

BASE DOCUMENT OF THE

# States Peer Review Mechanism

NIGERIA  
GOVERNORS'  
FORUM



Revised September 2015



BASE DOCUMENT OF THE

# **States Peer Review Mechanism**



Revised September 2015



**The Secretariat**

Nigeria Governors' Forum  
1, Deng Xiaoping Street  
Off AIT Junction  
Asokoro Extension, Abuja  
Tel +234 (0) 9 292 0025  
+234 (0) 9 292 0026  
info@ngGovernorsforum.org  
www.ngGovernorsforum.com

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# Acronyms

ADP	Agriculture Development Projects
ADR	Alternative Dispute Resolution
AESR	Annual Education Sector Performance Report
AG	Accountant General
AIDS	Acquired Immune Deficiency Syndrome
ANC	Antenatal Care
APER	Annual Performance Evaluation Report
APRM	Africa Peer Review Mechanism
AS	Agricultural Sector
BIR	Board of Internal Revenue
CAADP	Comprehensive Africa Agriculture Development Programme
CBN	Central Bank of Nigeria
CBO	Community Based Organisation
CMS	Content Management System
CPSIP	Citizen Participation, Social Inclusion and Protection
CRPD	Convention on the Rights of Persons with Disabilities
CSO	Civil Society Organisation
CWIQ	Core Welfare Indicator Questionnaire
DFID	Department for International Development
DG	Director General
DHS	Demographic Health Survey
DPRS	Department of Planning, Research & Statistics
ECOWAS	Economic Community of West African States
ED	Economic Development
EIA	Environmental Impact Assessment
EMIS	Education Management Information System
EnvS	Environment Sector
EPI	Expanded Programme on Immunisation
ES	Education Sector
ExCo	Executive Council
FAO	Food and Agriculture Organisation
FBO	Faith-Based Organisation
FIRS	Federal Inland Revenue Service
FNT	Forth Night Training
FRA	Fiscal Responsibility Act
FRL	Fiscal Responsibility Law
G&SI	Gender and Social Inclusion
GDP	Gross Domestic Product
GGI	Gender Gap Index
HIV	Human Immunodeficiency Virus
HMIS	Health Management Information System
HRM	Human Resource Management
HS	Health Sector
ICT	Information Communication Technology
IGR	Internally Generated Revenue
INEC	Independent National Electoral Commission
IPSAS	International Public Sector Accounting Standards
IRS	Internal revenue Service
IS	Infrastructure Sector
IVACG	International Vitamin A Consultative Group
JSC	Junior School Certificate
Km	Kilometre
KM	Knowledge Management
KPI	Key Performance Indicator
LAM	Lactational Amenorrhea Methods
LBs	Live births
LGA	Local Government Area

LGs	Local Government
M&E	Monitoring and Evaluation
MCH	Maternal and Child Health
MDA	Ministries, Departments and Agencies
MDGs	Millennium Development Goals
MICS	Multiple Indicators Clusters Survey
MNCH	Maternal, New born and Child Health
MoU	Memorandum of Understanding
MTSS	Medium Term Sector Strategy
NARHS	National HIV/AIDS and Reproductive Health Survey-Plus
NBS	National Bureau of Statistics
NCE	Nigerian Certificate in Education
NDHS	National Demographic Health Survey
NEC	National Economic Council
NECO	National Examination Council
NGF	Nigeria Governors' Forum
NGFS	Nigeria Governors' Forum Secretariat
NGO	Non-Governmental Organisation
NLSS	Nigeria Living Standard Survey
NPC	National Planning Commission
NPF	Nigeria Police Force
NPHCDA	National Primary Health Care Development Agency
NPI	National Programme on Immunisation
NSCDC	Nigeria Security and Civil Defence Corps
OSSAP-SDGs	Office of the Senior Special Assistant to the President on the Sustainable Development Goals
P&S	Policy and Strategy
PCS	Primary School Certificate
PFM	Public Financial Management
PHC	Primary Health Care
PHCUOR	Primary Health Care Under One Roof
PNA	Participatory Needs Assessment
PPA	Participatory Poverty Assessment
PPL	Public Procurement Law
RAMOS	Reproductive Age Mortality Studies
REFILLS	Rural Extension Farmers Input Linkage System
SAP-NEPAD	Special Adviser to the President on the New Partnership for Africa's Development
SBMCs	School Based Management Committees
SC	Steering Committee
SDGs	Sustainable Development Goals
SDP	State Development Plan
SERVICOM	Service Compact
SHoA	State House of Assembly
SIEC	State Independent Electoral Commission
SLM	Sustainable Land Management
SPARC	State Partnership for Accountability, Responsiveness and Capability
SPHCDA	State Primary Health Care Development Agency
SPoA	State Programme of Action
SPRM	State Peer Review Mechanism
SPRR	State Peer Review Report
SSAR	State Self-Assessment Report
SSG	Secretary to the State Government
SSMP	State Statistical Master Plan
STGS	State Task Group on Sanitation
SUBEB	State Universal Basic Education Board
SYB	Statistical Year Book
TRCN	Teachers Registration Council of Nigeria
TRP	Technical Review Panel

U5MR	Under 5 Mortality Rate
UBE	Universal Basic Education
UBEC	Universal Basic Education Commission
UK	United Kingdom
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNICEF	United Nations International Children's Emergency Fund
WAEC	West African Examinations Council
WHO	World Health Organisation

## Section 1

# Background

The Nigeria Governors' Forum (NGF) is a coalition of elected Governors of the 36 States of Nigeria. Its mission is to provide a platform for Governors to collaborate and share experiences, irrespective of party affiliations. The Forum also promotes cooperation among States, and serves as a mechanism for conflict resolution. Founded in Abuja in April 1999, and modelled after the National Governors Association of the United States, the Nigeria Governors' Forum has become a major player in Nigeria's governance and development process.

### **The strategic objectives of the NGF are to:**

- To establish a respected setting where issues of national importance are discussed and consensus can be reached;
- To become the main source for peer learning, reflections and sharing of experience on sub-national issues;
- To enhance our communication with the Nigerian public and other stakeholders;
- To strengthen the effectiveness and efficiency of the NGF Secretariat as a policy hub and one-stop shop on matters of relevance to State governments.

The National Economic Council (NEC), in recognition of the mandate of the NGF in 2007, resolved that the Forum should assume responsibility for developing and implementing a States' Peer Review Mechanism (SPRM). Pursuant to this resolution, the NGF mandated its Secretariat to develop the SPRM, drawing on resources available within relevant organisations such as the National Planning Commission (NPC), the Office of the Senior Special Assistant to the President on the Millennium Development Goals (OSSAP-MDGs), and development partners.

As a first step, the Nigeria Governors' Forum Secretariat (NGFS) embarked on an assessment of development projects across States in early 2009 to 2010. Although the reviews were not based on benchmarking standards, they provided an opportunity for the States visited to highlight their achievements and share their areas of challenges with the NGF review team.

The Secretariat consequently developed a robust database and a set of reports on all 36 States. In 2009, the NGF collaborated with the State Partnership for Accountability, Responsiveness and Capability (SPARC), which is a UK Department for International Development (DFID) funded programme, to produce a systematic and robust peer review process. This was then launched in April 2011.

Since its inception in 2011, the SPRM has demonstrated its usefulness as a tool for advancing good governance and improving development performance at the sub-national level. It has become the NGF's flagship programme. The SPRM is also acknowledged as the first of its kind at the sub-national level in the world, and is already helping to re-invigorate the art of governance in States in which it has been implemented.

However, some challenges have emerged, especially regarding the slow pace of the programme's implementation. The lessons learned include:

- The need to shorten the SPRM process in States and make the results more useful to an incumbent administration without losing the technical depth and credibility of the exercise;
- The need to deepen the involvement of civil servants and civil society organisations in the review process;
- The need to mainstream the State Programme of Action (SPoA) within existing State governance processes and to actually implement it;
- Issues relating to the staffing of the SPRM unit and its sustainability;
- The need to reduce the 276 indicators and re-examine the ten assessment areas.

It is these lessons and other challenges that the revised Base Document seeks to address.

## Section 2

# Purpose and Objectives

The aim of the SPRM is to assist States in improving their development performance. This is carried out through periodic reviews of the achievements and challenges faced by States in their implementation of development policies, plans and programmes. Through their participation in the peer review process where review reports will be discussed and adopted, State Governors will be able to learn from their peers about innovative and commendable practices that they can adapt and adopt, in their respective States. The SPRM is also expected to contribute to the achievement of the following specific objectives:

- Encouraging and facilitating cooperation among States;
- Promoting good governance through the enhancement of transparency, accountability, participation, inclusiveness and communication;
- Achieving better service delivery (timeliness, quality and public access) through the progressive improvement of policies, planning, budgeting and public service reform on the one hand, and service areas such as education, health, roads and agriculture on the other;
- Enhancing Federal-State cooperation and collaboration through the participation of national/federal organisations in the SPRM process and the sharing of the review reports with relevant national/federal institutions, particularly the NEC and NPC.

## Section 3

# Scope of the SPRM

A peer review mechanism for Nigerian States will be most useful if it focuses on thematic/sectoral areas that are critical for State governments to fulfil their constitutional responsibilities. The functions assigned to State governments are partly shared concurrently between the federal government and local governments. All of the non-listed or residual functions are the exclusive responsibilities of State governments. In practice, there are jurisdictional overlaps which sometimes make it difficult to precisely determine and assess the performance of each tier of government in the delivery of services.

In deciding the scope of the review exercise for State governments, two options are presented, either to cover all of the functions of government, or to cover only the core functions of government. Extending the scope of the review to all functions and services of government is impracticable because of the complexity of what a government does or is called upon to do in modern times. That approach will also increase the problem of jurisdictional overlaps between the different tiers of government, which is likely to complicate any assessment. On the other hand, delimiting the scope of the review to the core functions of State governments has the advantage of reducing the objects of the assessment, making the exercise more manageable. It has the added attraction of being aligned to the current high policy concerns of government, which should make it demand-driven.

The combination of the vertical (thematic/sectoral areas) and horizontal (process) dimensions of the scope of evaluation will complement each other. This is to ensure that the assessment process takes into account outputs as well as institutions and processes that promote good governance.

Each State as a whole is to be reviewed rather than just its government subsector. Therefore, the private sector and civil society are critical stakeholders that must be included, both as participants in the review process, and as subjects of review.

For convenience, the peer review exercise will focus on a time span of the four years preceding the commencement of the review. This relatively short time span will help to focus a State's attention on the impact of policy choices and governance processes on public welfare outcomes because of the immediacy of the data.

## Section 4

# SPRM PROCESS

### 4.1 The Process

Fundamentally, the peer review mechanism will rely on the assessment instrument elaborated upon in the revised Base Document and the memorandum of understanding (MoU), which spells out the respective roles and responsibilities of all stakeholders of the SPRM Programme. The government of each State to be reviewed is expected to sign the MoU, which will be countersigned by both the Chairman of the Forum and the Chairman of the Steering Committee (SC). The MoU will spell out the conditions and operational rules for the State's self-assessment and the review by the Technical Review Panel (TRP).

### 4.2 Assessment Instrument

The assessment instrument covers three areas: (i) the objectives of the assessment for each thematic/sectoral area; (ii) the relevant standards, codes and conventions and best practices; and (iii) the questions which the assessment will seek answers to and their specific indicators and benchmarks.

### 4.3 Guiding Principles

- I. Every review undertaken must be socially inclusive, credible, politically non-threatening, and professionally competent. It should inspire confidence in and ownership of the process among all stakeholders;
- II. To achieve these goals, the State Self-Assessment Report (SSAR) shall be prepared by each participating State using the assessment instrument adopted by the NGF. After due consultation with the NGF Secretariat, the State may engage;
- III. To avoid becoming embroiled in partisan politics, the peer review assessment should not be initiated within the six months preceding an election. To ensure an optimal effect, it should be carried out after an election, as this will enable the assessment to become a diagnostic of the achievements, shortcomings and commendable practices of the State;
- IV. The MoU signed by States will guarantee the transparency and openness of the process. It requires the State being reviewed to provide all of the documents, records and statistical data necessary to conduct the review. Each State is also required to facilitate access to all government officials and other stakeholders whose participation in the review is vital to its success, such as the private sector, civil society groups, traditional rulers, leaders of religious groups and women and youth groups.

### 4.4 Methodology

The peer review process shall be scheduled by the NGF Secretariat (NGFS) in collaboration with the State to be reviewed. Prior to the commencement of the peer review process, the NGFS will gather documentation on the State to be reviewed such as the State Development Plan (SDP), poverty reduction strategy, public sector reform programme and budgets, as well as relevant assessments and baseline studies on the State that may have been carried out by development partners, international organisations and academics. This documentation will provide background information of the State for the TRP as soon as they are appointed.

Before it commences, and immediately after the MoU is signed, the NGFS will initiate a meeting with the Governor of the State being reviewed to ensure that he/she is sufficiently briefed about the process. If the Governor has not already determined the State official to be charged with the leadership of the State's peer review process, he/she will be advised to do so (preferably the Secretary to the Government) while the technical

process would be facilitated by the Honourable Commissioner for budget and planning. The Governor's attention will be drawn to the need to appoint members of the State SC, all of whom will be properly briefed to ensure that they carry out their functions satisfactorily.

Following the meeting with the Governor, a meeting with members of the State's ExCo – expanded to include the leadership of the legislature, judiciary and civil society actors – will be held to promote the understanding of the concept of the SPRM and its benefits across all of the arms of government. At this meeting, the instrument of assessment will be presented to the State. The State will also be made aware of the objectives, questions, indicators and methodology of the assessment process.

In addition to the government's responses to the survey instrument, the views and perceptions of civil society organisations, the private sector and the general public on the quality of service delivery will be elicited through an opinion survey tool.

If consultants are engaged for the exercise, the State will put in place quality assurance measures that will guarantee that the assessment is carried out in accordance with the established SPRM principles.

## **4.5 Stages in the Process**

The first stage of the peer review process is the meeting with the expanded State ExCo to inform stakeholders of the methodology, objectives, questions and indicators of the assessment instrument. (See Figure 1 showing the SPRM process map.) An important part of this workshop is to describe the management of information and knowledge throughout the process. It will also explain how the SPRM integrates with existing State-level planning processes.

The second stage is the preparation of the SSAR, and the submission of the document to the NGFS. The SSAR is the State's response to the SPRM indicators put together through an inclusive process. The Secretariat will review the document (drawing on external advisers, if necessary) to ensure that all of the questions are answered satisfactorily. If it falls short of the expected standard, the NGFS may refer it back to the State for revision. Given the Forum's recommendation that the process be expedited, and in order to shorten the SPRM cycle, the SSAR must be completed within three months. The technical review mission will be conducted after three months either on the basis of a completed SSAR, or on such parts of the SSAR as have been completed when the three-month period for this stage of the process has elapsed.

The third stage is the process of validation. To carry this out, the NGFS will assemble a Technical Review Panel consisting of (i) consultants selected from the roster of consultants on the basis of criteria such as knowledge, expertise and experience in the study area; (ii) representatives of the APRM; (iii) two directors of the Department for Planning Research and Statistics (DPRS) selected from two States in two geopolitical zones; and (iv) experts nominated by development partners. The list will be approved by the SC through its members who lead the mission. The TRP will carry out a mission to the State, during which it will hold consultations and interact with various stakeholders including (but not limited to) the ExCo, the judiciary, the legislature, civil society actors, representatives of the private sector, traditional rulers, women, youths and vulnerable groups. As far as possible, the TRP mission should cover the entire State and work with State officials to produce an SPoA.

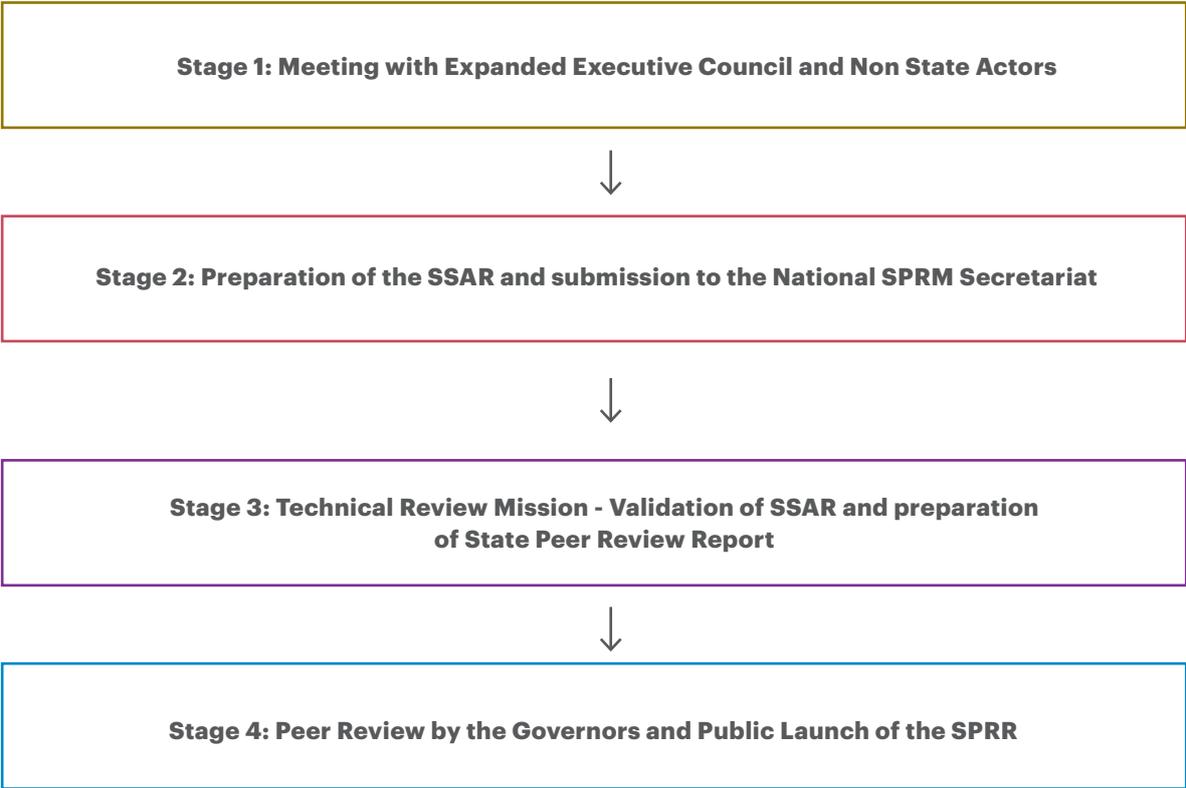
Following these consultations, the TRP will produce a State Peer Review Report (SPRR). The NGFS will forward the report to the concerned State for its comments and reactions and to correct and resolve any factual errors before the report is finalised. The report, like the SSAR, will be structured to show achievements, commendable practices, challenges, shortcomings and recommended remedial actions. The preliminary SPoA would be updated at this stage to incorporate the findings in the SPRR not accounted for in the SSAR and appended to the report.

