Also research studies were commissioned to evaluate impact of various poverty alleviation programmes which informed subsequent policies and strategies on poverty alleviation.

The developments of Lagos State Economic Empowerment Development Strategy 2005-2007 (LASEEDS) and subsequent policy and strategy documents re-focused the State on the importance of baseline data and information to inform decision making and evidence based planning. The State has therefore continued to gather, analyse and store data and review information while using them for planning and decision making as and when required.

P&S 4: National or International Legislative and Regulatory Policies or Guidelines are Considered in Sector Strategies

Context for the Key Feature

Nigerian states are highly autonomous within a federal system. There are no federal stipulations on how the money devolved to them should be spent, and in many cases federal laws are interpreted in different ways in each state.

Federal guidelines take various forms, including legislation that seeks to clarify responsibilities which are outlined in the constitution. In some sectors, such as education, there are national outcome targets (in this case related to the EFA goals). In some sectors, however, no guidelines or national policies are provided.

From a technical perspective it makes sense for states to adhere to the principles of such national and international goals, applied in their own way according to their own means and circumstances. Policy outcomes and strategies should normally follow these guidelines.

In addition there is the potential for state MDAs to seek advice from their “parent” ministries in the Federal Government, from the National Planning Commission (NPC), from other central agencies such as the MDG office or the debt management unit, or from international agencies, if relevant. This advice ought to assist in the delivery of better public goods results.

National or international legislation or regulations are also critical factors in the policy process. In most policy environments one means of achieving progress towards a given target can be to improve or refine the relevant legislation or regulation. For example, simply changing the regulations with respect to what private pharmaceuticals suppliers may or may not provide in the way of medical advice can significantly enhance the capacity of the health sector to deliver, but at little or no cost to the tax-payer.

The first step here is for sector planners to ensure that they are aware of the current legislative and regulatory environment for the delivery of the public good for which they are responsible. The second is to consider, evaluate, and recommend (in strategic plan options documents) changes to the legislation or modifications to the regulation that would have a positive impact. Are these tasks being performed?

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
P&S 4	<i>National or International Legislative and Regulatory Policies or Guidelines are Considered in Sector Strategies (Scoring Method M2)</i>	A	A
(i)	Is legislative and regulatory reform being taken into consideration when making strategies?	B	B
(ii)	What is the extent of integration into state policy and strategy of policy guidelines provided at the national and/or international level	A	A
(iii)	What advice is sought and used by state MDAs of federal or international agencies?	A	A

Assessment of Current Performance Indicator Status

i) *Is legislative and regulatory reform being taken into consideration when making strategies?*

Score 2009	Score 2012	Minimum Requirements
A	A	At least 80 percent of MDAs are able to demonstrate that legislative or regulatory reform has been considered, and either included in the strategies developed for consideration, or else justifiably rejected as impractical or probably ineffective.
B	B	More than half the MDAs, are able to demonstrate that legislative or regulatory reform has been considered, and either included in the strategies developed for consideration, or else justifiably rejected as impractical or probably ineffective.
C	C	At least one of the MDAs, is able to demonstrate that legislative or regulatory reform has been considered, and either included in the strategies developed for consideration, or else justifiably rejected as impractical or probably ineffective.
D	D	No MDAs are able to demonstrate that legislative or regulatory reform has been considered when making sector strategies.

More than half the MDAs were able to demonstrate that legislative or regulatory reforms were considered and some included in the strategies developed. For example, in the State Government's desire to bring development closer to the people and include grass roots in governance, the State created 37 LCDAs in addition to the existing 20 LGAs provided for in Article 7 of 1999 Constitution and the Local Government Act 2004 which recognise only 20 LGAs in Lagos State. Also the State is migrating to performance based budgeting which is being piloted in 2012 budget as part of the budgeting and financial management reforms going on in the country.

ii) *What is the extent of integration into state policy and strategy of policy guidelines provided at the national and/or international levels?*

NOTE: For this dimension the assessment should be carried out against only those Ministries or MDAs for which there are known to exist some national policy guidelines.

However, if there is general doubt about whether national guidelines exist for certain MDAs or not, then the dimension score “D” should be awarded.

Score 2009	Score 2012	Minimum Requirements
A	A	All MDAs, for which national and/or international policy guidelines exist, are able to demonstrate how these have been incorporated in their own policies and strategies, or else they are able to explain the justification for them not being followed.
B	B	More than half the MDAs, for which national and/or international policy guidelines exist, are able to demonstrate how these have been incorporated in their own policies and strategies, or else they are able to explain the justification for them not being followed.
C	C	At least one of the MDAs, for which national and/or international policy guidelines exist, are able to demonstrate how these have been incorporated in their own policies and strategies, or else they are able to explain the justification for them not being followed.
D	D	No MDAs are able to demonstrate how national and/or international policy guidelines have been incorporated in their own policies and strategies.

MDAs were able to demonstrate that existing national and/or international policy guidelines were incorporated in their sector policies and strategies. For example, international policies such as MDGs 2015, Education for All 2015, policies by World Health Organisation (WHO) all guide State planning. At the regional level, the NEPAD policies; and at the national level, various Federal policies were adapted and adopted such as SUBEB Law 2007, Procurement Law 2011 to take effect in April 2012, Child’s Right Law 2007, laws against domestic abuse, and HIV/AIDs Anti-Discrimination Law 2007. Some relevant national regulations that guide state development plans are National Vision 20:2020 Guidelines, National Strategic Health Development plans, National Health Account, Agriculture Research System, and Low land Development Project (FADAMA).

Also the State is guided by the national guidelines of allocations of 25 percent and 15 percent of total budget to Education and Health sectors respectively. The result is that the State substantially increased its education budget for 2012 such that education enjoys the highest allocation.

An example of Lagos State disagreeing with a national guideline is where a national guideline/policy seeks to reverse the current 6:3:3:4 education system to the old 6:6:4 system was challenged by Lagos State. This is because Lagos State has made substantial investments in the 6:3:3:4 system and also desires to institute entrance exams into Junior Secondary school (JS1) to improve quality of students who go into junior secondary schools instead of the continuous assessment policy of the Federal government.

iii) What advice is sought and used by state MDAs of federal or international agencies?

Include in this part of the assessment all the MDAs represented, including central MDAs such as the Ministry of Finance. Ask each MDA to rate the number of times during the past year in which they sought advice from any federal agency, including their “parent” ministry, as follows: Not at all, between once and three times, or more than three times. Also, what proportion of these occasions did the advice they received satisfy their needs?

Score 2009	Score 2012	Minimum Requirements
A	A	The average number of requests to federal or international agencies made by MDAs across the state government exceeded 3 during the past year, and at least 80 percent of these requests resulted in adequate responses.
B	B	The average number of requests to federal agencies or international agencies made by MDAs across the state government, exceeded 3 during the past year, but less than 80 percent but more than 20 percent of responses were adequate.
C	C	The average number of requests to federal agencies or international agencies made by MDAs across the state government was at least 1, but less than 3, and the responses were adequate in at least 20 percent of cases.
D	D	The average number of requests made to federal agencies or international agencies by MDAs across the state government was less than 1.

The State was able to show evidence that over four requests were made to Federal “parent” MDAs in the previous year for example the Lagos State Bureau of Statistics (LBS) requested support from the National Bureau of Statistics (NBS) in 2011 when LBS for the first time computed its State GDP using data from primary sources for the first time. This support from the NBS was for: i) the development of questionnaire to ensure common methodology, and ii) ensuring buy-in by the NBS.

Ministry of Local Government and Chieftaincy Affairs sought assistance from the National Boundary Commission and Office of the Surveyor General of Federation on the resolution of boundary issues involving three states. The State Ministry of Finance and Debt Office collaborated with the Federal Government Debt Office and the Nigeria Stock Exchange on the State’s internal bonds issuance and external borrowings. The MDAs present were able to show that there is a very strong two-way flow of communication between the State and Federal MDAs. Furthermore, some of the Federal MDAs have understudied Lagos State MDAs on some development matters. Lagos State has been satisfied with the support given by the Federal parent MDAs as and when sought.

P&S 5: Strategies Take Account of the Potential Actions of other Key Actors

Context for the Key Feature

Most state sectors need to consider the coordination of their strategies with other key actors, especially federal and local government, as well as the private sector or non-governmental organisations that provide services.

This is especially true of some sectors such as education. It does not make much sense to develop secondary and tertiary education without ensuring that the basic sector is functioning properly, but basic education is the responsibility of local government and the SUBEBs. For example the levels of attendance and the quality of basic education will determine the potential for transition to secondary. Also the federal levels of activity in tertiary and teacher-training need to be compared with the demands on the secondary sector and the need for teachers at all levels. Similarly if the private sector is contributing a large proportion of school places, it may be reasonable to suppose that they will continue to do so (but that they need to be regulated).