The tabling of the SPRR and SPoA before the NGF and subsequent presentation to the wider public constitutes the fourth stage of the review process. The NGF meeting at which the SPRR and SPoA will be discussed will be restricted to the Governors and their most senior officials supervising the State’s SPRM unit/office. This is to facilitate candid discussions on the SPRR.

Following the discussion of the SPRR and SPoA by the NGF, the report will be revised if necessary and prepared for publication. Afterwards, the report will be presented by the SC at a workshop facilitated by the Governor, following which it will be widely disseminated so that all stakeholders, including the general public, can track the performance of the State. It is also at this stage that the implementation of the SPoA, and it’s monitoring and reporting to the Forum, will commence.

The entire process should be completed within six months after the meeting with the expanded ExCo.

**Figure 1: SPRM process Map**



## **4.6 Publication/Disclosure**

Following the NGF's discussion of the SPRR and SPoA, a date should be set for the SPRR to be publicly launched in the State being reviewed to symbolise the conclusion of the social contract between the government and the governed. Thereafter, the report should be posted on the website of both the State and the NGF. They will also be disseminated as elaborated in Section 6.5.

## **4.7 Output of the Review Process**

There will be two major outputs of the assessment process: the SSAR and an SPRR.

The Base Document of the SPRM is the reference point for preparing the SSAR. Its structure should clearly delineate the achievements, commendable practices, challenges and shortcomings in the processes and thematic areas and sectors assessed. Based on the challenges and shortcomings identified, the State will develop a programme of action. This should be based exclusively on the findings of the SPRM and focus on governance issues. As much as possible, it should not replicate what can best be handled through other State development processes so as to avoid duplication. The document, which should be a maximum of two to five pages, should not include the cost of activities. This will be finalised with the assistance of the TRP during the technical review mission.

The replicable commendable practices should be flagged by the State in the SSAR. They should be distilled based on the following criteria: (i) that the initiative has substantially met its objectives over a period of two years or longer; and (ii) that the lessons learned from implementing the initiative could be of interest to other States, and possibly to the federal government, for the purpose of peer learning.

The drafting and production of the SSAR after data collection (administration of the framework of indicators and citizen perception surveys, and interviews) should not take more than one month so as to meet the target of preparing the SSAR within three months after the sensitisation workshop. The SPRR is the report to be prepared by the TRP after extensive consultation to validate the SSAR. The SPRR will be submitted to the NGF for peer review after it has been tabled and adopted by the SC.

The SPRR, like the SSAR, will be structured to show the assessed State's achievements, commendable practices, challenges and shortcomings alongside recommended remedial actions. The TRP would also at this stage document the how and why of the commendable practices even though the SC has the ultimate say on what would qualify as a commendable practice.

The TRP will also work with State officials to assist them in producing an SPoA, which would be appended to the SPRR. The SPoA should emanate strictly from the findings of the SPRM and focus exclusively on governance processes. The document will be prepared by the State, thus there is a possibility that State officials might include pet projects not derived from the assessment process. The State's steering committee will serve as a watchdog to prevent such practices.

## **4.8 Types of Review and Periodicity**

The SPRM could take many forms. The main type of State Peer Review is a comprehensive assessment starting from the validation of the SSAR and SPoA to the production and launching of an SPRR. Provision has also been made for issue-based and self-requested assessments, as set out below.

### **Comprehensive State Peer Review (SPR)**

The first SPR in a State should involve the application of the entire SPRM instrument in assessing that State's development. Being the first of its kind, this SPRR will be a baseline report. It will require a greater focus on data definition and collection than subsequent periodic updates. Any methodological problems specific to the State will also need to be ironed out. These processes should be documented to ensure that the State produces consistent reports over time.

### **NGF Initiated Issue-based Assessment**

Besides the comprehensive State assessments – the outputs of which are the SSAR and SPoA – the NGF may carry out more issue-based State peer review assessments for all States. This type of assessment is based on specific exigent issues that have developmental implications. It may be carried out in all States, in a cluster of States, or in a specified geopolitical zone or selected States as decided by the NGF. Such issues may include security, environmental problems (e.g. desertification, erosion, flooding), drug abuse, youth empowerment, gender etc. It is suggested that the NGF utilize the SPRM to prioritize and undertake issue-specific assessments.

### **Self-Requested**

Self-requested reviews are issue-based assessments carried out by the NGFS based on requests from States. Issues that are peculiar to zones or regions or States include the problem of street children (“almajiri”, area boys etc.), provision of regional infrastructure, declining male enrolment in schools in the Southeast zone, security challenges, and environmental issues such as erosion, flooding and desertification.

### **Compendium of Innovative Practices in States**

At the end of the electoral cycle, the NGFS will also strive to publish a compendium of innovative practices in States, drawing as much as possible from completed reviews. This initiative would be embarked upon every four years and the outcome, which will be published as a Compendium of Innovative Practices in all of the States of the federation, would document the how and the why of the selected initiatives to guide incoming administration. The process will be led by the Steering Committee, drawing on the SPRM resource base.

## Section 5

# Leadership and Management

The NGF, overseen by its Chairman, and supported by the SPRM SC and the SPRM Secretariat, will provide overall leadership of the SPRM. At the level of individual States, the Governor will provide political leadership and will be supported by a State-level SPRM Unit. See Figure 2 on leadership and management structure.

### 5.1 Political Leadership

The NGF will provide the political leadership for the SPRM and will meet twice a year to discuss SPRM reports and progress in the implementation of SPoA. At its discretion, the NGF may hold an additional or extraordinary meeting on SPRM matters during a calendar year. Peer review reports can only be made public and disseminated after they have been discussed and adopted by the NGF.

### 5.2 SPRM Steering Committee

The SC will have three main functions: first, to serve as an advisory body to the political leadership of the SPRM; second, to provide guidance and direction for SPRM operational activities; and third, to insulate the SPRM from partisan politics. More specifically, its duties will include approval of the master set of benchmarks, oversight of the independent reporting process by the TRP, and ensuring the continuity, quality and integrity of the SPRM process.

The SC will be chaired by a distinguished Nigerian who commands the respect of Governors and the general public. The other members will be: two former State Governors, the Minister of National Planning; the Senior Special Assistant to the President on the Millennium Development Goals (SSAP-MDGs) or the replacement; the Statistician-General of the federation and head of the National Bureau of Statistics (NBS); one retired respected Head of Service or Permanent Secretary (appointed from one of the six geo-political zones on a rotational basis); the Special Adviser to the President on the New Partnership for Africa's Development (SAP-NEPAD); and one senior expert each from academia, trade unions, civil society, and the media. The Director-General (DG) of the NGFS will serve as its secretary.

The composition of the SC is designed to ensure strong NGF-based experience through the former State Governors and the DG of the NGFS. Equally important is the enhancement of the professionalism, integrity and credibility of the SPRM process through the significant number of non-NGF experts in the committee. A measure of gender balance must be respected in the selection of both the NGF and the non-NGF members of the committee. Finally, having the heads of four key federal organisations (NPC, OSSAP-SDGs, SAP-NEPAD and the NBS) as members of the SC is expected to help strengthen institutional relationships with the States.

The SC will be selected by the Forum and serve for a tenure of three years, which is renewable once, subject to any modifications that pioneer SC members might propose. However, the retirement of non-ex-officio members should be staggered to retain institutional memory. In this regard, some pioneer members may need to retire mid-way through their second tenure so that new members can be inducted. By the time other pioneer members retire at the end of their second tenure, there will be SC members with some experience to give orientation to newly appointed members.

### 5.3 SPRM Secretariat

A unit within the NGFS will have responsibility for managing the various activities relating to the SPRM process. It will provide administrative coordination and support for all the activities relating to the peer review process. The head of the unit will ensure secretarial support for the work of the TRP. The unit will also provide technical guidance to the SPRM units in the States and maintain consistent and effective coordination with them. It will be responsible for organising the retreats, workshops, exchange visits and seminars identified in Section 7 below.

### 5.4 Technical Review Panel

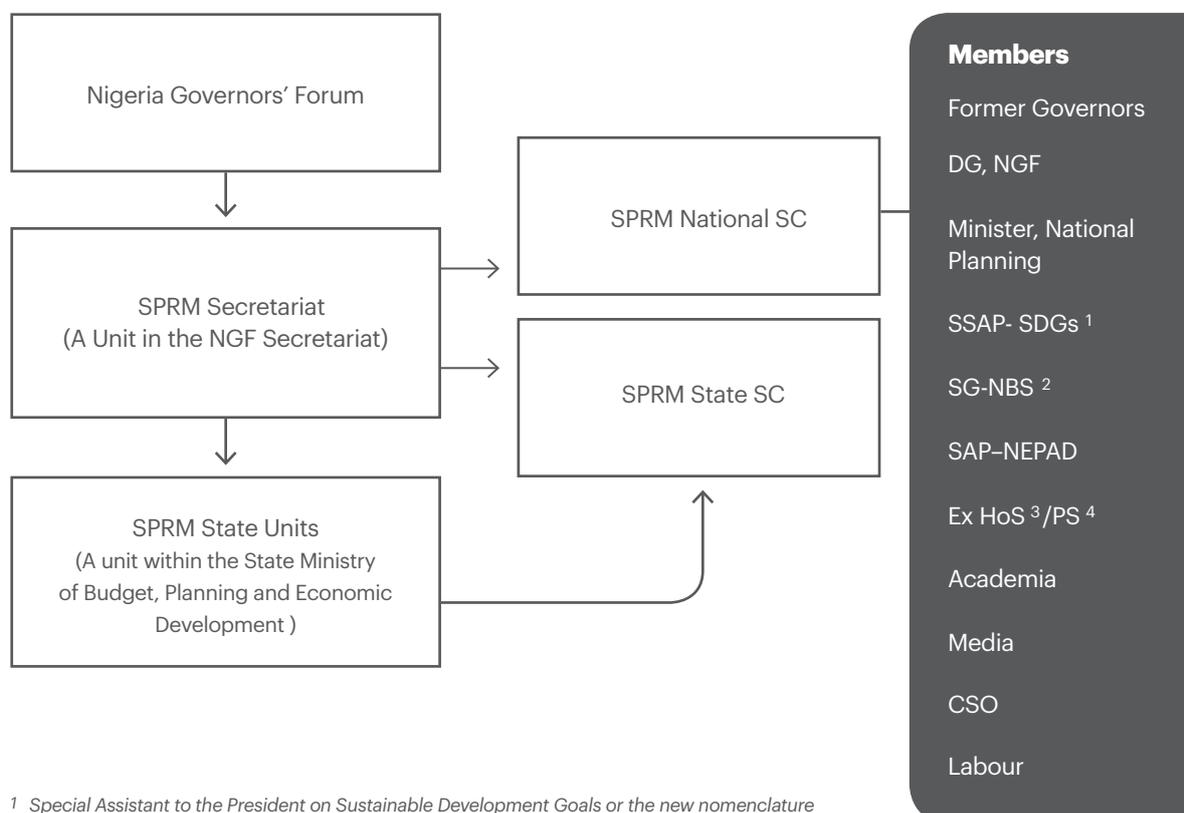
The TRP will be comprised of subject experts and seasoned practitioners drawn from academia, professional associations, civil society organisations (CSOs), the private sector and experts provided by development partners. These review experts will carry out the validation of the SSAR and execute other relevant assignments in the review process including preparation of the SPRR.

### 5.5 State-level Leadership and Management Structure

The Governor of each State will provide political leadership for all SPRM activities at the State level. The process will be guided by the Secretary to the Government. An SPRM unit will be located in each State within the Ministry of Budget, Planning and Economic Development with the Commissioner as the State SPRM coordinator. A Director should be appointed to head the unit. The unit will coordinate all of the administrative and technical activities (including knowledge management) relating to a SSAR and other SPRM activities at the State level.

A State SC will also be constituted to provide strategic policy direction to the implementation of the SPRM. The body, which should be autoMoUs and inclusive of all key stakeholders, should be comprised of outstanding citizens who command the respect of the general public. It should be chaired by a non-State actor. The SPRM allows for flexibility in the composition of the State SC to accommodate State specificities, provided it meets the crucial criteria of inclusiveness as well as objectivity, transparency and accountability.

**Figure 2: SPRM Leadership and Management Structure**



<sup>1</sup> Special Assistant to the President on Sustainable Development Goals or the new nomenclature

<sup>2</sup> Statistician General, National Bureau of Statistics

<sup>3</sup> Ex-Head of Service

<sup>4</sup> Permanent Secretary

## Section 6

# Peer Learning, Knowledge Management and Communications

## 6.1 Introduction

As a participatory and inclusive process, the SPRM provides a systematic and structured opportunity for the production, management and dissemination of knowledge, thereby making knowledge management (KM) an integral part of the process. It enables States to:

- Clarify their vision and strategy for State development;
- Inculcate stakeholder participation into policy-making and review processes;
- Share experiences about achievements and challenges in implementing policies and programmes.

## 6.2 NGF and Peer Learning

The biannual meetings of the NGF will provide the Governors with an opportunity for peer learning from the review of reports, sharing of experiences, and the discussion of possible solutions to common challenges. The NGFS will strive to ensure maximum attendance and participation of Governors at such meetings since it presents an opportunity for them to learn about innovative practices, success stories and shared challenges through feedback from other States.

## 6.3 State Public Service and Peer Learning

The good governance, improved service delivery and peer learning benefits of the SPRM can only be institutionalised in the public management architecture of the States through enhanced engagement of the leadership of the States' public services with the SPRM process. The NGF and States' SPRM coordinators will therefore promote knowledge sharing within the public service and with other stakeholders during and after the SPRM process. Knowledge management, as a component of the functions of the Ministries, Departments and Agencies (MDAs), should be enhanced through:

- KM being integrated into the SPRM process at the outset;
- Designating key KM drivers (such as the DPRS) for the SPRM process;
- Integrating the SPRM into the planning process by linking it with sector strategies.

## 6.4 Role of the SPRM Steering Committee and SPRM Secretariat

The National SC and the SPRM secretariat will play a key role in coordinating the peer learning process through the development of knowledge management and communication expertise that will cascade down to senior State officials and SPRM units in the States. This will include the following:

- Maintaining and updating the SPRM indicators and Base Document, responding to feedback from the States as experience with the SPRM process grows and priorities mature;
- Receiving individual State submissions (SSAR and SPoA) and appointing experts to ensure that all the questions in the instrument have been answered according to the indicators, thereby preventing poor quality self-assessment or the entrenchment of sub-optimal standards;

- Assisting the technical review panel to externally review the State submission and produce the State peer review report (SPRR);
- Tabling the SPRR and SPoA through the Secretariat for discussion by the steering committee and the NGF;
- Launching the reports in the States;
- Periodic wide dissemination of the highpoints of the process, e.g. SSAR, SPRR, SPoA, commendable practices and outcomes in the mass media;
- Posting reports on websites and using other forms of dissemination to reach relevant stakeholders at federal and State levels as well as development partners;
- Encouraging the States to upload relevant documents including SPRM documents to the NGF content management system (CMS) and to update their websites regularly with same;
- Organising governance share fairs to promote peer learning among States;
- Compiling a compendium of commendable practices from time to time to deepen peer learning and enhance good governance in States.

## 6.5 Workshops, Seminars and Exchange Visits

The SPRM Secretariat, the National SC and State SC will promote awareness, peer learning and dissemination through:

- The SPRM launch where relevant stakeholders are enlightened on the details of the Process, with participants drawn from the main stakeholders, including the Governor, the Executive Council, House of Assembly members, the Judiciary and non-State actors;<sup>5</sup>
- Workshops for training external assessors (TRP);
- Initiation seminars for individual States that are beginning their self-assessment;
- Multi-State workshops for sharing experience and knowledge;
- Periodic workshops for State government officials and selected stakeholders (including relevant Committees of State House of Assembly (SHoA) with particular attention to the SPoA and the progress of implementation;
- Periodic briefing of the State executive committee and the SHoA on the implementation of the SPoA by the State SC;
- Periodic briefing of the State public service on the implementation of the SPoA by the State SC;
- Exchange of visits among Governors and senior officials.

## 6.6 Publication and Dissemination

The State peer review report will be published no later than two months after a State has undergone peer review. The SPRM Secretariat, with the support of the SPRM units in the States, will ensure the dissemination of review reports through feature articles in newspapers, magazines and online platforms, and the distribution of published materials as approved by the SPRM SC.

<sup>5</sup> This includes representatives of the private sector, women groups, youth groups, persons living with disabilities, etc.

The SPRM Secretariat will create and regularly update a dedicated section of the NGF website, which explains the SPRM process. This will include State self-assessments, the SPoAs and other review reports that have been approved for publication by the NGF or the SPRM SC. Published and unpublished SPRM-related materials will be stored in a special section of the NGF Secretariat's library. Each State's SPRM unit will have a documentation centre for the physical storage of published and unpublished SPRM materials that are produced within the State as well as selections from the materials produced at the SPRM Secretariat level.

Table 1 maps out the KM activities and roles for the NGF SPRM Secretariat and State SPRM teams.

**Table 1. Mapping of KM activities and roles across the different stages of the SPRM process**

	SPRM STAGE	KEY ACTIVITIES	KM OBJECTIVES	KM ACTIVITIES	
				SPRM SECRETARIAT (NGF)	State SPRM TEAM
<b>1</b>	Inception	Governor and ExCo mandates	Ensure State Governor and ExCo are briefed  Obtain buy-in to KM role  Identify a KM lead	Briefing of Governors, ExCo, legislature, judiciary  Assemble documentation on the State to be reviewed  Upload onto CMS or into Library  Transmit instrument of assessment to State  Train the State KM lead	Preparation of KM plans and populating the NGF CMS with relevant background documents well before the sensitisation stage
	Meeting with expanded ExCo	Stakeholder workshop  SPRM unit formation	Ensure all stakeholders are briefed	Assist in design and organisation of event  Provision of information	Organise and manage event
<b>2</b>	Self-Assessment Review	Preparation of SSAR & SPoA  NGFS check for completeness	Ensure accessibility to relevant information	Check draft reports to check that the instrument of assessment has been fully addressed	Distribute key documentation and information to all members using the CMS and alerts by SMS messaging  Document lessons on the process adopted in implementing this stage

	SPRM STAGE	KEY ACTIVITIES	KM OBJECTIVES	KM ACTIVITIES	
				SPRM SECRETARIAT (NGF)	State SPRM TEAM
3	Technical Review Mission	TRP validation of data and sources	Ensure consistency of component sections prepared by TRP	Log and distribute reports Quality assurance procedures	Make information readily available to the TRP and facilitate interactions between the TRP and relevant State officials and other relevant individuals
	Preparation of SPRR	Writing workshop Review draft Final SPRR	Ensure quality and consistency of SPRR	Receive and review the TRP's draft reports and SPoA  Share the TRP's draft reports with the State and consider its feedback on them, ensure that factual errors are corrected	
4	Peer review by NGF	Tabling of SPRR and SPoA  Peer review before NGF	Ensure reports are tabled in consistent and accessible format	Prepare executive summaries  Assemble reports for tabling	
	Public launch	Launch event  Public posting	Full public disclosure of SPRR and SPoA	Develop communications plan for the launch and media coverage  Post the SPRR and SPoA on the Website	Web posting  Newspaper publications  TV /Radio discussion programmes
	Post Review	Knowledge exchange and learning events and activities	The promotion and dissemination within and between the States of best practices	Promote knowledge exchange by supporting a broad range of workshops, study visits, communications and other channels	Promote knowledge exchange by supporting a broad range of workshops, study visits,

## Section 7

# Scope of Indicators

### 7.1 Introduction

This framework of indicators covers the four thematic areas incorporated in the review process. These are Policy and Strategy/Monitoring and Evaluation; Public Financial Management; Human Resource Management; and Citizens Participation, Social Inclusion and Protection. These four thematic areas have also been integrated into the core sectors of Health, Education, Agriculture, Infrastructure and Environment as well as Economic Development.

### 7.2 Thematic Areas of Assessment

**Table 2. Thematic Areas of the SPRM Assessment and their description.**

Thematic Areas	Description of Related Performance Issues
Policy and Strategy	Existence of evidence-based policies; reflection of State priorities; existence of strategies that would actualise policies; existence of targets to measure policy actualisation. This also includes a description of the level of development and State-level macroeconomic framework.
Public Financial Management	Prudence in fiscal and budget management; linking budget to policies and strategy in the core sectors (economy, health, education, agriculture, environment, energy, infrastructure); realistic budgeting; timelines of budget implementation with expected deliverables; mechanisms that support better public service delivery; use of State resources to foster economic development and use of evidence for budgeting, planning and implementing programmes and projects.
Human Resource Management	Existence of rules and regulations guiding public service governance; clearly articulated mandates, functions and external accountabilities of MDAs to guide service delivery and performance; open and transparent recruitment and promotion processes; level of capacity development of civil servants; existence of a robust performance management system; existence of a feedback mechanism to measure users' satisfaction, and avenues for redress; incentive planning and motivation; integration between personnel records and payroll data with regular and effective internal control mechanism to eliminate the emergence of ghost workers.
Citizens Participation, Social Inclusion and Protection	Participation and inclusiveness of policy, planning, and budget processes for the citizens and civil society organisations; clarity of the role of civil society in the policy process; existence of feedback mechanism for citizens to report on service delivery perceptions. Others are equal rights and opportunities for women and men, boys and girls; special measures to ensure protection and justice for vulnerable and marginalized groups; citizens' voice in governance and electoral processes. The indicators for this thematic area are also presented in the relevant sector areas.

### 7.3 Service Delivery Sectors of Assessment

The following are the core service delivery sectors that will form the basis of the State Peer Review Mechanism:

- Health;
- Education;
- Agriculture;
- Economic development;
- Environment;
- Infrastructure including ICT.

Indicators for assessing these sectors incorporate national standards and benchmarks as well as international conventions, codes and best practices.

### 7.4 Key Elements of Assessment

The framework for the SPRM Indicators is anchored on the following four key elements:

**Table 3: Elements of the SPRM assessment and their description**

Elements of Assessment	Description of the Assessment Elements
Existence and Application of Legal & Regulatory Framework	<p>Public administration and public sector management are aimed at modernising and improving the efficiency of public sector institutions. What type of organisation and management methods are best suited for the tasks to be performed? It is an organisation’s legal, regulatory and policy framework that conditions the goals or values to be achieved by translating the vision, mission and priorities of the State into mandates and achievement targets. Their quality and appropriateness, therefore, matter for the performance of public institutions.</p> <p>In its relationship to management, the law has to be viewed as a framework, object and tool for enhancing development planning, management of reforms, programmes, and projects, and creating an accountability framework between the State government and citizens of the State.</p> <p><b>The key questions to be posed include:</b></p> <p>How does the State Governor’s political vision and aspirations translate into development plans and reform programmes at the State and sector levels?</p> <p>Does the State have a comprehensive and consistent framework for crafting the State’s development plans, and reform programmes?</p> <p>What is the legal basis for the framework used in framing State Development Plans, programmes or reform plans?</p>

Elements of Assessment	Description of the Assessment Elements
State Performance	<p>State performance measurement is concerned with assessing how public executives respond to the performance challenge at the State level; how they improve performance in a way that produces results that citizens truly value; how they demonstrate that their organisations possess the competence that generates the resources and flexibility required to do even better in the future; whether they have adequate knowledge, skills, and institutions for responding creatively and effectively to any performance challenge; whether they have a clear understanding of how to create a performance strategy; their ability to motivate both employees and partners, and their capacity to exercise leadership in a diverse and complex political environment.</p> <p><b>The template at this level includes:</b> Description of the institutional framework and/or strategies in place for implementing the State’s development plans, and/or reform programmes.</p>
Effectiveness & Efficiency (Ensuring goals are being met at the right cost)	<p>Effectiveness implies the degree to which challenges to State development that have been identified are resolved, and the extent to which the State’s objectives are achieved. The primary issue is to ascertain whether or not targeted populations receive the right outputs during the implementation of the State’s strategic programmes. This analysis will be carried out for each of the core thematic areas identified in the framework of SPRM indicators.</p> <p>Efficiency is measured as the extent to which State delivery mechanisms are economical in terms of public goods or services delivered to target populations; outputs are measured in relation to inputs to determine whether stakeholders used the least costly resources possible to achieve desired targets. The challenge here will be to establish evidence that sufficient value or benefit was generated. It will be useful to assemble information or evidence about the impact of services and programs, their costs, and the consequences of choosing one option over another.</p> <p>For both effectiveness and efficiency, an attempt should be made to undertake a variance analysis or earned-value analysis between planned and actual performance in terms of the intervention programmes and budget management. A qualitative understanding of actual performance is crucial.</p> <p>The assessment of effectiveness and efficiency should be complemented by a qualitative assessment of relevancy of policy, programmes and projects. Relevance is about the degree to which the State’s activities meet the needs of the targeted population or are a solution to the identified socio-economic or socio-political challenges; whether the activities and outputs of State programmes are consistent with and contribute towards attainment of the overall goal and set objectives – whether the State’s programmes are consistent with Nigeria’s policy and agreed fiscal policy arrangements.</p> <p><b>The key questions at this layer include:</b></p> <p>Are the State Development Plan and/or reform programme properly costed and aligned to the annual fiscal and budgetary targets?</p>

Elements of Assessment	Description of the Assessment Elements
Sustainability (Capacity of the generated improvements to endure)	<p>Sustainability refers to both policy and framework outcome. It is defined in terms of sustained gain in capacity and the wellbeing of the target population over time. It is the endurance of the generated economic, socio-political, institutional and environmental capacity of the State.</p> <p><b>The key questions to be answered are:</b></p> <p>What are the State's long-term development vision and goals?            What is the likelihood that the gains and effects of any State investment would be sustained over time, more specifically if there were changes in the State's leadership and the structure of State institutions?</p>

## Section 8

# Indicator for Assessment

**Table 4: Framework of Indicators**

Areas of Assessment	Existence and application of law on mandate, regulation and policy framework	State government performance	Ensuring goals are being met	Capacity of the generated improvement to endure (sustainability)
(A)	(B)	(C)	(D)	(E)
<b>Performance Criteria</b>				
<b>Policy and Strategy</b>				
<b>State Development Plans &amp; Strategies</b>	P&S 1.1 Existence of SDP to drive State development priorities.	P&S 1.2 Existence of sector plans or strategies for the six core sectors of assessment that set sector outcome targets and are costed.	P&S 1.3.1 SDP policy outcomes being achieved as measured against Key Performance Indicators (KPIs).  P&S 1.3.2 Sector outcome targets achieved as measured against KPIs.	
<b>Participation and ownership</b>		P&S 2.2 Institutional framework in place to enable stakeholders to participate in formulation of SDP and sector strategies.	P&S 2.3 SDP and sector strategies developed in consultation with stakeholders (i.e. private sector, academia, civil society representatives, including those of marginalized communities).	P&S 2.4 Stakeholders participate in periodic SDP and sector plan implementation performance reviews.
<b>Performance Management</b>	P&S 3.1 Availability of a State-wide strategy or policy document on information management / M&E and extent of its implementation by MDAs.	P&S 3.2.1 Extent and quality of regular cross-government (SDP) and Medium Term Sector Strategy (MTSS) review processes.  P&S 3.2.2 Level of resources allocated for M&E within MDAs.	P&S 3.3 Extent to which policy, strategies or programmes are adjusted in response to review findings.	

<b>Areas of Assessment</b>	<b>Existence and application of law on mandate, regulation and policy framework</b>	<b>State government performance</b>	<b>Ensuring goals are being met</b>	<b>Capacity of the generated improvement to endure (sustainability)</b>
<b>(A)</b>	<b>(B)</b>	<b>(C)</b>	<b>(D)</b>	<b>(E)</b>
<b>Performance Criteria</b>				
<b>Availability of Statistics and Surveys/ Research</b>	P&S 4.1 Extent to which a State Statistical Act has been passed into law and is being applied.	P&S 4.2 Effectiveness of management information systems (MIS) in supporting decision-making.	P&S 4.3 Extent to which data collection and analysis processes allow comprehensive measurement of performance indicators.	P&S 4.4 Level of demand for State statistics.
<b>Economic Development</b>				
<b>State-level Economic Growth</b>	ED 1.1 Existence of legal frameworks and strategies to support State-level economic growth and the extent to which they stimulate production, productivity and wealth creation.	ED 1.2.1 Institutional Framework for translating strategy into action.  E.D 1.2.2 Internally Generated Revenue (IGR) machinery and performance.	ED 1.3 State-level Gross Domestic Product (GDP) and its growth, per capita GDP, sectoral shares of State-level GDP (agriculture, industry/ manufacturing, mining and quarrying, services, etc.), and social development outcomes (State human poverty index/poverty incidence, human development index, unemployment rate).	ED 1.4 Existence of legal backing for policies, programmes and projects, and availability of sustainable sources of revenue.

<b>Areas of Assessment</b>	<b>Existence and application of law on mandate, regulation and policy framework</b>	<b>State government performance</b>	<b>Ensuring goals are being met</b>	<b>Capacity of the generated improvement to endure (sustainability)</b>
<b>(A)</b>	<b>(B)</b>	<b>(C)</b>	<b>(D)</b>	<b>(E)</b>
<b>Performance Criteria</b>				
<b>Business Environment</b>	ED 2.1 State legislation and strategic framework for improving the ease of doing business in the State.	ED 2.2.1 Level of support from the State for businesses.  E.D 2.2.2 State of investment climate and the perceived obstacles to doing business.	ED 2.3.1 Number of private sector businesses operating in the State (production, distribution and services enterprises, banks, insurance companies, stock brokers, and micro-finance banks).  ED 2.3.2 Existence of alternative dispute resolution mechanism in the State, especially as it relates to the private sector.	
<b>Public Financial Management</b>				
<b>Fiscal Planning</b>	PFM 1.1 Extent to which the State has adopted and localized the Fiscal Responsibility Act 2007.	PFM 1.2 Institutional framework for fiscal planning and multi-year perspective in expenditure planning and budgeting.	PFM 1.3 Evidence of multi-year aggregate fiscal forecasts and forward expenditure estimates.	
<b>Budget Preparation and Budget Realism</b>	PFM 2.1 Framework of the State budget preparation and implementation guidelines (processes, activities, roles, responsibilities and timeline).	PFM 2.2.1 Date of key budget activities and proper legislative scrutiny of appropriation bill.  PFM 2.2.2. Key budget documents submitted to the SHoA for budget scrutiny and approval.	PFM 2.3 Level of budget deviation and/or variance.	PFM 2.4 Level of citizens/ stakeholders' (including women and vulnerable groups) participation and engagement in budget process as well as public access to budget information.

<b>Areas of Assessment</b>	<b>Existence and application of law on mandate, regulation and policy framework</b>	<b>State government performance</b>	<b>Ensuring goals are being met</b>	<b>Capacity of the generated improvement to endure (sustainability)</b>
<b>(A)</b>	<b>(B)</b>	<b>(C)</b>	<b>(D)</b>	<b>(E)</b>
<b>Performance Criteria</b>				
<b>Revenue Administration</b>	PFM 3.1 Extent to which the State has internalized the revenue legislations and procedures.	PFM 3.2 The status of the State board of internal revenue and State revenue service.	PFM 3.3 Percentage of State total IGR to total revenue for the past three years.	PFM 3.4 Institutional mechanism for expanding revenue base and improving collections.
<b>Procurement</b>	PFM 4.1 Existence and robustness of State procurement law.	PFM 4.2 Institutional framework and mechanism to ensure transparent procurement processes.		
<b>Financial Recording, Reporting and External Scrutiny</b>			PFM 5.3.1 Timeliness in preparation of in-year budget reports consistent with IPSAS reporting format.  PFM 5.3.2 Timeliness of submission of annual financial Statements for audit.  PFM 5.3.3 Presentation of audited accounts to the SHoA and scrutiny of audited accounts by the SHoA.	

<b>Areas of Assessment</b>	<b>Existence and application of law on mandate, regulation and policy framework</b>	<b>State government performance</b>	<b>Ensuring goals are being met</b>	<b>Capacity of the generated improvement to endure (sustainability)</b>
<b>(A)</b>	<b>(B)</b>	<b>(C)</b>	<b>(D)</b>	<b>(E)</b>
<b>Performance Criteria</b>				
<b>Inter-Governmental Fiscal Relation</b>	PFM 6.1 Extent to which the State has internalized the constitutional provisions for inter-governmental fiscal relation.	PFM 6.2 Existence of a functional State Planning Board.	PFM 6.3 Transparent distribution of revenue to LGs from State joint LG Account.	PFM 6.4 Level of public access to information on distribution and transfer of revenue (federation accounts and State IGR) to LGs.
<b>Debt Management (External and Domestic)</b>		PFM 7.2 Evidence of coherent framework for managing external and domestic debts.	PFM 7.3 State debt and whether the debt ratio are within sustainability threshold.	
<b>Human Resource Management</b>				
<b>Civil service Governance</b>	HRM 1.1 Extent to which the State civil service has robust policies, rules and regulations to manage its human resources.	HRM 1.2 Extent to which open and transparent processes are applied in recruitment, and promotion of personnel.	HRM 1.3 Appropriateness of civil service workforce to State needs, and Recruitment based on need.	HRM 1.4 Level of capacity development of public servants disaggregated by sex.
<b>Service Delivery &amp; Performance</b>	HRM 2.1 Extent to which the State has prepared and documented clear guidelines of MDA's structures, mandates, functions and accountabilities.	HRM 2.2 Existence of performance management system (other than the Annual Performance Evaluation Report (APER) system) linked to mandates and service standards.	HRM 2.3 Feedback mechanism to measure service users' satisfaction and avenues for redress.	
<b>Incentives and Accountability</b>	HRM 3.1 Extent to which there are procedures for incentive planning, payments and monitoring.	HRM 3.2 How State salary structure compares with federal and other States.	HRM 3.3 Degree of integration and reconciliation between personnel records and payroll data with robust internal control mechanism.	