Unfortunately many MDAs do not take these inter-partner or inter-governmental considerations into account when making plans and strategies.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
P&S 5	<i>Strategies Take Account of the Potential Actions of Other Key Actors (Scoring Method M1)</i>	B	C
(i)	Are sector strategies adequately coordinated with other key actors and levels of government?	B	C

Assessment of Current Performance Indicator Status

- i) *Are sector strategies adequately coordinated with other key actors and levels of government?*

NOTE: That in order to receive a positive assessment, a given MDA must have included relevant sections in a planning or strategy document which not only list the relevant activities of other partners, but explain why and demonstrate how inter-partner co-ordination has been arrived at. It should include a section that refers to the means through which agreement with these partners of a division of responsibilities was reached as necessary.

Score 2009	Score 2012	Minimum Requirements
A	A	At least 80 percent of MDAs are able to demonstrate that coordination with other partners, especially local government, has been considered and incorporated in sector plans.
B	B	More than half the MDAs, are able to demonstrate that coordination with other partners, especially local government, has been considered and incorporated in sector plans.
C	C	At least one of the MDAs, is able to demonstrate that coordination with other partners, especially local government, has been considered and incorporated in sector plans.
D	D	No MDAs are able to demonstrate that coordination with other partners, especially local government, has been considered and incorporated in sector plans.

Participants stated that cross-cutting issues and programmes identified through inter-organisations (including LGAs) cooperation and collaborations were incorporated in the draft SDP, MTSSs and the annual budget.

The need to involve LG planners in the MTSS development process was recognised so SAVI trained five LGAs and the balance of 15 LGAs have since been trained and introduced to the process. Nonetheless, the LGA planners were not directly involved in the development of the draft SDP and are not likely to be involved in the development of the remaining 15 MTSSs although all departments in LGs work closely with their counterparts at the State level.

MoAC assigns LGAs with specific roles in the identification of agriculture policies and strategies, and the Chairmen of LGAs also act as chairmen of FADAMA meetings which also

agree on policies, strategies and plans at LG level. Also some MDAs cooperated and collaborated with development partners in the development of sector strategic plans for example ESSPIN supported the development of Education sector medium term plans and PATHS 2 supported the development of the Health MTSS. Going forward, a more joined up approach (involving many partners including donors) will be used for planning, and monitoring projects and evaluating programmes and results will be included in the annual Performance Management Reports which will be circulated.

At Validation: The score was changed from A to C because LGA planning officers were not directly involved in the development of the draft SDP and MTSSs.

P&S 6: Sector Strategies are Consistent with the Human and Organisational Capacity to Implement Them.

Context for the Key Feature

Evidence and experience indicates that state policies and strategies are not commonly checked for their suitability for implementation by the civil service agents and organisations that are currently in place. Is the public service, “fit-for-purpose”? Does it have the necessary staff, organisations, procedures, systems and motivations required to implement the strategic options?

For example, if waste management services are to be contracted out, the capabilities needed of the relevant government agency will change from engineering (previously required to implement the service) to contract monitoring and enforcement. How will this change be achieved? Does the strategy need to be modified until a solution to these constraints can be found? Is there allowance for a development or recruitment strategy that will help to provide the capacity required?

In order to reveal an answer to the questions about existing suitability, it will be necessary to map out the key activities that are implied by the strategy being developed, and compare these with knowledge about what the relevant MDAs are capable of. It is not necessary at this stage however to go through a detailed action planning exercise. This can come later when it is time to operationalise the sector plan.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
P&S 6	<i>Sector Strategies are Consistent with the Human and Organisational capacity to Implement Them (Scoring Method M1)</i>	C	B
(i)	Has the capacity of each MDA sector strategy been assessed for its ability to deliver the proposed strategies, projects and programmes, and has it been found to be adequate?	C	B

Assessment of Current Performance Indicator Status

- i) *Has the capacity of each MDA sector strategy been assessed for its ability to deliver the proposed strategies, projects and programmes, and has it been found to be adequate?*

NOTE: That some sector MDAs may include plans to improve their capacity to implement the projects and programmes in their strategies. It does not mean necessarily that capacity

has been built, but that strategic plans are made in such a way as they are implementable. A positive assessment result (that capacity is present) should be backed up by evidence that projects and programmes have been successfully implemented in the recent past.

Score 2009	Score 2012	Minimum Requirements
A	A	At least 80 percent of MDAs are able to demonstrate that rigorous assessments of their capacity to deliver the projects and/or programmes have been undertaken, and that they have made plans that match the current required capacity.
B	B	At least 50 – 80% of MDAs are able to demonstrate that rigorous assessments of their capacity to deliver the projects and/or programmes have been undertaken, and that these have made plans that match the current capacity OR will require only limited enhancements to capacity (through training / recruitment).
C	C	At least 20 – 50% of MDAs are able to demonstrate that rigorous assessments of their capacity to deliver the projects and/or programmes have been undertaken, and it has a plan but that that matches the current capacity OR will require enhancements to capacity (through training / recruitment)
D	D	No MDAs are able to demonstrate that a rigorous assessment of their capacity to deliver the projects and programmes planned has been undertaken.

Institutional, organisational and human capacities were assessed and reviewed as part of the corporate plans developed for the following two pilot organisations in 2011: i) MEPB, and ii) Office of the Head of Civil Service. Training programmes and plans to fill the skill gaps will be developed. Spreading development of MTSSs across government brought to the forefront capacity gaps which informed creation of Economic Intelligence Unit (EIU) as the research unit of the Planning department in MEPB as well as state wide Planning units in MDAs; further “assessment” of human resources capacity after the first year of reform resulted in the restructuring of Planning Units which are now under the supervision of senior employees at directorate level. Also the institutional, organisational and human capacities in MEPB were developed so that MEPB can spread the development of MTSSs across government and monitor progress of projects and programmes.

The Budget Planning Research and Statistic department officers of LGAs and LCDAs have been trained on the MTEF 2 process and data collection.

P&S 7: The Views and Opinions of the Customers Using Sector Services have been Sought and Integrated into Policies and Strategies.

Context for the Key Feature

Participation in policy making is a potential means for achieving policy responsiveness – by including all interests and underprivileged groups in the consultation process.

Some efforts have been made recently in some states, for example through the SEEDS document compilation exercises, to involve the public in identifying the broad-brush elements of a state agenda. But few, if any, of these efforts have resulted in new policies that have materialised as plans, budgets or (especially) implemented programmes. Moreover the techniques for consultation used have rarely managed to achieve anything more than participation by the more powerful, not the less privileged, members of society.

The purpose of this domain is to determine not just whether some consultation has happened, but also whether there is evidence of this having led to specific instances where sector strategies have been influenced so that they have a specific positive impact on the disadvantaged, including those normally excluded from the benefits of state services.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
P&S 7	<i>The Views and Opinions of the Customers Using Sector Services Have Been Sought and Integrated into Policies and Strategies (Scoring Method M1)</i>	B	C
(i)	For the consultations undertaken, were specific techniques used in an effort to ensure that the voices of underprivileged or disadvantaged groups were heard?	B	C
(ii)	Based upon the consultations made, is there evidence that MDA strategies have been modified in order to have a positive impact upon underprivileged or disadvantaged groups?	B	C

Assessment of Current Performance Indicator Status

- i) *For the consultations undertaken, were specific techniques used in an effort to ensure that the voices of underprivileged or disadvantaged groups (such as women, rural dwellers and children, landless, the handicapped, those with HIV/AIDS and others) were heard?*

Techniques normally involve making separate consultations with these groups, held without the presence of more powerful and influential members of the community being present.

Score 2009	Score 2012	Minimum Requirements
A	A	There is evidence of such techniques being used last year or this year (evidence would include records of the differing views of such groups) in at least 80 percent of MDAs.
B	B	There is evidence of such techniques being used last year or this year in at least 50 percent of MDAs.
C	C	There is evidence of such techniques being used last year or this year in at least one MDA.
D	D	There is no evidence of such consultations being made last year or this year.

Participants stated that specific techniques were and are being used to ensure that voices of the underprivileged are heard and some of their opinions used in policy making. Examples include the instance when the Governor forwarded to MEPB an email from a female student reporting lack of toilets in her school; the email resulted in a survey conducted by EIU and from the survey report Ministry of Women Affairs and Poverty Alleviation (WAPA) and MOE ensured that toilets are in all public schools. The Governor and Commissioners conduct regular town hall meetings, one of which resulted in a state policy which opened up all gates

on link roads and streets to ease traffic. The State hosts annual stakeholders' forum on budget preparation which affords a wide cross section of stakeholders to voice their opinions. Also legislators host Family meetings as part of its constituent's feedback mechanism. Special Persons Bill has been signed into Law in the State.

At validation: Although the LaSG consults widely, there were no consultations targeted at the vulnerable and/or socially excluded citizens prior to the development of the draft SDP and MTSSs, therefore their views have not been captured in the MTSS and plans. The score was changed from B to C.

- ii) *Based upon the consultations made, is there evidence that MDA strategies have been modified in order to have a positive impact upon underprivileged or disadvantaged groups (such as women and children, rural dwellers, the landless, the handicapped, those with HIV/AIDS and others)?*

It should be possible to site the specific instances in which changes to strategy have resulted from these consultations.

Score 2009	Score 2012	Minimum Requirements
A	A	There is evidence of such changes in strategy having been made in at least 80 percent of MDAs at some time during the past three years.
B	B	There is evidence of such changes in strategy having been made in at least 50 percent of MDAs at some time during the past three years.
C	C	There is evidence of such changes in strategy having been made in at least one MDA at some time during the past three years.
D	D	There is no evidence of such changes made in any MDA during the past three years.

Yes as stated in the first paragraph of Key Feature 7, Indicator1 above. Also consultations with the Ewuelepe group in Ikorodu LG resulted in the repair and construction of roads to reduce travel time; and schools to increase school population for the community. Lagos State AIDS Control Agency (LSACA) consults with People Living with HIV/AIDs (PLWH) to develop and sometimes resulted in changes to strategies.

However, Lagos State Government continues to implement policies and strategies for the benefit of the disadvantaged groups such as construction of kerbs on new roads for disadvantaged pedestrians use, ramps next to steps at key locations in the Lagos State secretariat and ensuring that offices of those physically challenged are on the ground floor.

At validation: Consultations were not targeted at gender, underprivileged and disadvantaged groups. The score was downgraded from a B to a C.

P&S 8: The Government has signed up to a Public Commitment to Deliver Policy Results that have been shown to be Feasible

Context for the Key Feature

If a measure of agreement in principle can be achieved between technical administrators and the political leadership with respect to a policy in a given sector, there is then an opportunity to solicit broad-based public support for the measure. (Naturally this will be easier if appropriate consultations were conducted in the first place.) This may be obtained through:

- Publicity surrounding the policy proposals, advertised as a commitment by politicians; and
- Signature to a public charter establishing the means of assessing the government's performance against this public commitment.

The first bullet point involves a government side commitment to publicising elements of the policy.

Through the SERVICOM initiative the second of these is now a real possibility in Nigeria. Once realistic policies are politically agreed, efforts should be made to establish a Servicom-type agreement with the public.

NOTE: state governments already spend quite a lot of money publicising some key policy commitments. However, in most cases these policies *have not been fully scrutinised for their financial and technical feasibility, or for the capacity of the government service to implement them*. Therefore the public statements effectively commit the government to delivering something which almost certainly cannot be achieved.

The assessment in this section may only be applied to those policies which have been rigorously scrutinised through a competent strategic planning exercise to establish whether they can be implemented. If this condition is not met (in order to meet this condition the sector strategy developed to support achievement of the policy should score well against all the other Policy and Strategy sections in this instrument) then any publicity or public commitment that has been made against them should be considered to be misleading and therefore score a "D" in the dimension scores below.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
P&S 8	<i>The Government has Signed up to a Public Commitment to Deliver Policy Results that have been shown to be Feasible (Scoring Method M2)</i>	C	C+
(i)	What is the quality of the publicity issued for policies, the strategies for which have been rigorously assessed?	B	A
(ii)	Have agreements or contracts been signed between the government and an independent accreditation organisation, such as SERVICOM, which expresses a commitment of the service to be delivered, and which provides an independent and publishable assessment of whether or not the agreement has been met?	D	D

Assessment of Current Performance Indicator Status

- i) *What is the quality of the publicity issued for policies, the strategies for which have been rigorously assessed?*

For this indicator, if there is more than one MDA that has policies based on rigorously assessed strategies; take an average of the performance across these sectors.

Score 2009	Score 2012	Minimum Requirements
A	A	A wide range of media has been used (each of the following methods must have been used) including internet, speeches by the Governor, radio and TV, as well as written statements circulated to independent civil society bodies, and the statements of policy targets. Also the publicity programme must have been generally continuous for a period of not less than six months since the policy was agreed by the Executive Council.
B	B	A wide range of media has been used, including at least three, though not all of the methods listed above, and the policy targets are unequivocally made in this publicity.
C	C	At least two of the methods listed above have been used to publicise the policy targets.
D	D	No publicity of the policy targets has been attempted.

The State Government used the following methods to regularly publicise some of its policies and strategies: internet, speeches by the Governor and Commissioners, radio and TV programmes, written statements circulated to independent civil society bodies, emails, short messaging system (sms) and social networks. In addition, the State among several other ways, has also publicised its policies through annual Ministerial press briefings where MDAs performances (achievements and non-achievements) are presented to the public together with governments policy intentions going forward; other press briefings, new Tenancy Law was discussed on electronic, print media and at town hall meetings by the Commissioner, Ministry of Justice. The Law was summarised, translated to and published in several languages to ensure usefulness to citizens. The State hosts public seminars on policy and strategy issues such as mortgage financing. Also policies are discussed and advertised on electronic and print media such as the proposed policy that seeks to ban motor bike public transport (Okadas) and the alternatives. Also the Governor and senior members of staff use short messaging service (sms), social network (facebook and twitter) and emails to disseminate government policies and strategies.

- ii) *Have agreements or contracts been signed between the government and an independent accreditation organisation, such as SERVICOM, which expresses a commitment of the service to be delivered, and which provides an independent and publishable assessment of whether or not the agreement has been met?*

Score 2009	Score 2012	Minimum Requirements
A	A	Such agreements have been signed for at least 80 percent of MDAs
B	B	Such agreements have been signed for at least 50 percent of MDAs.
C	C	Such an agreement has been signed for at least one MDA.
D	D	No such agreements have been signed by the State Government.

No formal contracts or agreements was signed between the government and citizens or between the government and an independent accreditation organisation which expresses a commitment of the service to be delivered and which provides an independent and publishable assessment of whether or not the agreement had been met. However, the Lands Bureau published and pasted its commitment to the public to issue Certificate of Occupancy (CofO) to land within 30 days (down from over six months) provided application is supported by all necessary documentation and necessary fees and rates paid. All fees and rates

payable to the State for the CofO are published and pasted in conspicuous places in Land Bureau.

3 Assessment of Information Management and M&E

3.1 Overview of Current Situation

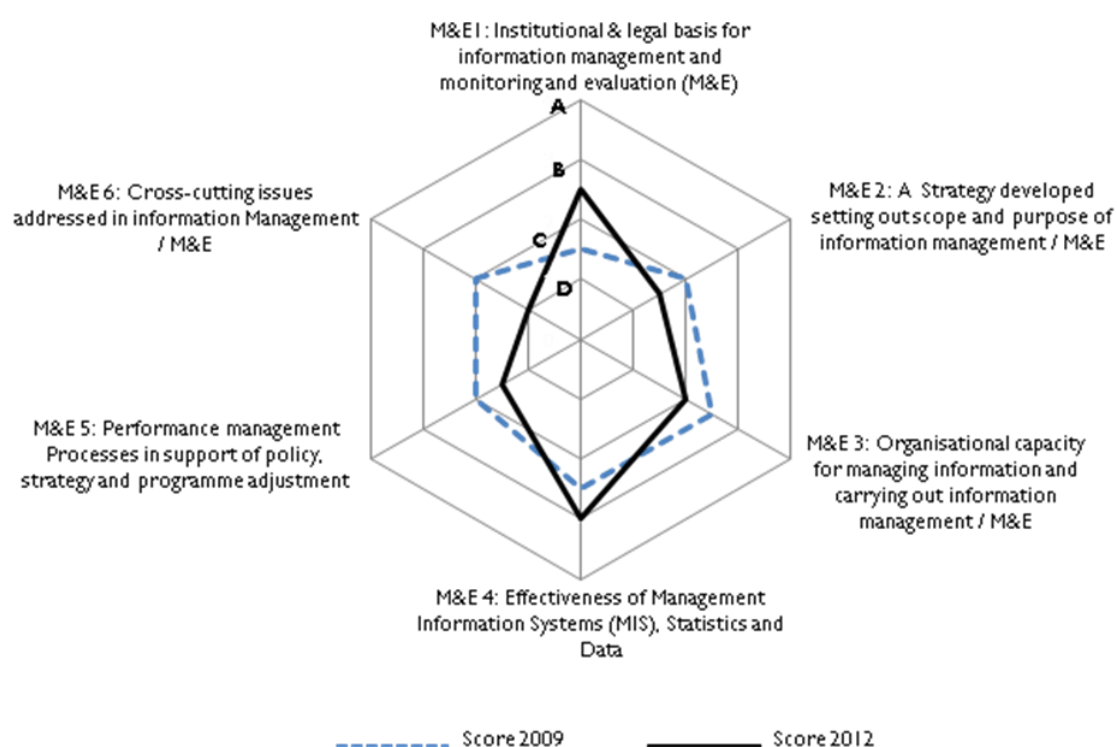
Whilst Government regulations issued in 1995 include provision for MDAs to establish Departments of PRS and the mandate for MDAs to carry out M&E are provided for in the Ministerial Responsibilities, in practice M&E mandates are general in nature, not defined in detail and have a limited focus on results or outcome monitoring. Regulations relating to capital project M&E and budget monitoring are however generally clear.

Organizational reforms have taken place within LSG in order to strengthen Information Management and M&E in the State through: a) developing the Central office of Statistics (within MoEPB) into a State Bureau of Statistics, b) developing the MoEPB Central Project Coordinating Department into an M&E unit with a broader mandate and c) appointment of Special Adviser for Performance Assessment within the office of the Governor.