<b>Areas of Assessment</b>	<b>Existence and application of law on mandate, regulation and policy framework</b>	<b>State government performance</b>	<b>Ensuring goals are being met</b>	<b>Capacity of the generated improvement to endure (sustainability)</b>
<b>(A)</b>	<b>(B)</b>	<b>(C)</b>	<b>(D)</b>	<b>(E)</b>
<b>Performance Criteria</b>				
<b>Education Sector</b>				
<b>Education Sector Governance</b>	ES 1.1 Extent to which the State has institutionalised preparation of evidence-based education sector plans (and/or 'MTSS').		ES 1.3 Extent to which targets in the sector plans are being met.	ES 1.4 Extent to which developments in the education sector are linked to the plans (and/or MTSS) as well as percentage of the State's annual budget dedicated to education sector.
<b>Infrastructural Facilities for learning environment</b>	ES 2.1 Extent of adoption and localisation of policies setting minimum standards of infrastructural facilities for learning environment.	ES 2.2 Institutional framework for ensuring that minimum standards of infrastructural facilities for learning environment are adhered to/ maintained.	ES 2.3.1 Pupil per classroom ratio.  ES 2.3.2 Percentage of rural population having primary school located within 1 Kilometer (Km).  ES 2.3.3 Percentage of schools with functional latrine facilities.  ES 2.3.4 Percentage of schools with access to potable water.	ES 2.4.1 Level of community participation in school management.
<b>Quality of Teaching and Learning Standards</b>	ES 3.1 Existence of policies on teaching and learning standards.		ES 3.3.1 Pupil-qualified teacher ratio.  ES 3.3.2 Percentage of teaching staff that received in-service training.	ES 3.4 Institutionalised quality assurance evaluation mechanism.

Areas of Assessment	Existence and application of law on mandate, regulation and policy framework	State government performance	Ensuring goals are being met	Capacity of the generated improvement to endure (sustainability)
(A)	(B)	(C)	(D)	(E)
<b>Performance Criteria</b>				
<b>Education Sector</b>				
<b>Enrolment and Performance</b>			ES 4.3.1 Gross and net enrolment rates and completion rate by gender, level, location and economic status.  ES 4.3.2 Percentage of students who obtained pass certificate in standard examinations.	
	<b>Health Sector</b>			
<b>Health Sector Governance</b>	HS 1.1 Strategic plans for the Health Sector exist and are institutionalised.		H.S 1.3 Extent to which Sector targets in the Strategic Plan are being met.	H.S 1.4 Extent to which developments in the health sector are linked to the plan as well as percentage of the State's annual budget dedicated to health sector.
<b>Service Delivery and Performance</b>		HS 2.2 Institutional arrangements for primary and secondary healthcare in the State.	HS 2.3.1 Number and type of health management and integrated supportive supervision mechanism put in place and implemented.  HS 2.3.2 Proportion of wards with functioning public health facilities providing minimum health care package according to quality of care standards; including availability of safe water and sanitation.	

Areas of Assessment	Existence and application of law on mandate, regulation and policy framework	State government performance	Ensuring goals are being met	Capacity of the generated improvement to endure (sustainability)
(A)	(B)	(C)	(D)	(E)
<b>Performance Criteria</b>				
<b>Health Sector</b>				
<b>Immunisation, Child and Maternal Mortality</b>			<p>HS 3.3.1 Proportion of 12-23 months-old children fully immunized.</p> <p>HS 3.3.2 Percentage of children 6-59 months-old receiving Vitamin A supplements.</p> <p>HS 3.3.3 Malaria incidence among under-five children.</p> <p>HS 3.3.4 Infant, child and maternal mortality ratio.</p> <p>HS 3.3.5 Contraceptive prevalence rate.</p> <p>HS 3.3.6 Focused ante-natal care (ANC) or percentage of pregnant women with 4 ANC visits performed according to national Standards.</p>	
	<b>Staffing</b>	HS 4.1 Framework for staffing and capacity development of health personnel in the State.		<p>HS 4.3 Proportion of health professionals per population (physician, nurses and health workers per population (rural/urban).</p> <p>H.S 4.4 Number and types of plans and programmes for strengthening and motivating the human resource capacities in the health sector implemented.</p>

Areas of Assessment	Existence and application of law on mandate, regulation and policy framework	State government performance	Ensuring goals are being met	Capacity of the generated improvement to endure (sustainability)
(A)	(B)	(C)	(D)	(E)
<b>Performance Criteria</b>				
<b>Health Sector</b>				
<b>Health Management Information System (HMIS)</b>		<p>HS 5.2.1 Existence of fully established Health Management Information System (HMIS) in the State.</p> <p>HS 5.2.2 Proportion of State annual health budget earmarked and utilized for health research, generation of evidence, and research capacity strengthening.</p>	H.S. 5.3 Number of health programmes and intervention plans and strategies for improved coverage and high quality impact developed based on information generated from routine HMIS data.	HS 5.4 Extent of collaboration with communities (active participation of women groups, traditional rulers, opinion leaders, Community Based Organisations (CBOs), Non-governmental organizations (NGO) and civil society organisations (CSOs).
<b>Environment Sector</b>				
<b>Environmental Governance</b>	EnvS 1.1 Environmental policies and presence of environmental laws and enforcement.	EnvS 1.2 Availability of current State of environment report for the State.	EnvS 1.3 Frequency of prosecution of environmental offenders.	
<b>Waste Management</b>	EnvS 2.1 Existence of waste management policies, strategies and plans that align with federal equivalents.	EnvS 2.2 State institutional framework for waste management and its alignment with relevant federal institutions.	EnvS 2.3 Availability of final waste disposal sites in the State.	
<b>Biodiversity Management</b>	EnvS 3.1 Existence of biodiversity management policies, strategies and plans that align with federal equivalents.		EnvS 3.3 Existence of and number of conservation facilities (e.g. botanical gardens, wildlife parks, zoo, etc.)	EnvS 3.4 Evidence of regular maintenance of biodiversity facilities, availability of current data on biodiversity resources and capacity building.

<b>Areas of Assessment</b>	<b>Existence and application of law on mandate, regulation and policy framework</b>	<b>State government performance</b>	<b>Ensuring goals are being met</b>	<b>Capacity of the generated improvement to endure (sustainability)</b>
<b>(A)</b>	<b>(B)</b>	<b>(C)</b>	<b>(D)</b>	<b>(E)</b>
<b>Performance Criteria</b>				
<b>Response to Climate Change and other Environmental challenges</b>	EnvS 4.1 Evidence of climate change mitigation/adaptation and other environmental challenge(s) policies/plans.	EnvS 4.2 Existing Institutional framework for climate change mitigation/adaptation and other environmental challenge(s) in the State (such as flooding, erosion, desertification e.t.c).	EnvS 4.3 Availability of climate adaptation/other environmental challenge(s) rehabilitation sites in the State.	EnvS 4.4 Establishment of Commission /Authority on Climate change and other environmental challenges in the State.
<b>Agriculture Sector</b>				
<b>Agricultural Sector Governance</b>	AS 1.1 Existence of strategic plan with clear and measurable targets.		AS 1.3 Extent to which sector targets or KPIs in the strategic plan are being met.	AS 1.4 Extent to which developments in the Agriculture sector are linked to the plans (and/or MTSS) as well as percentage of State's annual budget dedicated to the Agriculture sector (both budgeted and actual) and the extent to which it meets the NEPAD <sup>6</sup> CAADP <sup>7</sup> recommendation of 10 percent.
<b>Agricultural Research and Extension Systems</b>	AS 2.1 Existence of programmes at State level aimed at ensuring dissemination of appropriate new technology.	AS 2.2 Percentage of the annual State Agriculture budget disbursed to the Adaptive Research and Extension activities of the State.	AS 2.3 Ratio of farmers to extension agents.	
<b>Land Management and Tenure Systems</b>	AS 3.1 Framework that is gender and socially inclusive to promote land management and tenure systems for agricultural purpose.	AS 3.2 Measures undertaken by the State to ensure access to land and conservation of land for good agricultural practices, including for women and marginalised groups.	AS 3.3.1 Proportion of land area with sustainable land management (SLM) practices measured as a percentage of the baseline.	

<sup>6</sup> New Partnership for Africa Development

<sup>7</sup> Comprehensive Africa Agriculture Development Programme

<b>Areas of Assessment</b>	<b>Existence and application of law on mandate, regulation and policy framework</b>	<b>State government performance</b>	<b>Ensuring goals are being met</b>	<b>Capacity of the generated improvement to endure (sustainability)</b>
<b>(A)</b>	<b>(B)</b>	<b>(C)</b>	<b>(D)</b>	<b>(E)</b>
<b>Performance Criteria</b>				
<b>Land Management and Tenure Systems</b>			AS 3.3.2 Annual count of training Mounted for extension agents in SLM techniques.	
<b>Market Access</b>	AS 4.1 Framework that ensures access to market.	AS 4.2 Status of State rural infrastructure in ensuring market access.	AS 4.3 Extent of farmers output commercialisation.	
<b>Water and Irrigation Supply and Control</b>	AS 5.1 Existence of framework for water irrigation supply and control.	AS 5.2. Existence of institutional structure to manage and control water irrigation supply systems in the State.	AS 5.3 Percentage change in irrigable land area.	
<b>Credit supply and insurance</b>	AS 6.1 Existence of Framework for Credit supply and insurance.	AS 6.2 Number of financial institutions (Savings/Credit/ Insurance) and products offered in rural areas.	AS 6.3 Proportion of farmers with access to credit and insurance measured as a % of the baseline.	
<b>Infrastructure</b>				
<b>Basis for Undertaking Infrastructural Investment</b>	IS 1.1 Extent to which the State has laws and policies in place to guide both the development and regulation of investment in core infrastructure including public/private partnerships.	IS 1.2 Extent to which stakeholders including women and vulnerable groups were involved in project identification/ selection and implementation.	IS 1.3 Evidence that locations for infrastructure (i.e. roads, water, power, school and health facilities) were in areas of greatest need.	IS 1.4 Evidence that community concerns were addressed before, during and after project implementation.

Areas of Assessment	Existence and application of law on mandate, regulation and policy framework	State government performance	Ensuring goals are being met	Capacity of the generated improvement to endure (sustainability)
(A)	(B)	(C)	(D)	(E)
<b>Performance Criteria</b>				
<b>Level of Public Access to Infrastructure</b>		IS 2.2.1 Good paved road link from State Capital to all local government headquarters.  IS 2.2.2 Daily per capita litres of water supply.  IS 2.2.3 Existing water supply schemes and their present output.  IS 2.2.4 Access to electricity (National grid and rural electrification).  IS 2.2.5 Telecommunication coverage in the State.		
	<b>Sustainability and Maintenance</b>	IS 3.1 Extent to which the State has laws, regulation and policies to ensure/ guarantee sustainability and maintenance of infrastructure investments.	IS 3.2 Existence of institutions and organisations responsible for sustainability and maintenance of investments in infrastructure.	IS 3.3 Percentage of State budget earmarked for sustainability and maintenance of investments in infrastructure.
<b>Citizen Participation, Social Inclusion and Protection</b>				
<b>Promoting and Protecting Competitive Party and Electoral Politics</b>	CP 1.1 Constitutional, legal and institutional framework for periodic conduct of free and fair local government elections in the State operating effectively.	CP 1.2 Mechanisms and institutions established under the Constitution and State election legislation for the impartial adjudication of election disputes.	CP 1.3.1 Diversity in election to and membership of party executive committees and in-party nominations for elective public political offices at the State.  CP 1.3.2 Diversity of membership of the State Independent Electoral Commission (SIEC) reflects diversity of the State, such as gender, religion and age.	CP 1.4 Neutrality of the State public service in the political and electoral process.

<b>Areas of Assessment</b>	<b>Existence and application of law on mandate, regulation and policy framework</b>	<b>State government performance</b>	<b>Ensuring goals are being met</b>	<b>Capacity of the generated improvement to endure (sustainability)</b>
<b>(A)</b>	<b>(B)</b>	<b>(C)</b>	<b>(D)</b>	<b>(E)</b>
<b>Performance Criteria</b>				
<b>Promoting and Protecting Civil and Political Rights, and Safety and Security</b>	<p>CP 2.1.1 Legal framework and institutions in place to facilitate and ensure access to fair hearing by courts and tribunals established by law for the protection of the rights of individuals.</p> <p>CP 2.1.2 Legislation and mechanisms in place to protect the right of the individual to personal liberty, dignity, private life, family life and to acquire property in the State.</p>	<p>CP 2.2 Institutional framework and processes in place for managing police-community relationships and for alternative dispute resolution to protect the life and property of all individuals.</p>	<p>CP 2.3 Rate of crimes and conflicts in the State that threaten or violate the civil and political rights of the individual, disaggregated and disseminated by type of crime and conflict.</p>	<p>CP 2.4 Actual State budget spent in support of community crime prevention activities by the Nigeria Police Force (NPF), other security agencies and CSOs working in the community crime prevention field.</p>

<b>Areas of Assessment</b>	<b>Existence and application of law on mandate, regulation and policy framework</b>	<b>State government performance</b>	<b>Ensuring goals are being met</b>	<b>Capacity of the generated improvement to endure (sustainability)</b>
<b>(A)</b>	<b>(B)</b>	<b>(C)</b>	<b>(D)</b>	<b>(E)</b>
<b>Performance Criteria</b>				
<b>Promoting and Protecting Gender Equality and Social Inclusion</b>	CP 3.1 Laws and policies in place in line with the Constitution and other equalities-focused legislation in place to ensure social inclusion.	C.P 3.2 Institutional framework in place for enforcement of compliance with equal opportunities principle in employment.	CP 3.3 Action and achievements in SDG-type equalities-related goals.	C.P 3.4 Availability, accessibility and use of data disaggregated by gender and other social factors in planning and review of services, and appointment and promotion in the State public service, and public political appointments.
<b>Promoting and Protecting Gender Rights</b>			CP 4.3.1 Effectiveness of legislation and measures for affirmative action on gender in government and its agencies.  CP 4.3.2 Incidence of gender-based violence, including domestic violence, used to inform planning and review of policy implementation.  CP 4.3.3 The Gender Gap Index (GGI) as measured by economic participation and opportunity, educational attainment, health and survival and political empowerment.	

<b>Areas of Assessment</b>	<b>Existence and application of law on mandate, regulation and policy framework</b>	<b>State government performance</b>	<b>Ensuring goals are being met</b>	<b>Capacity of the generated improvement to endure (sustainability)</b>
<b>(A)</b>	<b>(B)</b>	<b>(C)</b>	<b>(D)</b>	<b>(E)</b>
<b>Performance Criteria</b>				
<b>Promoting and Protecting Child and Youth Rights</b>	<p>CP 5.1.1 Laws and measures in place for promoting and protecting the rights of the child – both male and female – in line with the Constitution and other child rights-related legislation and policy.</p> <p>CP 5.1.2 Laws and measures in place for promoting and protecting the rights of youths – both female and male – in line with the Constitution and other youth rights-based legislation and policy.</p>		C.P 5.3 Effectiveness of measures to promote and protect the rights of children and youths (male and female).	C.P 5.4 State budget support to MDAs and CSOs, including community- and faith-based organisations for activities to promote and protect the rights of children and youths – both male and female.
<b>Promoting and Protecting Rights of People with Disabilities</b>	<p>CP 6.1 Laws and measures in place for the protection, enforcement and mainstreaming of the rights of people with physical, mental and developmental disabilities.</p>			CP 6.4 Actual State structures and budgets and grants disbursed to State institutions and programmes, and to CSOs for activities to promote and protect the rights of people with disabilities.

## Section 9

# Guidance Notes

This section presents detailed explanatory notes on the SPRM framework of indicators.

## 9.1 Policy and Strategy

Strategy is crucial to the development and performance of any State government. It occupies a central position in the focus and proper functioning of any organisation. This is because it is a plan that integrates the State's major goals, policies and action into a cohesive whole. A well-formulated strategy should therefore help to marshal and allocate a State's resources into a viable posture based on its relative internal competencies and shortcomings and anticipated changes in the environment. Strategies help to create a sense of politics, purpose and priorities.

This aspect thus examines policy and strategy and the interrelated M&E which examines the existence and standard of a State's M&E system. The M&E indicators appraises the mechanisms the State has instituted to ensure that performance evaluation are evidence-based and that policy revisions are prompted by actual performance and process improvement.

### State Development Plan and Strategies

Indicators

Description

#### **P&S 1.1 Existence of State Development Plan to drive development priorities**

The development plan of a State is a comprehensive policy document that identifies the State's overarching policy position. The outcomes that the State government expects these policies to deliver should define policy targets in all sectors of the State government, including the core sectors of agriculture education, environment, health and infrastructure.

A critical requirement is that the plan is able to demonstrate realistic expected outcomes; this requires the financial and human resources, as well as the institutions and systems that are to be asked to implement the development plan, to be taken into account.

However, it is important to note that this indicator looks at the current development plan that the State is using. Any single document that sets out clear and comprehensive State plans with policy priorities, targets and broad strategies for achieving them may be regarded as a State Development Plan. Any such plan must be comprehensive, current and in place.

Reviewers should determine how far the State Development Plan is aligned with the sustainable development goals and the Vision 20:2020 economic transformation blueprint for Nigeria.

Although the Development Plan does not need to reflect all the priorities in the MDGs/SDGs or the Vision 2020 blueprint, the priorities should be broadly consistent.