In order to strengthen the service delivery capability of MDAs, Executive orders were issued for MDAs to establish planning units during 2010 with functions covering planning, M&E and statistics. Subsequently, the M&E department within MoEPB provided extensive guidance and training to these departments to help them establish M&E systems - particularly within the “functional groups” of Health, Education and Environment. All MDAs have implemented data collection systems and MDAs now regularly report statistics to MoEPB against agreed KPIs.

These Planning Units have M&E Sections, but the extent to which these they have clearly defined roles and responsibilities tends to vary across MDAs and there is need to more fully institutionalize M&E functions within Planning Units and to provide professional M&E staff. MoEPB has provided some initial training to these M&E Sections and has provided guidelines but recognizes that further capacity development of these units is required.

Chart 2: 2009 and 2012 Situation of Monitoring and Evaluation in Lagos State



No formal cross-government M&E strategy exists. However, elements of such a strategy exist in a number of separate documents. For example, the draft State Development Plan contains an M&E framework which details the overall responsibilities of MDAs. In addition, the approved MTSS Manual incorporates a focus on indicator selection, target setting and sector M&E. Furthermore, detailed guidelines for preparing Performance Management Reports (PMR) within MDAs have been prepared and issued to all MDAs. Finally, a draft Statistical Master Plan has been prepared and submitted to ExCo in 2009; however this has not yet been approved. Despite the fact that no state level strategy exists, these frameworks contain a clear focus on goals, outcomes and targets.

The extent to which internal and external clients have been completely identified and the full range of their M&E information needs understood varies between MDAs. There are some good individual examples of where M&E information clearly satisfies identified information needs, but generally this is still under developed in the state.

The overall assessment by MoEPB is that the majority of these information needs relate to monitoring of outputs - the information needs of clients related to outcome tracking has not been fully identified, although the introduction of performance management reporting process is beginning to change this in some sectors. In general, MDAs appear to have the data needed to satisfy information needs and are responsive to requests. They are less effective at proactively understanding the information needs of different audiences.

There are some examples of where IM/M&E operational guidelines have been developed, but these tend to focus on specific areas and there are no examples of comprehensive guidelines having been developed within an MDA. Guidelines that are being used have tended to be developed by a central MDA and disseminated to sector MDAs. For example, MoBEP has prepared and distributed Performance Management Reporting (PMR) guidelines and the State Bureau of Statistics have developed and distributed Statistics Minimum Standards. In addition, there are comprehensive guidelines covering capital project monitoring.

Most MDAs report that they have a sufficient number of staff for M&E; however, these staff are often not used effectively and are completely unclear on their roles and responsibilities. The main challenge is that staff with M&E responsibilities are often planners or statisticians posted into these roles and are not M&E specialists. Consequently, whilst many have a good working knowledge of M&E, they do not fully understand many M&E concepts and approaches. A related challenge is the lack of institutionalization of M&E staff within Planning Units – if demand for, and commitment to, M&E was greater within MDAs there would consequently be greater demand for appropriately trained and skilled staff in M&E Sections.

Generally, Management Information Systems (MIS) have been effectively implemented across more than half of MDAs in the state (in particular, Health and Education). There is a good and increasing range of statistics held within relevant databases in the State Bureau of Statistics. There is recognition of the need to make this data more easily available (e.g. through Government websites) and in a format more easily accessible for researchers (e.g. in a spreadsheet).

Generally, there is a good degree of confidence in the data produced by most MDAs. Validation and verification processes have been established by the Bureau of Statistics as part of quality assuring data submitted by MDAs. The State Bureau of Statistics carries out a number of surveys in the state on a regular basis (e.g. household survey, transport survey).

During 2010, MoEPB led the development of Performance Management Report (PMR) guidelines and has subsequently supported the development of PMR processes in response within the Education, Health and Environment sectors/functional groups. Each of these three sectors/functional groups have prepared PMRs in response. The preparation of these PMRs is linked to MTSS implementation in these sectors and are results focused. However, there is scope for improving the results chain focus of these PMRs. As plans to introduce MTSSs within the remaining six sectors/functional groups are implemented, PMR processes will also be rolled out in these sectors/functional groups.

Within the three sectors/functional groups having implemented PMR processes, the concept of using PMR to support adjustment of MTSSs is now understood as a result of training provided by MoEPB. In addition, the strategy of using PMR processes to adjust MTSSs has been included within the draft State Development Plan (SDP). However, this process has not yet been fully institutionalized. It is expected that this will be achieved in 2013 once the SDP has been published and MTSS processes have become fully developed within these sectors/functional groups. Generally, there are concerns that MDAs still do not sufficiently understand results chains and this may undermine the results-orientation of the MTSS adjustment process.

In general, cross-cutting issues are not captured that comprehensively in M&E/IM systems across MDAs. Specific cross-cutting issues which are captured vary between MDAs and depend of the mandate of the MDA. All surveys conducted in the state are designed to ensure data can be gender disaggregated where appropriate. In addition, most survey data can be disaggregated by LCDA (Local Council Development Area).

3.2 Key Feature and Indicator Scores

M&E 1: Institutional and Legal basis for Information Management and M&E

Context for the Key Feature

Information Management and Monitoring and evaluation systems are an essential part of state accountability mechanisms and can support policy development, strategic planning and program implementation within state Ministries, Departments or Agencies (MDAs). State government can guide and influence the development of Information Management / M&E systems in MDAs by formulating and enforcing effective legislative and regulatory frameworks. These frameworks, together with accountability mechanisms, provide the basis for MDAs to put in place organizational arrangements for providing information for planning, reporting on progress and measuring performance (results, outcomes and impact).

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
M&E 1	<i>Institutional & legal basis for information management and monitoring and evaluation (M&E) (Scoring Method M2)</i>	D+	C+
(i)	Clarity of legislation and regulations in respect of information management & M&E	C	C
(ii)	Effectiveness of organizational response in MDA to legislation and regulations in respect of M&E	D	B

Assessment of Current Performance Indicator Status

i) *The clarity of any legislation and regulations in respect of Information Management and M&E*

State government should have in place legislative and regulatory frameworks which include cross-government and sector specific information management and monitoring and reporting requirements in terms of: internal accountability (e.g. organizational units reporting on progress against plans and targets) and evaluating performance (e.g. impact of strategies and programs in achieving policy goals), and: external accountability (e.g. reporting to state parliament on individual sectors).

Score 2009	Score 2012	Minimum Requirements
A	A	Legislation and regulations clearly detail M&E requirements for more than 90% of MDAs.
B	B	State legislation and regulations highlight the need for M&E within 50%-90% of MDAs but the level of detail is somewhat limited.
C	C	State legislation and regulations contain very limited references to M&E requirements for 20% to 50% of MDAs.
D	D	Little or no legislation and regulations exist for M&E requirements within the state.

Overall Government regulations issued in 1995 include provision for MDAs to establish Departments of PRS. In addition, the mandate for MDAs to carry out M&E, are provided for in the Ministerial Responsibilities. However, M&E mandates are general in nature, not defined in detail and have a limited focus on results or outcome monitoring.

However, clearer regulations exist relating to M&E of capital projects, covering a number of organizations including the M&E unit within the Governor's office and MoEPB. In addition, provision for budget monitoring is included in the financial regulations.

An overarching challenge for developing clear and detailed legislation and regulations is that understanding of M&E is not the same amongst all officials and is largely based around the need for project monitoring.

ii) *Effectiveness of organizational response in MDA to legislation and regulatory frameworks in respect of M&E*

Individual MDAs should ideally have responded to any state legislative and regulatory frameworks related to information management or M&E through implementing appropriate organizational arrangements including roles, responsibilities and processes.

Score 2009	Score 2012	Minimum Requirements
A	A	Around 90% of MDAs have effectively implemented organizational arrangements in response, consistent with these frameworks.
B	B	50%-90% MDAs have implemented organizational arrangements in response, though consistency varies due to lack of detailed guidance.
C	C	Only 20% to 50% of MDAs have organized their response to legislative frameworks, and any organizational arrangements that exist within MDAs have been implemented with little or no reference to these frameworks.
D	D	Little or no organizational arrangements exist within MDAs and these have been implemented in isolation from these frameworks.

In order to strengthen the service delivery capability of MDAs, Executive orders were issued for MDAs to establish planning units. The OHoS issued a circular to MDAs requiring them to establish such a planning unit with functions covering planning, M&E and statistics.

The M&E department within MoEPB has provided extensive guidance and training to MDA departments of planning to help them establish M&E systems and performance review, particularly within the “functional groups” of Health, Education and Environment.

All MDAs have implemented data collection systems and MDAs now regularly report statistics to MoEPB against agreed KPIs.

Organizational reforms have taken place within LSG in order to strengthen Information Management and M&E in the State through: a) developing the Central office of Statistics (within MoEPB) into a State Bureau of Statistics, b) developing the MoEPB Central Project Coordinating Department into an M&E unit with a broader mandate and c) appointment of Special Adviser for Performance Assessment within the office of the Governor.