## State Development Plan and Strategies

### Indicators

### Description

#### The key assessment questions will be:

- I. Is there a State Development Plan?
- II. Was the plan informed by an analysis of gender and social inclusion inequalities in the State?
- III. Does the State Development Plan contain clear policy priorities, outcome targets, and broad strategic approach across all sectors of the State?
- IV. Are the priorities aligned with the SDGs and Vision 20:2020?
- V. Are there clear policy outcomes that describe the policy in terms of better service delivery or improvement of the welfare of citizens including reductions in inequalities between communities and areas with the best and worst outcomes?
- VI. Does the plan set out basic Statements of sector policy, including reference to major programmes and projects, and demonstrates how these will contribute to the overall goals and vision of the SDP?
- VII. Is the plan realistic in terms of demonstrating that the policy outcomes can be achieved within the limits of financial and human resource constraints?

If there is no development plan document produced by the State in the last five years, then the reviewers should request from the Commissioners and Permanent Secretaries in charge of Economic Planning and Budget the documents that are used for this purpose.

The reviewers should then assess these documents as to their suitability as State Strategic Plan and/or Development Plans.

Information should be sourced from the Commissioners and Permanent Secretaries in charge of Economic Planning and Budget and other sector MDAs.

#### **P&S 1.2 Existence of sector plans or strategies for the six core sectors of assessment that set sector outcome targets and are costed**

This indicator examines whether there are specific sector strategic plans for the six core sectors of agriculture, education, environment, health, infrastructure and economic development (i.e. medium-term sector strategy for each of the sectors).

It will be measured by analysing the sector strategies and how each addresses the challenges in each of the six core sectors. The following issues will be examined:

- I. Are the six priority sectors sufficiently covered?
- II. Does the content of the sector strategies in each core sector adequately address the policy outcomes specified in the SDP?

## State Development Plan and Strategies

### Indicators

### Description

- III. Are there specific targets and instruments to address the challenges identified?
- IV. Are the priority programmes and projects evidence-based and adequate to address the challenges?
- V. Has the sector strategy been fully costed to include requirements for future capital, overhead and personnel allocations?
- VI. Are the resource demands of the proposed programmes and projects feasible?
- VII. Is there evidence that the sector strategy has determined, or at least influenced, the composition of the annual budget for the sector and its MDAs?
- VIII. Are there programmes that address the reduction of gender and social inclusion issues including inequalities?

Evidence for this indicator should be sourced from the individual sector strategies and the State Development Plan as well as the composition of the annual budget. Where no sector strategy exists, the Commissioners and Permanent Secretaries of the MDAs of the sector should be requested to produce the document(s) upon which programmes and projects for the sectors are undertaken.

### **P&S 1.3.1 SDP policy outcomes being achieved as measured against KPIs**

The goal of a State Development Plan is to achieve its policy outcomes through the delivery of the key performance indicator targets as articulated in the plan as cost-effective as possible, taking equity issues into consideration.

This should also address whether KPIs use data disaggregated by factors such as sex and location (e.g. local government area) to allow the targeting of resources and programmes.

The purpose of monitoring, evaluation and performance review of the SDP is to:

- I. Monitor and evaluate the efficiency, effectiveness and cost effectiveness of the plan;
- II. Review the plan and produce key findings and recommendations for adjusting and implementing to increase efficiency, effectiveness and cost-effectiveness;
- III. Revise the policies, strategies, budget, outputs, outcomes and KPI targets in response to key findings;
- IV. Provide feedback to the citizenry;
- V. Make broader process/ management/ institutional changes.

## State Development Plan and Strategies

Indicators

Description

**The Indicator will be measured against the following criteria:**

- I. Embarking on an annual performance review which captures, documents and reports on the performance of the SDP;
- II. Such a review measures the delivery performance against a suite of established KPIs and targets;
- III. The review differentiates policy failure from operational or management delivery failure;
- IV. The review processes identify and recommend changes to the public service delivery system – procedures, processes, deliverables – that are required in order for the State Development Plan to be implemented more effectively;
- V. Does the plan set out basic Statements of sector policy, including reference to major programmes and projects, and demonstrates how these will contribute to the overall goals and vision of the SDP?
- VI. Review reports are submitted to ExCo and the SHoA and once approved are released to stakeholders including a wide range of community representatives in formats appropriate for different audiences.

The reviewers should seek documented evidence that an annual monitoring review takes place that provides the information specified above. In particular, the reviewer should seek evidence that the conclusions and recommendations of the review have been adopted and any necessary remedial action taken to amend the plan and its implementation modalities.

Evidence should also be sought on the formal consideration of the review report by ExCo and SHoA and dissemination to stakeholders including the public as well as marginalised groups with an interest in results.

### **P&S 1.3.2 Sector outcome targets achieved as measured against KPIs**

Systematically reviewing progress is fundamental to the successful delivery of a medium-term sector strategy. In the three-year period of most sector strategies, circumstances will change: low priorities may become high priorities; State revenues and budgets will change; governments may change; the national or global economy may falter or surge.

The medium-term sector strategy must thus be regarded as a working document and not set in stone. It provides a benchmark against which to review and revise priorities in view of changing needs and changing circumstances.

The annual process of revising a medium-term plan provides MDAs with a systematic process for adapting to changes. This means that they are able to adjust course when underlining conditions change

## State Development Plan and Strategies

Indicators

Description

while keeping the ultimate goals in sight.

### The Indicator will be measured against the following criteria:

- I. process is in place to review the medium-term sector strategy on an annual basis;
- II. The annual performance review captures, documents and reports on the implementation of each sector strategy;
- III. Such a review measures the delivery against a suite of established KPIs and targets;
- IV. The review differentiates policy failure from operational or management delivery failure;
- V. The review process identifies and recommends changes to the service delivery system – procedures, processes, deliverables – that are required in order for the sector strategy to be implemented more effectively;
- VI. That the sector strategy is ‘rolled-over’ each year to accommodate the conclusions of the performance review and budget ceilings;
- VII. Review reports are submitted to ExCo and the SHoA and once approved released to stakeholders including a wide range of community representatives.

The reviewers should seek documentary evidence that the sector strategies are subject to performance monitoring to measure whether or not the targets are achieved and the strategies are amended to respond to recognised shortcomings and resource availability.

## Participation and Ownership

### **P&S 2.2 Institutional framework in place to enable stakeholders to participate in formulation of SDP and sector strategies**

This indicator examines whether there is an institutional framework for relevant sector stakeholders to participate in the formulation and adoption of the SDP.

This indicator will be measured by the existence or otherwise of an institutional framework for participation. It will examine whether there is a framework at the aggregate level and in the six core sectors. Where an institutional framework does exist then some evaluation of its utility and effectiveness should be undertaken.

It is not sufficient to just have meetings. Frameworks that will aid stakeholders in making informed decisions in the formulation and adoption of strategies and programmes must be in place, as well as a mechanism for feedback.

## Participation and Ownership

### Indicators

### Description

It is important to determine, for example whether there is a systematic approach for enabling stakeholders to engage effectively, such as training for planners in participatory approaches; budgets for translation and interpretation, media and consultation events (including to isolated communities), effective systems for input from complaints procedures and service charter implementation to feed into planning.

### **P&S 2.3 State Development Plan and sector strategies developed in consultation with stakeholders**

Engaging the private sector and civil society is important because the State plan and sector strategies are about deciding how to use public resources to deliver public services. Members of the private sector and civil society, because of their job, because of where they live or because of the public or private services they use, will be affected by the proposals of the SDP and sector plans and will therefore bring a different perspective that may help to develop a more robust plan.

Meaningful engagement with civil society must include socially excluded and marginalised groups and ensure that women have a voice.

This indicator examines the way the State Development Plan was developed. It sets out to investigate whether the processes of developing the plan and sector strategies were participatory.

It reviews the processes to see the level of participation of members of the State Executive Council, the legislature, the private sector, and representatives of civil society such as women's groups, youth groups, faith-based or community-based organisations, labour and civil society organisations.

As noted above, a participatory process of developing a State development strategy will increase its acceptance, ownership and potential for success.

This indicator measures the participation of relevant stakeholders in the process of developing the development plan. The reviewers should determine whether relevant stakeholders participated in the process and their levels of participation: information sharing, consultation, collaboration or delegation.

**There are a number consultative techniques, such as guidance from the State Economic Empowerment Development Strategy manual that can be applied here:**

- I. Direct consultation with elected officials;
- II. Forums to provide opportunities for community representatives (such as women's groups, youth groups, NGOs, CSOs and business leaders) to express their views;
- III. Use of radio and other media to communicate public preferences to policy makers;

## Participation and Ownership

### Indicators

### Description

- IV. Application of participative techniques for collecting information. Examples of techniques include:
  - I. Participatory poverty assessment (PPAs) or participatory needs assessment (PNA);
  - II. Service delivery assessments (perhaps using scorecard techniques);
  - III. Core welfare indicator questionnaire (CWIQ surveys).

To determine whether the concerns of the relevant stakeholders were sought, documentary evidence of consultative meetings or the use of other methods of opinion collection with various groups and representatives should be requested and examined. Further evidence would be whether concerns expressed in consultative meetings or other consultative tools are reflected in the final document. The reviewer should, where possible, conduct a content analysis of (i) the draft documents before consultation; (ii) the submissions by the relevant stakeholders; and (iii) the final document in addition to the opinions of government officials and the relevant stakeholders. The reviewers should seek information from both government officials and the relevant stakeholders. In the absence of relevant reports, the reviewers should discuss with relevant stakeholders to gauge performance.

The evidence for this indicator can be obtained from reports of meetings held with relevant stakeholders, draft documents shared with stakeholders, documents prepared and submitted by relevant stakeholders and the extent to which the contributions of the stakeholders influence the final product.

**Sources of information:** Ministry of Planning/State Planning Commission.

### **P&S 2.4 Stakeholders participate in periodic SDP and sector plan implementation performance reviews**

A comprehensive range of stakeholders should participate in the periodic monitoring review of the implementation of both the SDP and its sector strategies. Stakeholders should include: a) State government officials including sector MDAs, b) development partners, and c) a wide range of civil society representation.

The outcomes of the review can be disseminated to the general public through a range of accessible media as government's account of what progress is being made to achieve the long-term outcomes of the plan.

This process lays down a baseline of what citizens can expect in future as well as the information with which citizens can query the government about its future performance.

## Participation and Ownership

### Indicators

### Description

**The indicator will be measured against the following criteria:**

- I. There is a process to review the State Development Plan and medium-term sector strategies on an annual basis; That a wide range of stakeholder representatives (including women and representatives of marginalised communities) actively participate in such a review;
- II. That appropriate briefings on implementation progress are compiled and made available to the participants and the wider public;
- III. That the views expressed in stakeholder consultation are fed back to decision-makers;
- IV. That information-sharing feedback mechanisms have been constructed to handle potential grievances at the community level that arise during stakeholder consultations;
- V. Results of service complaints and input from the implementation of service charters are systematically fed into reviews;
- VI. Systematic input from community-led governance groups (such as the school-based management committees for the education sector) is fed into reviews.

The reviewers should seek evidence of consultative meetings and other interactions during the annual or periodic SDP and sector strategy reviews. Both the number and range of stakeholders engaged and the nature of the feedback obtained should be analysed. Conclusions must be drawn on the effectiveness of the consultation.

The views of both service users and non-users must be included – for example, in education, from male and female students as well as young people who are out of school; in agriculture, both male and female farmers, including those in isolated areas; in infrastructure, older people who may have mobility issues and people with disabilities should be involved as well as able-bodied persons.

**Sources of information:** Ministry of Planning/ State Planning Commission.

## Performance Management

### Indicators

#### **P&S 3.1 Availability of a State-wide strategy or policy document on information management / M&E and extent of its implementation by MDAs**

### Description

This indicator seeks to ascertain whether there is 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.

The evidence for this indicator is required in two forms. First, it must be ascertained whether the State has prepared a comprehensive information management/M&E strategy for MDAs, and the proportion of MDAs that have made use of this in developing and implementing their information management/M&E systems.

Second, it must also be established that the staff of the departments responsible for developing and implementing such systems in MDAs understand in clear terms their roles and responsibilities towards the attainment of such a mandate.

**Data sources:** State documents from MDAs

**Verification methods:** Collecting and analysing existing documentation on the States' and MDAs' systems. Specific things to look out for would include whether 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.

#### **P&S 3.2.1 Extent and quality of regular cross-government (SDP) and sector (MTSS) review processes**

This indicator seeks to assess the functions of performance management that is being carried out by the agency that has the mandate to execute the task (reference to 1 above). Performance management of plans and policies is undertaken through annual progress reviews, mid-point evaluations, end-point evaluations and ex-post evaluations.

Effective performance management requires annual progress reviews of plans to ensure that resources are being utilised to achieve the desired results.

The required evidence for this indicator is the approved guidelines for progress reviews and various performance evaluations of plans (SDPs and MTSS). More supportive evidence will be the first-year progress report of any plan that is more than a year old.

**Data sources:** State documents (review reports) from MDAs.

**Verification methods:** This could be ascertained by reading the policy Statements and targets set in the State Development Plan to check if such Statements have a preceding situation report that provides the basis for it. Such reports could either be found in the same document or could be contained in another document. Either way, the focus is to establish a logical link between the analysis report and the follow-up policy thrust and targets which will serve as required evidence for this indicator.

Part of the review should include an assessment of the approach adopted, which should demonstrate how civil society stakeholders including women and representatives of marginalized groups are

## Performance Management

### Indicators

### Description

systematically and meaningfully involved in review of performance – both as part of the delivery (e.g. complaints procedures that feed into review) and formal review processes.

### **P&S 3.2.2 Level of resources allocated for M&E within MDAs**

This indicator therefore seeks to establish the proportion of the State budget allocated to State-wide M&E systems (data availability, MIS and performance management, knowledge management- in some cases).

The level of political commitment to any policy is expressed in the level of resource allocation to that policy. Any policy Statement not backed up by resource allocation is considered a wishful Statement.

**Data sources:** The data for the assessment of this indicator can be obtained from the State budget for the assessment year or audited accounts.

**Verification methods:** Many States still confuse project field/technical supervision with M&E. It is important to check that M&E resource allocation is not just project supervision and data collection but includes elements mentioned under the definition above.

### **P&S 3.3 Extent to which policy, strategies or programmes are adjusted in response to review findings**

This indicator seeks to assess whether amendments have been introduced in the State Development Plan, MTSS and/or budget as a result of recommendations from the progress reviews.

The purpose of conducting a progress review is to identify early warning signals, if any, and to establish that resources are being channelled to actions/activities/projects that would lead to desired results. Thus, the review report is not an end in itself but rather the resulting actions (e.g. amendments) initiated by the review findings and recommendations.

The required evidence for this indicator is the logical links between the review findings and recommendations and the revised/contingency plan.

**Data sources:** State documents (review reports and follow on plans) from MDAs.

**Verification methods:** This could be ascertained by reading the MDA review reports and follow-on plans to check if there are links between the two; to see if corrective action has been taken to adjust the project/programme; or adjustments to activities and inputs to ensure outputs are delivered; or adjustments to strategies and results to ensure better results are achieved.

## Availability of Statistics

### Indicators

#### **P&S 4.1 Extent to which a State Statistical Act has been passed into law and is being applied**

### Description

The National Bureau of Statistics (NBS) was supported by the World Bank to develop a generic State Statistical Master Plan (SSMP). The States are required to review this generic SSMP and adapt/adopt its contents in the context of each State's administrative convenience.

This indicator seeks to assess the extent to which the State has domesticated the generic SSMP and the related act.

The evidence required for this indicator is copies of the domesticated SSMP and the law. It is important to note that some States are merging the SSMP with a State-wide M&E framework as an M&E/statistics policy framework. This effort is also in a good direction. The report should reflect the status of progress and indications of areas of improvement (if any).

The benchmark is the NBS generic State Statistical Master Plan and Law.

#### **P&S 4.2 Existence and effectiveness of management information systems (MIS) in supporting decision-making**

This indicator seeks to ascertain 1) the extent to which the State has a management information system (MIS) in place to handle data/statistics; and 2) whether they are finalised and presented early enough to inform policy decisions and subsequent reviews.

**Data sources:** The main document for this will be the State statistical yearbook (SYB). Data/statistics contained in the SYB should not be limited to those generated from the administrative records but should also include those from other valid surveys and researches such as the State central statistics document/resource.

The MIS architecture in the State is another source of verification.

**Verification methods:** At one level would be a review of the latest SYB in relation to the SDP. The focus should be on whether the data/statistics in the SYB cover all the policy areas in the SDP, or whether the year of publication precedes the base year of the SDP.

At another level, the MIS would be assessed to determine the extent to which it captures the right information in the required detail, disaggregated by sex/other factors as relevant, and collected in the frequency with which information is required (e.g. monthly, annually).

#### **P&S 4.3 Extent to which data collection and analysis processes allow comprehensive measurement of performance indicators**

This indicator seeks to measure the extent that data collected/captured can be used to comprehensively measure KPI.

The required evidence for this is whether the State has a framework or system in place that ensures the collection and analysis of data against key 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.

## Availability of Statistics

Indicators

Description

**Data sources:** Indicator frameworks for the State or MDAs, including performance review reports.

**Verification methods:** A review of the broad range of State-wide surveys (e.g. household income/expenditure, school surveys, health clinic surveys) including the Statistical Yearbook for consistency with State/sector KPIs.