M&E 2: A Strategy Developed Setting out Scope and Purpose of Information Management / M&E

Context for the Key Feature

In order for MDAs to design, plan and implement effective Information Management / M&E systems across the state in a coordinated and consistent way, it is important that State Government defines its policy for information management / M&E and prepares an appropriate strategy document which provides the basis for individual MDAs to plan and implement their own information management / M&E systems.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
M&E 2	<i>A Strategy developed setting out scope and purpose of information management / M&E (Scoring Method M2)</i>	C	D+
(i)	Availability of a state-wide strategy or policy document on information management / M&E and extent of its implementation by MDAs	C	C
(ii)	Extent to which the state strategy for M&E includes clear requirements for MDAs to ensure a sufficient focus on Goals, Outcomes and Targets within their information management / M&E systems	C	D
(iii)	Extent to which individual MDAs have in place medium-term strategies for the development of information management / M&E systems	C	C

Assessment of Current Performance Indicator Status

- i) *Availability of a state-wide strategy or policy document on information management / M&E and extent of its implementation by MDAs.*

State governments should have in place a relevant state-level strategy or policy document on information management / M&E for MDAs which sets out the scope and purpose of M&E. The strategy should include medium-term goals, objectives and targets related to the implementation of information management / M&E systems.

Score 2009	Score 2012	Minimum Requirements
A	A	The state has prepared a comprehensive Information Management / M&E strategy for MDAs, and over 90% of MDAs have made use of this in developing and implementing their Information Management / M&E systems.
B	B	The state has prepared a satisfactory Information Management M&E strategy for MDAs, and around 50% - 90% of MDAs have made use of this in developing and implementing their Information Management / M&E systems.
C	C	A state-level strategy for M&E exists, but is implemented to a very limited extent and covers 20% to 50% of MDAs.
D	D	No state-level strategy for Information Management / M&E exists and any M&E implementation developed internally by the MDA

No formal cross-government M&E strategy exists. However, elements of such a strategy exist in a number of separate documents. For example, the draft State Development Plan contains an M&E framework which details the overall responsibilities of MDAs. In addition, the approved MTSS Manual incorporates a focus on indicator selection, target setting and sector M&E. Furthermore, detailed guidelines for preparing Performance Management Reports (PMR) within MDAs have been prepared and issued to all MDAs. Finally, a draft Statistical Master Plan has been prepared and submitted to ExCo in 2009; however this has not yet been approved.

- ii) *Extent to which the state strategy for M&E includes clear requirements for MDAs to ensure a sufficient focus on Goals, Outcomes and Targets within their information management / M&E systems*

An appropriate strategy for information management / M&E should include requirements for MDAs to focus on monitoring the attainment of goals for their respective sectors, on the outcomes of implementation and on whether results have been achieved in line with those planned (rather than being limited to data gathering and reporting on activities and on general progress with implementation or on using this information for supervision of staff).

Score 2009	Score 2012	Minimum Requirements
A	A	The strategy document shows evidence of a clear focus on defining goals for each sector, in specifying measurement of outcomes and on the importance of target setting.
B	B	The strategy document shows some evidence of defining goals for each sector, refers to measurement of outcomes. Some reference to target setting is given.
C	C	The strategy document shows little evidence of defining goals for each sector, and basically refers to progress reporting on activities. There is very little reference or importance given to target setting.
D	D	The state-level strategy either does not exist, or shows no evidence of addressing the need for identifying goals, outcomes or targets.

Despite the fact that no state level strategy exists, the frameworks identified in the previous indicator (draft State Development Plan, MTSS Manual and Performance Management Reporting Guidelines) contain a clear focus on goals, outcomes and targets.

- iii) *Extent to which individual MDAs have in place medium-term strategies for the development of information management / M&E systems*

Each MDA with a responsibility for information management / M&E should have in place a comprehensive strategy for the ongoing development of these systems. This strategy should ideally be part of the overall MDA medium-term sector strategy (MTSS) and form part of the MTSS performance management framework. It is also possible that an MDA may have in place a “standalone” information management / M&E strategy that links to any medium-term plans within the sector. These MDA information management / M&E strategies should be consistent with the overall state M&E strategy and include medium-term outcomes and targets which and cover organizational capacity development, technical systems development and provision of information “products” in support of identified internal and external users and processes. The strategy should detail responsibilities for programs and identify cross MDA cooperation where appropriate.

Score 2009	Score 2012	Minimum Requirements
A	A	A medium-term strategy has been prepared for information management / M&E systems in over 90% of MDAs
B	B	A medium-term strategy has been prepared for information management / M&E systems in 50% to 90% of MDAs
C	C	A medium-term strategy has been prepared for information management / M&E systems in 20% to 50% of MDAs
D	D	A medium-term strategy has been prepared for information management / M&E systems in less than 20% of MDAs or not planned at all.

10 out of 24 sectors now have MTSSs that include results frameworks and the M&E arrangements for measuring them. Some sectors (e.g. Health) have incorporated goals, objectives and strategies for strengthening M&E. These M&E arrangements are consistent with PMR guidelines and the overall M&E strategy documented within the draft State Development Plan.

M&E 3: Organizational Capacity for Managing Information and Carrying Out Information Management / M&E

Context for the Key Feature

The organizational capacity of MDAs to effectively implement and carry out Information Management / M&E functions and processes is dependent on a number of factors. M&E functions and processes can be focused within a specialist organizational unit and/or distributed throughout a number of units. The organization should be able to identify internal and external clients or users of M&E information, the processes this information is intended to support and the unit which is responsible for supporting them.

Clear mandates must exist for these units together with a specification of their roles and responsibilities, consistent with identified users and processes to be supported. There must be effective leadership of M&E systems and staffing and resourcing should be sufficient to implement them. The skill mix of staff should reflect the different technical requirements of various M&E functions and processes.

There are also a number of internal management processes which are important but which are beyond the scope of this assessment to address, including the effectiveness of: a) infrastructure, equipment and technology, b) human resource management, c) financial management and d) organizational learning.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
M&E 3	<i>Organisational capacity for managing information and carrying out information management / M&E (Scoring Method M2)</i>	C+	C
(i)	Extent to which internal M&E Clients / information users (i.e. within the MDA) are identified	B	C
(ii)	Extent to which external (to MDA) clients / information users are identified	A	C
(iii)	Clarity of roles and responsibilities of staff in MDAs relating to information management / M&E	C	C
(iv)	Comprehensiveness of operational guidelines on information management / M&E processes	C	D
(v)	The appropriateness of staffing levels and skills mix in MDA re: M&E roles and responsibilities	C	D

Assessment of Current Performance Indicator Status

- i) *Extent to which INTERNAL M&E clients / information users (i.e. within the MDA) are identified.*

For example, there are a number of potential users and processes which require M&E information generated by MDAs, (e.g. Minister, Director Generals, Annual Performance Reviews), and extent to which there is a clear understanding of their information needs, including types and format of information they require (analytical reports, statistics) and the timing and frequency with which they are required (monthly, annually).

NOTE: There may be a difference in the way information is shared / made available internally between say 'Sector MDAs' e.g. Ministry of Health and 'Apex MDAs', e.g. planning and budget Ministries. Participants will need to agree at the workshop, whether this question can be answered for ALL MDAs or whether say two categories of MDAs need to be considered, each to be scored separately.

Score 2009	Score 2012	Minimum Requirements
A	A	Over 90% of MDAs have clearly identified a wide range of internal users of M&E information and related processes and have in the required format at the time it is required.
B	B	Between 50%-90% of MDAs have identified some users of M&E information. These MDAs have systems in place which ensure that most users and processes have access to M&E information in appropriate formats when required.
C	C	There is limited understanding of users or processes requiring M&E information within MDAs, and information that is produced is limited in scope, and the format and timing of this information does not reflect an understanding of user or process needs.
D	D	Little or no M&E information is produced by MDAs and this information is not sufficient for the needs of the majority of internal users and processes.

The extent to which internal clients have been completely identified and the full range of their M&E information needs understood varies between MDAs. There are some good individual examples of where M&E information clearly satisfies identified information needs, but generally this is still under developed in the state. The overall assessment by MoEPB is that the majority of these information needs relate to monitoring of outputs - the information needs of clients related to outcome tracking has not been fully identified, although the introduction of performance management reporting process is beginning to change this in some sectors.

In Agriculture for example, there is reported to be a good system for preparing work plan progress review reports on a monthly basis and for sharing these internally. In addition, there are examples of where regular data collection has been adjusted in response to user requests.

In the Education sector, data collection and Education MIS (EMIS) systems are now well established and support the publication of the Annual Sector Performance Report. However, the information included in this report and the data collected through the school census have not been informed by any formal user information needs assessment. Part of the challenge appears to be the lack of specialists within M&E units and the need to fully institutionalize an M&E unit within SUBEB.

The Health sector now has a well established Health MIS (HMIS) which coordinates data collection from LGSA and secondary health facilities. The Health Data Coordination Committee holds monthly meetings through which questionnaires can be reviewed and adjusted. Monthly data provided by health centers is used internally for disease surveillance and in support of decision making.

ii) Extent to which EXTERNAL M&E clients (i.e. outside the MDA) are identified.

For example, there are a number of potential users and processes which require M&E information generated by MDAs, (e.g. State Parliament, other MDAs, Performance Audit, Federal Agencies, Donor Agencies), and extent to which there is a clear understanding of their information needs including types and format of information they require (analytical reports, statistics) and the timing and frequency with which they are required (monthly, annually).

NOTE: Participants will need to ensure that they give full explanation and comment on how they arrived at their scores for this question.

Score 2009	Score 2012	Minimum Requirements
A	A	Over 90% of MDAs have clearly identified a wide range of External users of M&E information and related processes and have in the required format at the time it is required.
B	B	Between 50%-90% of MDAs have identified some external users of M&E information. These MDAs have systems in place which ensure that most users and processes have access to M&E information in appropriate formats when required.
C	C	There is limited understanding of External users or processes requiring M&E information outside MDAs. What information is provided to external users is provided on an ad hoc / reactive basis.
D	D	Little or no M&E information is produced by MDAs and what information is produced is not sufficient for the needs of the majority of external users and processes.

As with internal users, the extent to which the information needs of external users is understood and catered for varies significantly across MDAs. Whilst the education sector has not formally mapped the information needs of external clients, the comprehensiveness of its EMIS and now the Annual Education Performance Report should enable the majority of information needs to be met.

In agriculture, specialized reports are prepared for different audiences – generally in response to specific requests (e.g. from NBS). It is reported that agriculture makes some attempt to present information in the most appropriate way - tailored to the needs of specific audiences.

In health it has been recognized that, now some programmes have been running for several years, there is a need to properly evaluate these programmes. Consequently the health sector is working with MoEPB to develop information in certain formats in order to support this evaluation.

In general, MDAs appear to have the data needed to satisfy information needs and are responsive to requests. They are less effective at proactively understanding the information needs of different audiences.

iii) *The clarity of roles and responsibilities of staff in MDAs relating to Information Management / M&E.*

Effective M&E organizational arrangements within MDAs should ideally include clear allocation of different M&E responsibilities across the relevant units within the organization such that all identified M&E information needs are satisfied without duplication or omission.

Score 2009	Score 2012	Minimum Requirements
A	A	Over 90% of MDAs have well documented material on the leadership, managerial and technical roles and responsibilities for the units responsible for information management / M&E and their staff.
B	B	50% to 90% of MDAs have well documented material on the leadership, managerial and technical roles and responsibilities for the units responsible for information management / M&E and their staff.
C	C	Between 20% to 50% of MDAs have well documented material on the leadership, managerial and technical roles and responsibilities for the units responsible for information management / M&E and their staff.
D	D	Less than 20% of MDAs have well documented material on the leadership, managerial and technical roles and responsibilities for the units responsible for information management / M&E and their staff.

It is reported by MoEPB that all MDAs have set up Planning Units over the last two years in response to the needs of MTSS development and that M&E Units are incorporated within them. Some variation is seen in large MDAs that have DPRS (e.g. Health, Education). In these cases, there was no need to establish a Planning Unit and M&E Units are incorporated within the DPRS. MoEPB has provided some initial training to these M&E units and has provided guidelines but recognizes that further capacity development of these units is required.

The extent to which these M&E Units have clearly defined roles and responsibilities tends to vary across MDAs and there is need to more fully institutionalize M&E functions within Planning Units and to provide professional M&E staff. Another key challenge relates to the perceptions other officials in the MDA have of these M&E functions. Through a lack of understanding some officials view these M&E functions with a degree of suspicion which can lead to M&E work being undermined or less effective.

iv) Comprehensiveness of operational guidelines on information management / M&E processes

Operational guidelines and regulations for M&E should exist for each unit with an M&E responsibility and which detail the functions to be carried out, the processes which should be followed and the human resources required to do so.

Score 2009	Score 2012	Minimum Requirements
A	A	Over 90% of MDAs have operational M&E guidelines, processes and regulations covering all appropriate units within the organization, where there is evidence of the M&E framework, methodologies, M&E instruments and tools and reporting requirements,
B	B	50-90% of MDAs have operational M&E guidelines, processes and regulations covering all appropriate units within the organization, where there is evidence of the M&E framework, methodologies, M&E instruments and tools and reporting requirements,
C	C	Between 20-50% of MDAs have operational M&E guidelines, processes and regulations covering all appropriate units within the organization, where there is evidence of the M&E framework, methodologies, M&E instruments and tools and reporting requirements,
D	D	Less than 20% of MDAs have operational M&E guidelines, , processes and regulations covering all appropriate units within the organization, where there is evidence of the M&E framework, methodologies, M&E instruments and tools and reporting requirements

There are some examples of where IM/M&E operational guidelines have been developed, but these tend to focus on specific areas and there are no examples of comprehensive guidelines having been developed within an MDA. Guidelines that are being used have tended to be developed by a central MDA and disseminated to sector MDAs. For example, MoBEP has prepared and distributed Performance Management Reporting (PMR) guidelines and the State Bureau of Statistics have developed and distributed Statistics Minimum Standards. In addition, there are comprehensive guidelines covering capital project monitoring.

v) *The appropriateness of staffing levels and skills mix to MDA regarding M&E roles and responsibilities.*

In order for units to effectively carry out their M&E responsibilities, each unit should have an adequate number of staff, consistent with any operational guidelines or regulations. Staff should be sufficiently skilled and qualified to effectively carry out the role for which they are responsible and staff development plans should be in place.

NOTE: In scoring this question, first score question (i) either A to D, then score question (ii) either A to D. Then take the LOWEST score (out of (i) and (ii) as the overall score.

Score 2009	Score 2012	Minimum Requirements
A	A	(i) Over 90% of MDAs have sufficient numbers of M&E staff in units throughout the organization. (ii) Over 90% of functions related to M&E within these MDAs are carried out by staff with sufficient qualifications and skills.
B	B	(i) Between 50%-90% of MDAs have sufficient numbers of M&E staff in most units throughout the organization. (ii) Between 50%-90% of staff assigned to M&E in these units have sufficient skills to carry out M&E functions, though further skills development may be required.
C	C	(i) Between 20% to 50% of MDAs have sufficient numbers of M&E staff. (ii) Between 20% and 50% of M&E staff have the required skills with only core M&E functions being supported, often by insufficiently skilled staff.
D	D	(i) Very few MDAs have sufficient numbers of M&E staff. (ii) Almost no M&E functions within the organization are supported and by sufficient skilled staff

MDAs report that they have a sufficient number of staff for M&E; however, these staffs are often not used effectively and are completely clear on their roles and responsibilities. Project monitoring is a particular M&E function which is reported to have sufficient staff numbers though little progress has been made to expand the roles of these staff to conduct more results-oriented project monitoring. Another area which is sufficiently staffed relates to the management and operation of Management Information Systems (HMIS, EMIS) in MDAs where they exist.

The main challenge is that staffs with M&E responsibilities are often planners or statisticians posted into these roles and are not M&E specialists. Consequently, whilst many have a good working knowledge of M&E, they do not fully understand many M&E concepts and approaches. A related challenge is the lack of institutionalization of M&E staff within Planning Units – if demand for, and commitment to, M&E was greater within MDAs there would consequently be greater demand for appropriately trained and skilled staff in M&E Units.

In summary, M&E Units are a body with no engine and the score for (i) quantity is a B whilst for (ii) quality it is a D.

M&E 4: Effectiveness of Management Information Systems, Statistics and Data

Context for the Key Feature

The extent to which information, statistics and M&E data can be effectively used to support planning, monitoring and management by the information users in the MDA and other agencies is of course dependent on the data being in the required format, in the appropriate level of detail, of good quality and produced on a timely basis. Thus, a key requirement of this the data is sufficiently disaggregated to support comprehensive analysis that supports decision making. For example, if the data is only able to produce state wide statistics on school enrolment levels, it is not sufficient to identify potentially underperforming LGAs which require targeted assistance.

Another key requirement of M&E data is that it be sufficiently complete. For example, if data for only 75% of health clinics is available, it is difficult to provide reliable information about disease incidence. The extent to which M&E information is reliably used is dependent on the

perceived quality of the data used to produce it. Processes for verifying and correcting data can assure data quality and reassure users as to its value.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
M&E 4	<i>Effectiveness of Management Information Systems (MIS), Statistics and Data (Scoring Method M2)</i>	C+	B
(i)	Effectiveness of Management Information Systems (MIS) supporting decision-making	C	B
(ii)	Extent to which data is complete, or sufficient quality and verified	C	B
(iii)	Extent to which data collection and analysis processes allow comprehensive measurement of performance indicators	C	C
(iv)	Effectiveness with which data collection and information sharing processes between MDAs are implemented	B	B

Assessment of Current Performance Indicator Status

- i) *Effectiveness of Management Information Systems (MIS) in supporting decision-making.*

Effective M&E systems make use of well designed and implemented Management Information Systems (MIS). Ideally, MIS should be designed with a clear understanding of the users and processes it will be required to support (e.g. Permanent Secretary, annual performance reviews), the information requirements of these users and processes (e.g. summary budget execution data, detailed statistics), the format in which this information is required (e.g. statistical tables, analytical reports) and the frequency with which this information is required (e.g. monthly, annually).