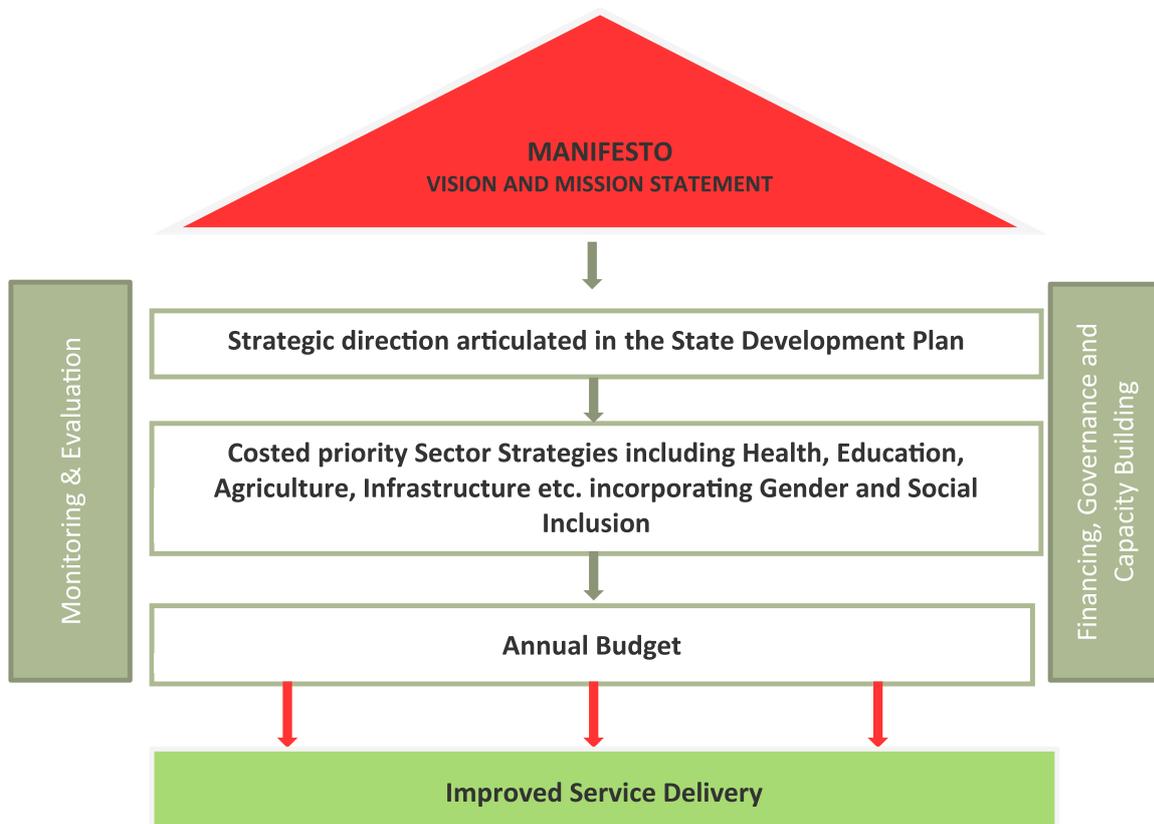
### P&S 4.4 Level of demand for State statistics

This indicator seeks to establish the level of demand for data/statistics by State government officials. The demand could be expressed in the form of request letters from Permanent Secretaries, Commissioners, SSG, Deputy Governor and/or Governor or Council resolution on the need/request for data/statistics.

It could also be expressed as a request for updating the Statistical Yearbook or request for statistics of any sort. These letters or similar correspondences will serve as evidence for this indicator.

**Data sources:** Information for this indicator could be obtained from the agency responsible for producing State statistics.

**Verification methods:** An assessment of the requests for data and how the agency responsible has been able to respond. The assessment should also report on efforts by the State to stimulate such demand where it does not exist, and improve/sustain continuous demand where it already exists.



Linking State policies, plans and budget towards improved service delivery.

## 9.2 Economic Development

Economic development presupposes economic growth and structural transformation. It is a process by which a nation's wealth increases over time, or simply the quantitative change or expansion of a country's economy, as measured by a growth in the gross national output. The economic development process also presupposes that legal and institutional adjustments are made to give incentives for innovation and for investments. This is to develop an efficient production and distribution system for goods and services.

Thus, economic development is broader than economic growth. It is represented by improved quality of life and reflected in higher incomes per capita, better education, higher standards of health and nutrition, a cleaner environment, more equality of opportunities, greater individual freedom, and a richer cultural life. Public policy generally aims at continuous and sustained economic growth and the expansion of national economies.

The indicators in this section assess the progress that States are making in achieving growth and development and to what extent the developmental process is inclusive, sustainable and broad-based. Within the context of the SPRM, it encompasses two main areas: State level economic growth and the business environment.

### State-level Economic Growth

Indicators

Description

#### **ED 1.1 Existence of legal framework and strategies to support State-level economic growth and the extent to which they stimulate production, productivity and wealth creation**

This indicator aims to ascertain if the State has a framework to encourage and/or support economic growth, wealth creation and private sector development. This will be in the form of comprehensive strategies for growth. The strategies for economic growth may be in a section of the State strategic plan and/or development plan. Alternatively, it may be in the form of a separate document.

The assessment will not be restricted to the existence of strategies for economic growth but also a review of the State strategies to ascertain that they meet the following criteria:

- I. Stimulate primary production (agriculture);
- II. Support for private sector-led growth;
- III. Attain high level of efficiency and productivity;
- IV. Stimulate industrialisation (production of processed and manufactured goods, industrial parks, industrial clusters, incubators, etc.);
- V. Emphasis on wealth and job creation;
- VI. Emphasis on creating synergies between key sectors in the State's economy.

Therefore the two aspects of the assessment are:

- I. Whether the State has strategies for economic growth;
- II. If the strategies cover most of the above-listed conditions.

The assessor should also appraise the existence of detailed implementation plans for every major policy. It is not sufficient only to have good policies on paper.

**Data sources:** State Ministries of Economic Development, Budget and Planning.

## State-level Economic Growth

### Indicators

### Description

#### ED 1.2.1 Institutional framework for translating strategy into action

The extent to which government can effectively translate their strategic intent into action and results are determined by the institutions and systems in place.

This indicator seeks to confirm if the State has the institutional mechanism and framework to translate its strategic plan for economic growth into action.

In applying this indicator, the main question is whether the State has the capacity to translate the strategic plan for economic growth into action and results? This can be gleaned from the capacity of the Ministry responsible for economic development as well as key institutions facilitating economic development at the State level.

Examples of institutional framework to stimulate primary production include: State-level agricultural research institutions; State-promoted farm settlements and/or irrigation schemes etc. for agriculture; processed and manufactured goods; industrial parks; industrial clusters; incubators; industrial park development agencies; State-promoted parks, clusters, incubators, etc. for industry.

The existence of institutions is not sufficient; the assessment will analyse the extent of institutional funding, the existence of the right crop of professionals – men and women – and their level of motivation to perform their functions, and, in the case of farm settlements, parks, clusters, and incubators, if basic facilities (such as power, internal links to major roads, water, security, communication, funding, proper management, etc.) are in place.

It is important to note that this indicator will only be assessed in States with operational strategies for economic growth.

**Data sources:** State Ministries of Economic Development, Budget and Planning.

#### ED 1.2.2 Internally-generated Revenue Machinery and Performance

The ability of a State government to translate development plans and strategies into desired outputs and development outcomes depends on the resources available, a very important aspect of which is revenue. In the context of public finance, revenue is the inflow of money into the government's coffers from other economic units/sectors of the economy. It includes all non-repayable receipts.

For developmental programmes and projects and desired outcomes to be sustainable, the revenue sources need to be sustainable.

In Nigeria, State governments have for a long time depended heavily on revenue allocations from the federation account (external source), which in turn is mostly derived from unstable oil earnings. This has often created fiscal problems for States in times of dwindling revenue. It is thus most important for the lower tiers of government to strive to rely more on internally generated revenue which, because of its composition, is more predictable and reliable.

Internally generated revenue comprises all monies collected by a government through the imposition of taxes and levies on incomes, facilities, sale of goods and services, transfers of properties, and other domestic economic transactions including investments and commercial activities.

In applying this indicator, the main questions to ask are two-fold: First, does the State have adequate institutional machinery for internally generated revenue collection? Second, what is the performance of internally generated revenue in relation to the State's total revenue and GDP? At a minimum, IGR should cover recurrent cost. Besides, what is the tax effort (ratio of tax revenue to State level GDP)?

Information for assessing this indicator should be sourced from records of the State's revenue generating agency and publications by the Central Bank of Nigeria (CBN), Federal Inland Revenue Service (FIRS) and National Bureau of Statistics.

**ED 1.3 State-level GDP and its growth, per capita GDP, sectoral shares of State-level GDP (agriculture, industry/manufacturing, mining and quarrying, services, etc.), and social development outcomes (State human poverty index/poverty incidence, human development index, unemployment rate).**

The rationale for this set of indicators is to assess the performance of the State economy in areas such as:

- I. Size of State level GDP and per capita GDP;
- II. Contribution of key sectors such as agriculture, manufacturing, wholesale and retail trade, services, etc., to State level GDP. The agricultural sector may be sub-divided into crop production; livestock; fishery and forestry depending on data availability.

Where there is no information on State-level GDP, the index of economic activities will be used as a proxy for State-level GDP. An index of yearly economic activities of the sectors provides a useful gauge of sectoral performance.

Information should be sourced from CBN Annual Reports, CBN Statistical Bulletin, NBS National Accounts, NBS Human Development Indicators, and 'United Nations Development Programme (UNDP) Human Development Reports.

The effectiveness of the government's policies, programmes and projects can be gauged from various indicators of social and human development outcomes such as human poverty index/poverty incidence, Human Development Index and unemployment rate. These also, to some extent depend on the structure of production and nature of growth of a State.

The Human Poverty Index brings together in a composite index the different features of human deprivation to arrive at an aggregate judgment on the extent of poverty in a community. The Human Development Index is also a composite index that measures average achievement in three basic aspects of human development – health, knowledge and income. It is good practice to disaggregate the Human Development Index by gender to get a better sense of quality of life and real economic growth.

Unemployment occurs when people are without jobs and had actively searched for work in the previous four weeks. The unemployment rate is a measure of the extent to which the labour

## State-level Economic Growth

### Indicators

### Description

force is underutilized, and is usually calculated as the number of unemployed individuals divided by all individuals in the labour force, expressed as a percentage.

The human poverty index, human development index and unemployment rate are used to measure the impact of the State's interventions, particularly with respect to economic growth.

Information should be sourced from CBN Annual Reports, CBN Statistical Bulletin, NBS National Accounts, NBS Human Development Indicators, Poverty Profile and Social Indicators, and UNDP Human Development Reports.

### **ED 1.4 Existence of legal backing for policies, programmes and projects and availability of sustainable sources of revenue**

This indicator seeks to ascertain if the generated improvements in growth and development outcomes can be sustained.

For this to happen, there has to be continuity in programme and policy implementation, and a steady flow of goods and services provided.

The abandonment of programmes and policies tends to disrupt the flow of goods and services. Also, a lack of sustainable and predictable revenue inflow disrupts the sustainability of policy achievements.

Therefore, this indicator should seek to find out two things:

The existence of legal backing for policies, plans and programmes that can make their continuity guaranteed; and (2) the capacity for sustainable revenue by examining the internally generated revenue/total revenue ratio as well as the tax effort.

Data should be sourced from the State revenue generating agency, and Ministries of Finance, Economic Development, Budget and Planning.



Growth in the informal sector

## Business Environment

### Indicators

#### **ED 2.1 State Legislation and Strategic framework for improving the ease of doing business in the State**

### Description

Business environment, also called investment climate, is about the environment in which firms and entrepreneurs of all types – from informal and micro-enterprises to local manufacturing concerns and multinationals – have opportunities and incentives to invest productively, create jobs and expand. It consists of location-specific factors that shape the enabling environment for firms to invest productively and grow.

These factors include poverty, crime, infrastructure, workforce, national security, political instability, regime uncertainty, taxes, rule of law, property rights, government regulations, government transparency and accountability. Very often, most of these factors constitute a serious hindrance to businesses and make the investment environment uncondusive. Government support thus becomes vital in improving the ease of doing business in a State.

This indicator aims to assess whether the State has laws and/or a strategic framework to provide incentives and other forms of support for private sector investments. This may be in the form of a law and/or policy Statement. If it is in the form of a policy Statement, such a Statement will be binding and enforceable. The law and/or policy Statement should be gender and socially inclusive and provide for the following:

- I. Land facilitation, especially for women-owned businesses;
- II. Waivers;
- III. Special concession;
- IV. Infrastructure/utilities provisioning;
- V. Credit guarantees, especially for small enterprises;
- VI. Special programmes that will facilitate business take-off
- VII. Security, etc.

The assessment will determine if the State has laws and/or a policy Statement with the provisions listed above that are meant to promote business.

**Data sources:** Ministries of Commerce/Industry, Justice, Economic Development and State House of Assembly.

#### **ED 2.2.1 Level of support from the State for businesses**

This indicator assesses the performance of government in the support of businesses. The actual support may be in the form of:

- I. Publishing an up-to-date investment and business information guide to enlighten investors;
- II. Publishing an up-to-date directory of business firms in the State;
- III. Funding of small and medium enterprises promotion/development centre and/or agency;
- IV. Funding programmes that promote linkages between large firms and small & medium enterprises;
- V. Funding small and medium enterprises credit scheme;

## Business Environment

### Indicators

### Description

- VI. Provision of basic infrastructure.

Each State will be evaluated using these parameters.

**Data source:** Ministries of Commerce/Industry and Transport, State branch of Manufacturers Association of Nigeria.

### ED 2.2.2 State of investment climate and the perceived obstacles to doing business

For years, Nigerian businesses have been confronted with a tough environment characterised by an acute shortage of energy, a poor transportation network, poor quality educational outputs and growing insecurity. These factors have contributed immensely to the declining contribution of the manufacturing sector to GDP and reduced competitiveness.

Nevertheless, the resilience of the private sector promises a much-improved performance, if the government and the private sector can partner to remove some of the major obstacles to doing business in the country. This indicator thus seeks to examine the impediments in the business environment that businesses have to contend with.

Through the assessment, insights should be provided into the current State of the investment climate in the State, in terms of conduciveness or otherwise, competitiveness indicators, ease of doing business ranking, regulatory framework for businesses, and factors posing major challenges to business activities.

Of particular significance are factors such as poor electricity supply, credit constraints, multiple taxes, insecurity, bribery and corruption, transportation bottlenecks and business regulations/registration, among others, which affect businesses, especially small and medium-sized firms at different stages of their life cycle.

Information should be sourced from the following:

- I. World Bank Doing Business sub-national surveys, specifically for Nigeria, that seek to measure business regulations for domestic firms in the 36 States of the federation;
- II. World Bank's "Assessment of the Investment Climate in States, prepared for the 36 States;
- III. World Economic Forum's Global Competitiveness Report;
- IV. World Bank, Africa Competitiveness Report.

## Availability of Statistics

### Indicators

**ED 2.3.1 Number of private sector businesses operating in the State (production, distribution and service enterprises, banks, insurance companies, stock brokers and micro finance banks)**

**ED 2.3.2 Existence of alternative dispute resolution mechanism in the State; especially as it relates to the private sector**

### Description

This information can readily be sourced from the State branch of the Manufacturers Association of Nigeria and should be presented by type of enterprises. However, this might pose some problems in States without the requisite data. In that case, the number of financial institutions operating in the State should be used as a proxy for the number of businesses operating in that State.

The indicators should thus be assessed by the relative number of head offices/branches of the following:

- I. Banks;
- II. Insurance companies;
- III. Stock brokers;
- IV. Micro-finance banks.

Information on these variables can be obtained from the Corporate Affairs Commission and the Central Bank, survey reports from the State Ministry of Commerce and Industry among others.

The assessment of this indicator will determine if there are alternative dispute resolution (ADR) facilities in the State, especially for the resolution of private sector-related disputes.

In this regard, assessment will not be restricted to the existence of ADR facilities. It should also include whether the ADR facilities are funded, and whether businesses and private individual cases are resolved within the facilities.

**Data source:** Ministry of Justice and the Office of the State Attorney General.

## 9.3 Public Financial Management

An open and efficient PFM system is essential for the implementation of State government policies and the achievement of developmental objectives. It is also a critical element for maintaining aggregate fiscal discipline, ensuring strategic allocation of resources and promoting efficient service delivery and value for money. The PFM assessment seeks to ascertain the performance of the PFM system in the State in seven key areas:

- Fiscal Planning;
- Budget Preparation and Budget Realism;
- Revenue Administration;
- Procurement;
- Financial Recording, Reporting and External Scrutiny;
- Inter-Government Fiscal Relation;
- Debt Management.

### Fiscal Planning

This area of PFM assessment looks at the nature of the State government framework and basis for effective and efficient resource allocation and use.

#### Indicators

#### Description

#### **PFM 1.1 Extent to which the State has adopted and localized the Fiscal Responsibility Act of 2007**

This indicator will primarily ascertain whether the State has adopted and localised the Fiscal Responsibility Act of the federal government. The main goal of the Fiscal Responsibility Law (FRL) is to strengthen the State's finances so that the delivery of services and infrastructure can be maintained, regardless of any fluctuations in revenue.

The assessment will not be restricted to the existence of a Fiscal Responsibility Law; but it should also review the law to ascertain whether the eight key elements of a FRL are incorporated in the State Law.

#### **The key elements of a Fiscal Responsibility Law are:**

- I. Statement of Fiscal Principles (how the State will conduct fiscal policy);
- II. Medium-Term Fiscal Framework (making it mandatory for the Governor to make public and lay before the legislature the State Medium-Term Fiscal Framework);
- III. Annual Budget (clarifying that funds can only be disbursed within the limits set in the appropriation law, and that the projects identified therein must be executed within a fiscal year);
- IV. Savings and Assets Management Rules (particularly rules for setting aside a proportion of, for example, excess crude earnings as savings);
- V. Conditions for borrowing (guidelines for borrowing that are in line with requirements of the Debt Management Office Act);
- VI. Fiscal Transparency Rules (preparation of State quarterly

budget execution report as well as making available the report to the public);

VII. Key elements of the FRL are applicable to local governments;

VIII. Measures to enforce compliance.

Therefore, the two aspects of the assessment are:

- I. Whether the State has a Fiscal Responsibility Law;
- II. If it does, how many of the above mentioned key elements does it cover?

### **PFM 1.2 Institutional framework for fiscal planning and multi-year perspective in expenditure planning and budgeting**

Fiscal planning and a multi-year perspective in expenditure planning and budgeting will not be attained without the existence of an institutional framework in the State. In applying this indicator, the main question is to ascertain whether the State has the capacity to perform fiscal planning functions as provided in the Fiscal Responsibility Law. It is important to note that this indicator will not be assessed in a State without a FRL or equivalent legislation.

An example of an institutional framework for fiscal planning and multi-year perspective in expenditure planning and budgeting is an independent commission or an equivalent institution with fiscal planning and multi-year expenditure planning and budget as its mandate.

The existence of an independent commission or an equivalent institution is not sufficient; the assessment will review whether the commission is properly funded and has the required professionals and motivated labour to perform fiscal planning and multi-year expenditure planning and budgeting functions. The qualifications and experience of the key personnel of the independent commission or equivalent institution, disaggregated by sex, is fundamental.



Peer learning towards improving IGR

## Fiscal Planning

### Indicators

**PFM 1.3 Evidence of multi-year aggregate fiscal forecasts and forward expenditure estimates** (i.e. medium-term expenditure framework and a fiscal strategy paper setting out three year aggregate resource envelopes, etc.).

### Description

State governments' policy decisions should have multi-year implications and must be aligned with the availability of resources in the medium term. Multi-year forecasts and estimates of forward expenditures (including recurrent expenditure and multi-year investment commitments) are required to determine whether current and new policies are affordable and within aggregate fiscal targets.

To achieve this, States are required – in line with the Fiscal Responsibility Law – to produce a medium-term expenditure framework, which shall include a macro-economic framework setting out the macroeconomic projections for the next three financial years, the underlying assumptions for those projections, and an evaluation and analysis of the macroeconomic projections for the preceding three financial years; and a fiscal strategy paper setting out the State government's three-year aggregate resources envelopes (fiscal framework) based on a macro-economic framework, and fiscal objectives, assumptions and risks.

The questions to be answered by this indicator are whether the State has:

- I. Performed an assessment of prior fiscal and economic performance that is a backward-looking piece of analysis providing a context for the future-looking fiscal and budget frameworks;
- II. Prepared a fiscal strategy paper – that is, three-year aggregate resources envelopes (Fiscal Framework) based on a macro economic framework, and fiscal objectives, assumptions and risks;
- III. Prepare a budget policy Statement based on the aggregate envelope contained in the fiscal strategy paper and on policy priorities of the government, as provided in the development plan and/or medium-term sector strategies.

## Budget Preparation and Budget Realism

This area of assessment looks at budget preparation and implementation.

### Indicators

### Description

#### **PFM 2.1 Framework of the State Budget Preparation and Implementation Guidelines (processes, activities, roles, responsibilities and timeline)**

A budget is a tool that gives substance to a plan or a strategy. Budgeting is an annual process which enables a State government to implement and achieve the goals Stated in its policy documents for a particular fiscal year. Budget management involves planning, organising, coordinating, monitoring and reporting the various activities contained in the budget cycle.

For effective budget management, there should be formal rules in respect of the budget processes, activities, roles, responsibilities and timeline. The rules should also provide standard budget procedures to be followed by all ministries, departments and agencies.

The rules may be in the form of a budget manual or organic budget law. The assessment will therefore ascertain whether there is a budget manual or organic law and where it exists, if the manual or law provide comprehensive State budget processes, activities, roles, responsibilities and budget timetable.

#### **PFM 2.2.1 Date of Key Budget Activities and Proper Legislative Scrutiny of Appropriation Bill**

##### **This indicator looks at the:**

- I. Timeliness of budget call circular to MDAs;
- II. Timeliness of presentation of the budget to the State assembly;
- III. Extent of legislative scrutiny;
- IV. Timeliness of passage and Governors assent to appropriation law.

A good budget process should begin with the circulation of a call circular that defines expected budget ceilings for each MDA, the summary of State policy Statement, priorities, etc. It is considered good practice for this to be issued before the 1st of July each year to allow appropriate time for deliberation. The 1st of November has also been suggested as a benchmark for presentation of the appropriation bill to the State House of Assembly. The budget also needs to be passed by the State House of Assembly, as well as obtaining the Governor's assent on or before December 31st.

The assessment will note the dates these three key budget activities were performed for the current year and the two preceding years' budgets. This will be ascertained through interviewing individuals and reviewing relevant documents in the Ministry of Planning and Budget as well as the Office of the Clerk of the State House of Assembly.

## Budget Preparation and Budget Realism

### Indicators

### Description

Assessment of the legislative scrutiny of the annual appropriation bill requires the consideration of several factors, which include:

- I. The scope of the legislature's review. Ideally the legislature should review and agree on fiscal policies and any medium-term fiscal framework, in advance of the review of details of expenditure and revenue;
- II. The extent to which the legislature's procedures are well-established, provide adequate time, and involve scrutiny of the budget by specialised committee(s); and
- III. The adequacy and user-friendliness of the information received by the legislature.

An example of effective scrutiny of the budget is the legislature challenging an item in the budget on grounds of value for money. If the budget has been reduced because some expenditure in the original version could not be justified, this would be evidence of an effective scrutiny of the budget.

This will also be ascertained through review of documents in the Office of the Clerk of State House of Assembly and discussion with officials, if possible, legislators to obtain evidence of the details and quality of legislative scrutiny of the budgets.

### **PFM 2.2.2 Key budget documents submitted to the State HoA for budget scrutiny and approval**

All the key budget information should be included in the budget documentation (the annual budget and budget supporting documents) to the State House of Assembly. This is to allow for proper legislative scrutiny and approval of budget.

The annual budget documentation should include the following:

- I. Prior years' budget outturn presented in the same format as the current year's budget;
- II. Summarized budget data for both revenue and expenditure according to budget main heads, including data for the current and previous year.

## Budget Preparation and Budget Realism

### Indicators

### Description

#### **PFM 2.3 Level of Budget Deviation and/or Variance**

This indicator is used to ascertain whether the budget is an effective tool for fiscal discipline and fiscal planning. Therefore, this indicator will calculate:

- I. Percentage of deviation between actual and budgeted expenditure;
- II. Percentage of expenditure out-turn compared to budgeted expenditure for agriculture, education, environment, health and infrastructure;
- III. Percentage of actual revenue collection vis-à-vis projections.

The assessment will cover the two preceding years' budgets. The source of the documents for these should be audited accounts (i.e. the Auditor General's report). Where the audited accounts are not available, the decision may be taken to rely on budget performance reports (the documents used should be noted in the assessment report).

For the purposes of this indicator, a positive variance (expenditure less than budget) is no better than a negative variance (expenditure more than budget).

#### **PFM 2.4 Level of citizens/ stakeholders participation and engagement in budget process**

Effective participation in the annual budget process impacts the extent to which the budget reflects fiscal and sectoral policies. This requires an integrated top-down and bottom-up budgeting process, involving central agencies, spending agencies, political leadership and members of the public through civil society organisations such as non-governmental organisations, faith-based organisations, community-based organisations, professional organisations/associations and private sectors bodies. Engagement should ensure that women participate across the range of stakeholders and that there is representation from relevant marginalised communities.

This indicator is to ascertain the level of State government engagement with citizens and stakeholders in budget process. States should provide evidence of whether the State engaged with citizens and stakeholders, and what effect the engagement had on the budget.

The second aspect of the indicator is to ascertain whether the key budgetary documents – particularly the approved budget – are available to the public in a range of formats accessible to diverse audiences, for example in print and online.

It will be more appropriate to seek opinions from outside the government on how effectively the government engaged during the budget process and also to determine the effect their engagement had upon the budget.

Reviewers should verify whether key budget information is in printed form and available on the State website as well as whether members of the public are aware of their existence and have unrestricted access to the information, either in print or online.

## Revenue Administration

This area of assessment looks at State revenue administration.

### PFM 3.1 Extent to which the State has internalized the revenue legislations and procedures

Internally generated revenue of States comes mainly from taxes. By the laws of Nigeria, the legislation and certain policy decisions (for e.g. rates, relief, waivers, exemptions) in respect of personal income tax, withholding tax, capital gains tax, stamp duties and road taxes are the responsibility of the federal government and Joint Tax Board. However, collecting these taxes is the responsibility of each State as well as the federal government for some classes of persons and/or residents of the federal capital territory.

States are required to set up a policy framework to collect taxes. This indicator seeks to ascertain if an effective policy framework exists in States for collecting these taxes. Information on this should be sought from the State's Board of Internal Revenue and Ministry of Finance.

### PFM 3.2 The status of the State Board of Internal Revenue and State Revenue Service

The placement of the internal revenue administration within the government structure and operations has a direct relationship with the State's internal revenue potential. The Board of Internal Revenue, with greater financial and administrative autonomy under normal circumstances, will perform better than a board that depends on another MDA for managerial and operational direction and control.

Section 85A(1) of the personal income tax act as amended provides that there shall be a board to be known as the State Board of Internal Revenue (BIR) whose operational arm shall be known and called the State Internal Revenue Service (IRS). The Law in Section 85A (2) Stated that the membership of the board shall be the executive head of the State Internal Revenue Service as Chairman, directors and heads of department of the State Service, a director from the State Ministry of Finance and three other members nominated by the Commissioner for Finance.

### **PFM 3.3 Percentage of State total IGR to Total Revenue for the past two years**

The essence of this indicator is to ascertain whether the State revenue administration entity operates in line with this provision. The positioning of the revenue administration within the government structure has significant implications for its ability to muster political support to implement reforms and take strong enforcement actions against vested interests. The current status of the State Internal Revenue Administration Service will be matched against the requirements of Section 85A(1) and (2) by interacting with functionaries of State Internal Revenue Administration.

This indicator identifies the percentage of total internally generated revenue to the total revenue of the State for the two preceding years. The essence of this indicator is to determine the State's level of reliance on federation accounts revenue. States only have control over internally generated revenue resources.

In the event of shortfalls in federation accounts' revenue allocations, States that depend heavily on this source would be forced to shrink their budgetary resource envelope, thus, affecting the State government's ability to implement its policies and programmes and provide public services. Unexpected dips in federation accounts receipts will also cause budget cuts that result in major inefficiencies in public expenditure management. This indicator will identify States that are susceptible to these shocks.

This assessment is restricted to the actual revenue performance of the State for the two preceding years. The indicators look at actual receipts and not budget revenue.

The source of information for this comparison should be audited accounts (i.e. the Auditor General's Report). Where the audited accounts are not available, the decision may be taken to rely on budget performance reports (documents used should be noted in the assessment report).

### **PFM 3.4 Institutional mechanism for expanding revenue base and improving collections**

The ability of a State government to fully implement its expenditure budgets may be hampered by insufficient funding. This is because revenue management interacts closely with expenditure management, particularly when determining the overall budget envelope and when managing in-year cash flow. Therefore, generating more revenue is central to ensuring that a budget is realistic and implemented as intended (i.e. budget credibility).

States are required to develop mechanisms for expanding the State internal revenue base and improving collections. The mechanism will take the form of either organisational or operational reforms. The developed mechanism will include the following:

- I. Robust process for registering potential taxpayers;
- II. Fostering voluntary compliance;
- III. Improving routine processing of declaration and payment;
- IV. Strengthening enforcement;
- V. Automating the revenue administration operation, such as the compulsory tax identification number (TIN), automated processing of declarations and collections, audit and investigation system, and system to detect non-filing, stop-filing and non-payment of taxes;
- VI. Improved education and public mobilisation.

The essence of this indicator is to ascertain whether the State has in place a robust mechanism for expanding the revenue base and improving collections that is constantly updated to take into consideration emerging issues in the economy. The mechanism may be contained in a well-articulated internal revenue improvement strategy or internal revenue policy brief covering the elements that are peculiar to the State, some of which are enumerated in the preceding paragraph.

## Procurement

This area of assessment looks at State procurement process.

### PFM 4.1 Existence and robustness of State procurement law

Public procurement is a major component of the PFM system, which directly impacts the efficiency and economy of expenditures and also contributes to budget formulation and expenditure management. The regulatory framework should promote competition, transparency and value for money and contain effective control, sanction and feedback mechanisms.

This indicator will ascertain whether the State has a regulatory framework that promotes competition, transparency and value for money as well as effective control, remedy and feedback mechanisms. The regulatory framework may be in the form of legislation (i.e. State procurement law) or provisions in the State up-dated financial instructions.

The assessment will also review the State Procurement Law or relevant sections of the financial instruction to ascertain whether the key elements of a due process mechanism in procurement are provided for in the law and/or financial instruction. The key elements of a due process mechanism in procurement are:

- I. Roles and responsibilities in procurement process;
- II. Procurement thresholds;
- III. Competitive, transparent and value for money bidding and award processes;
- IV. Control mechanism;

## Procurement

### Indicators

### Description

- V. Feedback mechanism;
- VI. Penalties and sanctions.

#### Therefore, the two aspects of the assessment are:

- I. Whether the State has in place a regulatory framework for procurement;
- II. Where it exists, whether all the above mentioned key elements are covered in the regulatory framework.

### **PFM 4.2 Institutional framework and mechanism to ensure transparent procurement processes**

A successful public procurement bureau/ agency/ department in a State must have systems, procedures and experienced personnel that are responsible for executing the procurement activities. This indicator evaluates:

- I. The position of the public procurement office within the State government hierarchy; for example, the ability to be insulated from undue interference as well as the ability to regulate procurement processes of the State;
- II. Systems and procedures in place: for example, the open competitive method is the default method of procurement. This means that procurement activities above the prescribed threshold must be advertised in the State website and newspapers of State/national circulation for the information of all qualified bidders who wish to participate;
- III. Experience of the personnel within the office: the office requires professionals and a motivated workforce;
- IV. Funding of the office: provision of adequate funds to carry out proper procurement activities.

## Financial Recording, Reporting and External Scrutiny

### **PFM 5.3.1 Timeliness in preparation of in-year budget reports consistent with IPSAS reporting format**

In order for expenditure to be controlled against the budget, and in accordance with the law, it is necessary to keep sound and up-to-date accounts. The ability to 'bring in' the budget requires timely and regular information on actual budget performance to be available both to Ministry of Finance and line ministries. The Ministry of Finance needs this document to monitor performance and if necessary to identify new actions to get the budget back on track. Line ministries need the information to manage affairs for which they are accountable.

## Financial Recording, Reporting and External Scrutiny

### Indicators

### Description

This indicator focuses on the ability to produce comprehensive in-year budget performance reports consistent with the IPSAS cash basis reporting format on a timely basis. The IPSAS cash basis requires the State to prepare a monthly budget performance report. Therefore, the assessment will determine whether in-year budget performance reports are prepared monthly, and issued within two weeks of the end of each month.

The assessment will be for completed months of the current year and the preceding full year.

The sources of information for this assessment are monthly budget performance reports and the review of documents in the Ministry of Finance, Ministry of Planning, and Office of the Accountant General in order to establish the time each monthly budget performance report was issued.

### **PFM 5.3.2 Timeliness of submission of annual financial Statements for audit**

End-of-year financial Statements are important elements of transparency for governments. The ability to prepare year-end financial Statements in a timely fashion is a key indicator of how well an accounting system is operating, and the quality of the records maintained.

It is a requirement for the accounts of a State government to be presented to the Auditor General by July 1st the following year. Not all States comply with this requirement. Some do not produce accounts for several years.

This assessment is to be made through the review of documentary evidence of dates the last immediate three financial years' accounts were presented to the Auditor General. This should be in the form of a formal, signed letter from the Accountant General and an acknowledgement by the Office of the Auditor General.

### **PFM 5.3.3 Presentation of audited accounts to the State House of Assembly as well as proper scrutiny by the State House of Assembly**

A high-quality external audit is an essential requirement for creating transparency in the use of public funds. Once the Auditor General receives the accounts, he/she is expected to submit his/her report to the State House of Assembly within 90 days. Slippages in doing so may be a reflection of a shortage of resources in the Auditor General's office.

On receiving the Auditor General's report, the scrutiny process by the State House of Assembly is a key element of democratic accountability. A typical approach to doing this is through a legislative committee - the Public Accounts Committee - that peruses the external audit reports and questions relevant parties about findings in the reports. The smooth operation of the committee depends on adequate financial and technical resources, and on the allocation of sufficient time to reviewing the audit reports. The committee may also recommend remedial or follow-up actions or impose sanctions on the executive.

## Financial Recording, Reporting and External Scrutiny

### Indicators

### Description

The first aspect of the assessment (timely submission of audited report to State House of Assembly) will be accomplished through the review of documentary evidence of the dates that the last three financial years' accounts that are due at the time of assessment were presented to the State House of Assembly. This should be in the form of a formal, signed letter from the Auditor General and an acknowledgement by the Clerk or Chair of Public Accounts Committee of the State House of Assembly.

The second aspect, which is scrutiny of the Auditor General's report, does not stop at the level of the amount of time the house uses to consider it. In fact, if the State House of Assembly takes too long to scrutinise the report, which may result in the report not being made public until long after the event (or not at all), this may indicate a lack of accountability.