Ideally, the design and implementation of any MIS should be guided by relevant state, national or international standards and in such a way as to ensure compatibility of data between different systems (e.g. through standard coding of common data types), effective and secure management of datasets and user oriented communication of information. Ideally, all relevant MDAs should have implemented MIS consistent with these standards and guidelines.

Score 2009	Score 2012	Minimum Requirements
A	A	Over 90% of MDAs have implemented MIS guided by relevant standards and MDA managers are able to obtain a broad range of information (e.g. outputs and outcomes, service quality, overall programme measures) in support of decision making. Cross-organizational MIS coordination facilitates results management.
B	B	Between 50%-90% of MDAs are able to collect, manage and report on relevant management data and MDA managers are able to use this data in support of decision making.
C	C	Between 20%-50% of MDAs are able to collect, manage and report on relevant management data and MDA managers are able to use this data in support of decision making.
D	D	Less than 20% of MDAs are able to collect, manage and report on relevant management data to collect and MDA managers feel constrained by lack of information available to them to make programmatic decisions or judge progress against results.

Generally, Management Information Systems (MIS) have been effectively implemented across more than half of MDAs in the state. For example, Education now have a very good EMIS supported by a team of statisticians which uses data collected through the ASC (Annual School Census). Whilst the EMIS (and ASC data) was not sufficiently used to prepare the 2009/10 Sector Performance Report, the 2010 Report draws on this systems extensively.

In Health, the HMIS is used to prepare an annual Health Bulletin. The HMIS has a comprehensive range of data and is used monthly to help identify disease clusters and annually to help prepare the Health PMR.

An IFMIS (using Oracle) is fully established with the Ministry of Finance and is used to support comprehensive budget implementation monitoring. The Land registry has a land registry database which can be searched and which has greatly improved land transaction times.

There is a good and increasing range of statistics in held within relevant databases in the State Bureau of Statistics. These are used to prepare a range of statistical digest, though only in hard copy – only just started in release this data as PDF. There is recognition of the need to make this data more easily available (e.g. through Government websites) and in a format more easily accessible for researchers (e.g. in a spreadsheet).

ii) Extent to which available data is complete, of sufficient quality and verified

The extent to which Management Information Systems can effectively support decision making is dependent upon the completeness and quality of data within these systems. Ideally, MDAs should have in place processes for assessing the completeness of datasets and procedures for addressing any gaps. MDAs should have in place processes for verifying the accuracy of data and addressing any identified areas of concern. Users of data should be aware of these processes and confident in their effectiveness.

Score 2009	Score 2012	Minimum Requirements
A	A	Over 90% of data users, including managers and policy makers express confidence in the quality and completeness of data provided by MDAs and the processes used to ensure this.
B	B	Between 50% to 90% of data users, including managers and policy makers express confidence in the quality and completeness of data provided by MDAs and the processes used to ensure this.
C	C	Between 20% to 50% of data users, including managers and policy makers express confidence in the quality and completeness of data provided by MDAs and the processes used to ensure this.
D	D	Less than 20% of data users, including managers and policy makers express confidence in the quality and completeness of data provided by MDAs and the processes used to ensure this.

Generally, there is a good degree of confidence in the data produced by most MDAs. Validation and verification processes have been established by the Bureau of Statistics as part of quality assuring data submitted by MDAs. Where appropriate, survey (e.g. Household Survey) results are used to address gaps in some data sets.

In particular, project data is considered complete and sufficiently accurate for the purposes of treasury operations (e.g. execution, payments etc.), though there are some challenges with timeliness due to the nature of project monitoring.

In general, satisfaction was expressed with the quality of financial data within accounting systems, though participants were not sure about the status and quality of audited accounts.

Further examples were given by Health and Education relating to the use of HMIS and EMIS to help prepare MTSS, prepare annual PRMs and to support disease surveillance.

iii) Extent to which data collection and analysis processes allow comprehensive measurement of performance indicators

Ideally MDAs will have drawn up lists of properly formulated 'indicators' in order to measure results, outcomes and impact of their implementation activities. These indicators (which the MDA needs to identify) should be directly linked to the planned for results and objectives of the programmes being implemented. Any MDA MIS, survey or research study type activity should be designed to ensure that data collected/captured can be used to comprehensively measure these indicators.

Score 2009	Score 2012	Minimum Requirements
A	A	The majority of MDAs (over 75%) have identified and are using a complete range of indicators for measuring impact, outcomes and results of their programmes, including the impact on the beneficiaries.
B	B	The majority of MDAs (over 75%) are using a range of indicators for measuring outcomes and results of their programmes, but impact studies on beneficiaries are not routinely carried out.
C	C	The majority of MDAs (over 75%) are using some indicators, but these are mainly used for measuring progress with activities or direct results and do not routinely measure outcomes.
D	D	The majority of MDAs (over 75%) have not developed indicators, or use them only occasionally, and then only to measure progress with implementation (i.e. not for results or outcome monitoring)

The introduction of MTSS is resulting in a much stronger focus on using data and MIS to measure output and outcome KPIs. However, it is only in MDAs who have prepared MTSS (available for three of nine “functional groups”) where the results chain is becoming understood and the focus of M&E is moving away from activities and inputs towards results. Combined with the MTSS roll-out, the introduction of PMR processes and ongoing work by MoEPB to get sector MDAs to develop results-oriented KPIs is starting to improve the results focus of MDAs and it is reported that the data required to measure these KPIs exists in the majority of MDAs.

- iv) *Effectiveness with which data collection and information sharing processes between MDAs are implemented.*

Ideally MDAs with data capture and collation responsibilities should carry out the studies, surveys or census for which they are responsible on a regular basis, consistent with any state legislation, regulations, guidelines and standards. Completed datasets should be made available to other MDAs as appropriate in a timely fashion in a format that facilitates effective use by these MDAs.

Score 2009	Score 2012	Minimum Requirements
A	A	A broad range of state wide surveys (e.g. household income/expenditure, school surveys, health clinic surveys) are conducted regularly and the data made available. Relevant cross-sectoral units contribute to the content of the studies.
B	B	State wide surveys or studies are conducted with some cross-sectoral coordination, but not all results are completely disseminated to other parts of government and the public.
C	C	Some state-level surveys or studies have been completed, but at the initiative of a single organization or in response to one-time donor funding
D	D	Managers responsible for national-level results attempt to seek relevant data on state-level trends. However, virtually no information gathering and reporting takes place and the State Government not yet ensuring quality state-level survey data in this sector.

The State Bureau of Statistics carries out a number of surveys in the state on a regular basis (e.g. household survey, transport survey). The results of these surveys are widely disseminated through direct distribution to MDAs with a covering letter and posting of survey results on the SBS website.

Other MDAs who produce data also make this available, but not as proactively as the SBS in all cases. For example, in some instances this data is not available through relevant websites and a visit to the MDA is required to obtain the data.

Other examples of surveys/studies carried out in the state include: a) Annual School Census, b) Citizens Guide, c) Budget Performance Reports, d) Price Statistics and e) Motor Vehicle Statistics.

M&E 5: Performance Management Processes in Support of Policy, Strategy and Program Adjustment

Context for the Key Feature

Annual performance reviews within MDAs are an essential part of a performance management process. Through effective use of monitoring and evaluation information, MDAs can identify strengths and constraints in their organization and make policy, strategy and program adjustments in response.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
M&E 5	<i>Performance management Processes in support of policy, strategy and programme adjustment (Scoring Method M2)</i>	C	D+
(i)	Results orientation of annual performance assessments and reports	C	C
(ii)	Extent to which policy, strategies or programmes are adjusted in response to review findings	C	D

Assessment of Current Performance Indicator Status

i) Results orientation of annual performance assessments and reports.

Ideally, MDAs should have a performance management framework which sets out the medium-term outcomes and targets to be achieved, possibly within a medium-term sector strategy and program. These outcomes and targets, together with a baseline assessment, should form the basis against which progress and performance is measured. Ideally, MDAs should prepare regular performance reports which not only focus on what was done, but provide an assessment of progress against agreed outcomes and targets for the organization, drawing on similar reports prepared by individual units against an agreed standard.

The format of the performance review itself may vary. It could be undertaken as an internal MDA activity, but ideally it would also involve field visits by the performance review team to representative sites, involving interaction and participation by LGA staff and end users / beneficiaries alongside the review team (i.e. a Joint Review exercise).

Score 2009	Score 2012	Minimum Requirements
A	A	The majority of MDAs (over 75%) conduct a comprehensive performance assessment regularly. The assessment is results focused, as opposed to reporting on “what was done”, and provides a set of recommendations regarding attainment of targets in MDA plans. All relevant units within the MDA contribute to the report which is shared with a broad range of stakeholders from other MDAs, civil society and development partners.
B	B	The majority of MDAs (over 75%) conduct a performance assessment regularly. The assessment attempts to measure progress against MDA outcomes and targets, with some recommendations. The assessment is led by key units within the MDA (e.g. DPRS) with other units playing less of a role. The report is shared and discussed with state Government.
C	C	The majority of MDAs (over 75%) conduct some form of periodic performance assessments. There is limited results orientation to the assessment which largely focuses on the activities of the MDA with few recommendations based. Contributions from units within the MDA is fragmented and of variable quality. The report may or may not be shared with state Government, and there is little follow up.
D	D	Very few MDAs conduct a regular performance assessment and produce only rudimentary reports. The report focuses only on the activities implemented by the MDA and provides no recommendations based on analysis of progress. The assessment is mainly used internally, with little external sharing.

The minimum requirements of this indicator do not perhaps allow the true situation in Lagos state to be reflected with an appropriate score. During 2010, MoEPB led the development of Performance Management Report (PMR) guidelines and has subsequently supported the development of PMR processes in response within the Education, Health and Environment sectors/functional groups. Each of these three sectors/functional groups have prepared PMRs in response. The preparation of these PMRs is linked to MTSS implementation in these sectors and are results focused. However, there is scope for improving the results chain focus of these PMRs.

As plans to introduce MTSSs within the remaining six sectors/functional groups are implemented, PMR processes will also be rolled out in these sectors/functional groups.

Against this background, the sectors/functional groups which have introduced PMR processes have been assessed as B, but because this has not yet happened in the remaining six sectors/functional groups the overall score has been given as C.

ii) Extent to which policy, strategies or programs are adjusted in response to review findings.

In order for sector performance assessments and joint review processes to be of value, they must lead to adjustments to MDA strategies and programs in response to identified strengths or weaknesses. Ideally, any annual review processes should result in a review report which makes recommendations for these adjustments. Senior MDA decisions makers should review these recommendations and agree what changes to MDA strategy, programs or performance management frameworks are required. These agreed recommendations should then be acted upon and guide program implementation over the subsequent period.

Score 2009	Score 2012	Minimum Requirements
A	A	Over 90% of MDAs can report instances where strategic or program adjustment has been made consistent with agreed recommendations resulting from a joint sector review process.
B	B	Between 50%-90% of MDAs can report instances where joint sector review recommendations have been successfully implemented, though the effectiveness with which units within the MDA have responded may be varied.
C	C	Between 20% - 50% of MDAs can report instances where joint sector review recommendations have been successfully implemented, though these adjustments have been limited and have not resulted in significant change.
D	D	Very few MDAs (less than 20%) make annual adjustments to strategies or programs, mainly due to the lack of any formal performance assessments.

Within the three sectors/functional groups having implemented PMR processes, the concept of using PMR to support adjustment of MTSSs is now understood as a result of training provided by MoEPB. In addition, the strategy of using PMR processes to adjust MTSSs has been included within the draft State Development Plan (SDP).

However, this process has not yet been fully institutionalized. It is expected that this will be achieved in 2013 once the SDP has been published and MTSS processes have become fully developed within these sectors/functional groups.

It is reported that the annual performance review process (incorporating PMR) has been used to adjust the Education MTSS.

Generally, there are concerns that MDAs still do not sufficiently understanding results chains and this may undermine the results-orientation of the MTSS adjustment process.

M&E 6: Cross-cutting Issues are Addressed in the Information Management or Monitoring and Evaluation System

Context for the Key Feature

For the majority of programmes which the MDAs are implementing, it is important to ensure that they address a number of cross-cutting issues, which are important measure of the success or appropriateness of the programme. Such cross cutting issues concern for example, whether the programme is adequately addressing poverty reduction aims, whether gender issues are being adequately catered for and that the programme does not have a gender bias (i.e. not fully including women for example); whether the programme contains adequate safeguards in relation to safeguarding the environment or the natural resources of the area. Finally is the programme being made available across all areas of the State including remote areas.

Summary of Performance Indicator Scores

No.	Performance Indicator	Score 2009	Score 2012
M&E 6	Cross-cutting issues addressed in information Management / M&E (Scoring Method M1)	C	D
(i)	Extent to which cross-cutting issues are reflected in the information management / M&E systems	C	D

Assessment of Current Performance Indicator Status

- i) *The extent to which cross-cutting issues are reflected in the information management / monitoring and evaluation systems*

Score 2009	Score 2012	Minimum Requirements
A	A	The majority of MDAs (over 75%) can show evidence that their M&E systems address 3 out of the 4 cross-cutting issues given above in their MIS, survey or research study programmes that are conducted by the MDA.
B	B	The majority of MDAs (over 75%) can show evidence that their M&E systems address at least 2 of the cross-cutting issues given above in their MIS, survey or research study programmes that are conducted by the MDA.
C	C	The majority of MDAs (over 75%) can show evidence that their M&E systems address at least 1 of the cross-cutting issues given above in their MIS, survey or research study programmes that are conducted by the MDA.
D	D	The majority of MDAs (over 75%) show no evidence that they are addressing any of the cross-cutting issues given above.

In general, cross-cutting issues are not captured that comprehensively in M&E/IM systems across MDAs. Specific cross-cutting issues which are captured vary between MDAs and depend of the mandate of the MDA. All surveys conducted in the state are designed to ensure data can be gender disaggregated where appropriate. In addition, most survey data can be disaggregated by LCDA (Local Council Development Area).

No poverty mapping has yet been completed in the state, though the need to do so was identified during recent discussions around the Community Health Insurance Scheme. This need was identified due to concerns that the Scheme was being “captured” by political followers and is now being trailed in one LGA.

There is the need to rephrase the last paragraph in Page 50, which mentioned the Participatory wealth Ranking survey (PWR) to be conducted in Ibeju-Lekki LGA for the Community based health Insurance Scheme when the discussion on Poverty mapping was raised.

In August 2011, MoEPB held a seminar with Health, Education and Environment in order to raise awareness of the need to capture cross-cutting issues in M&E systems, primarily because it had been observed that this was under-developed. There are plans to extend this seminar to an additional six sectors.

4 Emerging Priorities and Work Stream Linkages

4.1 Emerging Priorities for Policy and Strategic Planning

A number of potential priorities for policy development and strategic planning processes within the state were identified and discussed during the SEAT exercise, which include the following:

- *Support macro-economic analysis to inform macro-economic projections and development of realistic budget envelopes:* The process will include: a) providing the macro-economic framework, b) setting out macro-economic analysis for the next three years, c) setting out the underlying assumptions for those projections; d) carrying out economic research; and d) evaluating and analysing macro-economic projections of the preceding three financial years which will feed the multi-year sectoral strategy process. The decisions on budget envelopes will derive from macro-economic reviews (fiscal strategy) and pre-determined revenue and expenditure frameworks.
- *Build on existing human capacity of MEPB planning officers to lead preparation of long term plan and the annual review of medium term sector strategies in all 25 sectors:* This will ensure that MEPB will be better able to continue to support MDAs in the development of their sector plans which in turn will guarantee delivery of sector strategies and desired outcomes. Without a systematic approach to capacity building, the translation of policy statements and goals into actual and measureable deliverables will remain a challenge and affect development. The support given to MEPB for the development of the MTSSs in 2010 and 2012 has laid good foundation which should be built on.
- *Build on the existing capacity for policy research and baseline studies and their use in planning:* This will ensure that Economic Planning Department is able to effectively initiate and coordinate policy research studies and analyse baseline data to ensure that government's policymaking and strategy development are based on qualitative and reliable baseline and that the sector output and outcome targets, and strategies of MDAs are evidence-based and are responsive to predetermined facts and users demands.
- *Build capacity for cross-sector planning:* This will include developing capacity in key technical areas and planning officers to coordinate and harmonise cross-cutting issues into sector plans and to develop good and effective participatory techniques for planning and decision making. Also improve capacity to use ICT for building systems for good cross-government communication, information sharing, and lesson learning.
- *Develop strategies for engagement with non-state stakeholders:* This is specifically the underprivileged, disadvantaged and the socially excluded groups who have hitherto not contributed directly to planning. Such engagement will improve and further deepen government's understanding of the issues and priorities of these groups of citizens and will strengthen the planning and implementation processes while ensuring that feedback more effectively feeds into strategic planning.
- *Build capacity to develop joined up approaches to planning, and monitoring and evaluations:* This will include supporting external accountability with partners, including LGAs, through the development of joint planning, implementation, monitoring and for the development of joint performance review frameworks across sectors. The partners in the joined up approaches will include LGAs, donors and members of the civil society.

This will bring about more accountability and transparency and therefore improve governance.

These emerging priorities are not presented in any order of importance and are not intended to be exhaustive. It is anticipated that some more priorities may evolve in the course of the year.

4.2 Emerging Priorities for Information Management and M&E

Support Annual Performance Management Reporting processes: This will include ensuring that sector teams continue to comply with the timings of the PMR so that they produce their reports as at when due. Quality assurance is also desirable in this respect.

Performance measurements in MTSS should focus on outcomes: As part of the targeted support to the sector teams for complying with PMR processes, it is desirable that the MTSS performance measurements are focussing more on outcomes so that sectors can look at higher level objectives and demonstrate results at that level

ICT capacity – software and hardware: This will include developing capacity for a robust Management Information System (MIS) and strategic framework for M&E in the State. With emerging State Development Plan (SDP), support is desirable to ensure that the SDP measurement framework is understood by sector teams and their contributions to such as framework. Software training in the use of MIS is desirable as well.