The quality of scrutiny should be measured by looking at:

- I. The process (e.g. is there a designated Public Accounts Committee to review the report?); and
- II. The output (e.g. has the Public Accounts Committee asked questions on the report, and were ministries called upon to answer to the house of assembly for what was in it?).

The review will be for the last three financial years' accounts.

## Inter-Governmental Fiscal Relation

### **PFM 6.1 Extent to which the State has internalized the Constitutional provisions for Inter-Governmental Fiscal Relation**

The nature of fiscal relationships between State and local governments is outlined in the Constitution. This indicator is restricted to only two aspects, which are:

- I. Joint economic planning board (Section 7(4) of the Constitution; and
- II. Joint State and local government accounts (Section 156 (6) of the Constitution).

The objective of this indicator is to ascertain whether States have set up these two mechanisms in a manner to ensure synchronisation of plan between State and local governments as well as open, transparent and accountable distribution of funds due to the local governments of the State.

The assessment will review a State's documents and ascertain if it has a Joint Planning Board with the requisite mandate, responsibilities and members drawn from key State sectors and local governments. The second aspect is to review State's documents to ascertain whether the Joint Local Government Accounts are functional. This indicator ascertains the existence of the Joint Local Government Accounts only, not the manner of transfer of local government funds.

## Inter-Governmental Fiscal Relation

### Indicators

#### **PFM 6.2 Existence of functioning State Planning Board**

### Description

One critical aspect of fiscal relationships between State and local governments is the Joint Economic Planning Board provided in Section 7(3) of the Constitution. This is a constitutional creation intended to help achieve some measure of coordinated economic planning, discipline and efficiency at the local government level, as well as strengthening intergovernmental collaboration and coordination between State and local governments.

The objective of this indicator is to ascertain whether the State has set up the State Joint Economic Planning Board as prescribed in Section 7(3) of the Constitution.

The assessment will review the State's documents and ascertain if the State has a Joint Planning Board with the requisite mandate, responsibilities and members drawn from key State sectors and local governments.

The second aspect is to ascertain whether the State Joint Planning Board was established by a law enacted by the State House of Assembly.

The third aspect is to ascertain whether the State Joint Planning Board is functioning as well as the level of impact the board has on State and local government planning processes.

#### **The sources of information are:**

- I. The law establishing the board;
- II. Minutes of meetings of the board;
- III. State Development Plan/strategy process;
- IV. LG development plan/strategy process.

#### **PFM 6.3 Transparent distribution of revenue to LGs from State Joint Local Government Account**

Section 162 (6) of the Constitution provides that each State shall maintain a special account to be called "State Joint Local Government Account" into which shall be paid all allocations to the Local Government councils of the State from the federation account and from the government of the State.

The objective of this indicator is to ascertain whether States have set up the State Joint Local Government Account and whether the distribution of revenue from the State Joint Local Government Account is executed in an open, transparent and accountable manner.

The first aspect of this assessment is whether the State has in place the State local government joint account, while the second aspect is whether the distribution of revenue from the State joint local government account is conducted in an open, transparent and accountable manner.

This assessment will be through review of the State's documents, particularly in the Office of the Accountant General, Ministry of Local Government or any other office responsible for secretarial support to the State joint local government account.

## Inter-Governmental Fiscal Relation

Indicators

Description

The following documents will be critical for this assessment:

- I. Minutes of meetings of the State local government joint account committee;
- II. Bank account Statements for the current year and two preceding years.

### **PFM 6.4 Level of public access to information on distribution and transfer of revenue to LGs and grants from federal**

This indicator is to ascertain the extent to which information on the distribution of revenue from federation accounts and 10% of State IGR from the joint local government accounts are made available to the public.

Note: There is no prescribed method for doing this – it is up to States to decide the best method to make information on distribution of federation account transfers and 10% of State IGR available to a wider audience.

However, the State may adopt the use of website, publication in State newspaper, State gazette or printed leaflet/documents to make information available. The assessment also will determine whether the information is readily available in a State's website, newspaper, information leaflet, gazette or printed leaflet/document.

The assessment will also ascertain whether members of the public know and would on their own have access to the information.

It will also be appropriate to seek opinions from outside the government on whether the information is readily available to the public.

## Debt Management

Public debt management is a key component of the PFM system, which impacts the annual budget and fiscal sustainability of the State. An effective public debt management system ensures that borrowing is done at the least cost and minimum risk. It also keeps borrowing within acceptable limits, as defined by debt sustainability indicators and borrowing guidelines.

### **PFM 7.2 Evidence of coherent framework for managing external and domestic debts**

The indicator will ascertain whether the State has the institutional framework to ensure efficient public debt management. The institutional framework relates to the existence of a debt management department or unit and whether oversight is provided by a committee of the State House of Assembly. Also the department or unit should have qualified and experienced staff as well as an operational system (for example, computer hardware and software) for managing both external and domestic debts (contractors' debts, commercial loans, bonds, pension liabilities, and bridging finance, etc).

The department or unit is regarded as being functional where the State has accurate and up to date records of all debts (domestic and external), the creditors and amount owed each creditor, maturity dates and servicing schedules.

### PFM 7.3 State debt and whether the debt ratio is within sustainability thresholds

There are many situations when it makes good sense for a State to use loans to finance investments. What is necessary to avoid is a situation in which a growing debt burden threatens economic stability. A State must calculate how (easily) debts can be repaid in future. To this end, a good debt sustainability analysis compares the debt servicing cost of new and existing borrowing with the total resources of the State, to determine whether debt is sustainable.

The first aspect of this assessment is to ascertain the State debt disaggregated between domestic and external debt.

The second aspect is to ascertain whether the State's debt is within sustainability thresholds. The debt sustainability ratios are in respect of solvency and liquidity ratios. The ratios and sustainability thresholds are shown below:

S/N	Solvency Ratios	Sustainability Thresholds
1	Total Domestic Debt/Total Recurrent Revenue	50%
2	Total Domestic Debt/IGR	150%
3	Total External Debt/Total Revenue	50%
4	Total Public Debt/Total Revenue	100%
5	Total Public Debt/State GDP Ratio	40%

S/N	Liquidity Ratios	Sustainability Thresholds
1	External Debt Service/Total Revenue	10%
2	Domestic Debt Service/IGR	10%
3	Total Debt Service/Total Revenue	15%

The assessment will verify whether the State debt ratios as at the end of the preceding financial year are within the sustainable thresholds as provided above.

## 9.4 Human Resource Management

Human resource management (HRM) is primarily concerned with the management of people in organisations, focusing on policies and systems. It is designed to maximise employees' performance. Specifically, it deals with issues such as recruitment, deployment, compensation and motivation, promotion, discipline, development and training, succession planning, performance evaluation, safety, wellness, etc. It is also a strategic and comprehensive approach to managing people and the workplace culture and environment. Effective HRM enables employees to contribute effectively and productively to the overall company direction and to the accomplishment of their organisation's goals and objectives. In recent times, HRM has been moving away from traditional personnel administration and record-keeping roles, which are increasingly outsourced. It is now expected to add value to the overall performance of the organisation.

In line with the Nigerian Constitution and the National Gender Policy, which enjoins gender and social inclusion, it is important that the workforce is inclusive and reflects the population it serves; all aspects of HRM should be delivered transparently and on the basis of merit without bias based on factors such as gender, ethnicity, religion, marital status, disability and other social factors.

Within the confines of the SPRM, HRM is primarily concerned with the management of public servants in the State. It has three main components:

- a. Civil service governance;
- b. Service delivery;
- c. Performance and incentives and accountability.

### Civil Service Governance

#### Indicators

#### Description

#### **HRM 1.1 Extent to which the State civil service has robust policies, rules and regulations to manage its human resources**

This indicator seeks to assess whether the State has rules and regulations that govern its civil service in the areas of employment, promotion, discipline, posting and overall management. The Constitution of the Federal Republic of Nigeria (1999) provides each State in the federation with a platform for a comprehensive set of civil service rules.

This assessment will first determine the existence of a set of State civil service rules. Secondly, it will check that the contents of the civil service rules and regulations are comprehensive, with provisions that promote open and transparent recruitment processes, facilitate a merit and performance-based promotion process, and ensure that other important HRM issues such as diversity and inclusiveness (including gender and a wider range of social inclusion issues – see introduction), deployment, discipline and the development of personnel are effectively managed.

The document required for this assessment is the State's most recent civil service rules and regulations. State government circulars and gazettes will also be examined as they could fill gaps in existing public service rules and regulations.

#### **HRM 1.2 Extent to which open and transparent processes are applied in recruitment and promotion of personnel**

The indicator seeks to assess whether open, gender-sensitive and transparent processes are applied in recruitment, posting and promotion of personnel in the State.

Transparent recruitment processes (i.e. merit principles and gender and social inclusion (G&SI) sensitivity) that are critical to

achieving an effective and efficient State civil service include the following:

- I. Publicized advertisement of job openings, including through women's networks and CSOs representing other socially excluded groups;
- II. Short listing of candidates based on qualification and experience; attention to gender and social-inclusiveness in constituting interview panels;
- III. Recruitment exams and interviews;
- IV. Consideration of G&SI in selecting from among qualified candidates without sacrificing merit;
- V. Publication of qualified candidates applying for a post.

The State should be able to provide evidence of publicised advertisements of job openings for its recruitment processes. The State should also be able to provide evidence of G&SI-sensitive and transparent recruitment examinations and interviews, and evidence of selection of the most qualified candidates for each job. Evidence of the publication of qualified candidates in a newspaper or notice board of the civil service commission and concerned MDAs will also be required.

As with recruitment, promotion should also be based on merit and performance rather than years of service or patronage. Evidence should show that promotions are based upon pre-set performance indicators and/or performance in promotion exams.

### **HRM 1.3 Appropriateness of civil service workforce to State needs and Recruitment based on need**

The State's workforce should be distributed according to needs across cadre, grade level and service areas. Employment should not be made based on political or sentimental considerations. In many States, the workforce is bloated, leading to inefficient allocation of the States' resources. In many such States, most of the workers are in service areas, cadre and grade levels that do not satisfy the need criterion. The resultant effect is huge gaps in most other critical service areas, cadres and grade levels despite the over-sized civil service.

This indicator therefore seeks to determine whether recruitment is based on need and also analyses the current workforce to establish the distribution patterns. The first requirement is for States to provide evidence of a service needs programme/policy assessment informing the recruitment process; and secondly, to supply the current number and distribution of their employees on the basis of the following variables, each disaggregated by sex (including percentages for comparison):

## Civil Service Governance

### Indicators

### Description

- I. Total number of State civil servants;
- II. Number of civil servants per grade level;
- III. Number of civil servants per cadre;
- IV. Number of civil servants per MDA;
- V. Percentage of personnel costs to total expenditure of the State in the last three years.

Where available, workforce information disaggregated by other factors (e.g. disability) should be considered. Deviation from the National Gender Policy and other social inclusion policies should be highlighted for redress.

### **HRM 1.4 Level of capacity development of civil servants disaggregated by sex**

A dearth of training and capacity-building programmes in the civil service has been identified as one of its weaknesses. The sustainability of gains in civil service governance is dependent on the improved competence of civil servants on a continuing basis.

This indicator seeks to ascertain whether the State has a robust training and capacity development programme that can sustain civil service governance in the State and that provides training and capacity building to staff as required, based on organisational strategic needs. Training and capacity building should also include an equalities element to ensure that the workforce delivers programmes and services in an equitable, unbiased way.

The key parameters for assessing this are:

- I. A systematic training needs analysis;
- II. Training and capacity development budget for the last three years (percentage of the total budget earmarked for training and capacity development in the current year's budget and the two preceding years' budgets);
- III. Training institutions, facilities and curriculum; and
- IV. Training reports, including types, duration and numbers of staff trained.

The assessment will evaluate the State against each of these parameters. A State is regarded as having a system that can sustain civil service governance where there exists a systematic training needs analysis based on the strategic and programme requirements of the State; adequate training and capacity development budget; training institution(s) with appropriate facilities and curriculum; and training reports that assess the impact of training on performance.

## Civil Service Governance

### Indicators

### Description

All parameters are equally important. For example, a lack of training needs despite an adequate training budget and training institutions indicates that training is unstructured and not needs-based, which will not guarantee sustainable civil service governance.

The documents required for this assessment are training needs analysis reports, current year and the preceding two years training budgets, brochures of the training institutions (or any document describing the training institution, curriculum, etc.) and training reports outlining both numbers trained disaggregated by sex (and other social factors where available) and describing the impact of training on practice.

## Service Delivery & Performance

### **HRM 2.1 Extent to which the State has prepared and documented clear guidelines of MDAs' structures, mandates, functions and accountabilities**

This indicator seeks to assess whether the States' MDAs have comprehensive and concise structures, mandates, functions and accountabilities. Service delivery and the performance of a State government is not dependent on the number of institutions created but on availability of proper structures, mandates, functions and accountabilities for the MDAs.

Clear structures, mandates, functions and accountabilities of all institutions of governments make it possible to identify institutions that are not required, eliminate conflict and thereby ensure performance by all institutions. Institutions are guided by their mandate and two or more institutions should not have a similar mandate or functions. Some governments create and appoint functionaries for institutions for political ends, thereby creating friction and conflict and undermining service delivery and performance.

It is also important to identify working arrangements across MDAs that need to be in place to ensure the efficient delivery of outcomes for the public and the avoidance of duplication. For example, agriculture and transport need to work together to ensure an effective means of delivering goods to market; health and education need to work together to ensure health promotion and disease prevention messages are disseminated in schools.

This assessment should be conducted using any State document stating the existing MDAs, mandates, functions, accountabilities, etc. It may also be necessary to review documents within the institutions (i.e. MDAs) to ascertain whether there are clear structures, mandates, functions, and accountabilities. The assessment will therefore determine the percentage of the State's institutions with clear:

- I. Structures;
- II. Mandates;
- III. Functions;
- IV. Accountabilities.

## Service Delivery & Performance

### Indicators

### Description

#### **HRM 2.2 Existence of performance management system (other than the APER system) linked to mandates and service standards**

This indicator will seek to ascertain the existence of a performance management system other than the widely discredited APER system. The new performance system should be linked to mandates and service standards, for individuals, teams/task forces and programmes. This may also mean the existence of appropriate administrative mechanisms to facilitate the conduct of performance management of MDAs in the State.

The administrative mechanisms that will facilitate the conduct of performance management of MDAs are:

- I. Applicable law or executive council mandate for performance management reviews;
- II. Office charged with the responsibility of conducting performance management reviews.

Both the enabling law and the office should afford the State the opportunity to carry out regular management system reviews that are linked to mandates and service standards.

This indicator will examine the extent to which States efficiently carry out and utilise performance management system reviews. This will be assessed by the number of performance management reviews, institutional assessments or functional reviews carried out in the State's MDAs in the current year and the preceding two years.

The sources of information for this review are the performance management reports, institutional assessment reports, and functional review reports.

#### **HRM 2.3 Feedback mechanism to measure service users' satisfaction and awareness of redress**

This indicator assesses mechanisms for users of services to voice their impressions or perceptions on whether their needs or expectations have or have not been met. It also assesses mechanisms through which State authorities can programme services to meet the needs of the people, including marginalised groups.

The measure looks at a number of tools that States might use to do this, both one-off and integrated into service provision. One-off feedback mechanisms to measure user satisfaction include surveys, focus groups, a 'citizens' jury', mystery shoppers (where people are recruited to use services and report back on quality of service delivery), radio phone-in programmes, and a range of other tools that actively seek service users' views on services (provided there are systematic mechanisms in place for responding to issues raised).

Integrated approaches for input include systems such as suggestion boxes, complaints procedures and service charters. Service charters are a contract with the public that outlines service users' rights and responsibilities, how and in what timeframe services will be delivered, and includes assurances that services will not be biased (e.g. in relation to factors such as ethnicity or gender) and will make additional efforts to provide services to marginalised groups (e.g.

producing information for people with low levels of literacy, ramps for people with physical challenges to enter services).

Avenues for redress where services are poor include a complaints procedures department (which should be accessible and user-friendly), a complaints hotline (where complaints should be pursued within a regular schedule), or regular public meetings at which feedback is assessed and acted upon. Service charters also often indicate facilities available for people to submit their complaints for action.

A good complaints policy should also communicate clearly who to complain to and how/within what timeframe complaints are addressed.

The State government's response to complaints demonstrates how much it values customer feedback. For a system to function, there must be an active policy to follow up complaints, with reports on action taken in response to complaints, which should ideally be made public. Evidence of effective follow-up includes internal reports on complaints including how many complaints were received and what response they have received, including timeframe.

A State government intent on obtaining feedback on the quality of its services could also encourage independent monitoring organisations (e.g. market research organisations or NGOs) to report on its services, and the government will act on these reports.

Some of these are being pursued at the federal level by the Service Compact (SERVICOM) initiative, which aims to change the culture of the civil services at the federal level by making them more responsive to users. SERVICOM draws on international best practices in service delivery. Some States have replicated the SERVICOM initiative.

However, this will only be effective if output targets are properly set and published and information collected to demonstrate if these have been met or not, then the public will be able to assess for themselves if the government has performed well. If a State government desires to provide better services, it will welcome and encourage objective and critical feedback on its performance.

**Sources of information:** Service charters, news media, CSOs, stakeholder workshops/meetings.

## Service Delivery & Performance

### Indicators

#### **HRM 3.1 Extent to which there are procedures for incentive planning, payments and monitoring**

### Description

This indicator will seek to examine the extent to which procedures exist for incentive planning, payments and the monitoring of these payments to the workforce.

A State is regarded as having proper incentive planning, payments and the monitoring of these payments where the following are in place:

- I. Salary structure for all categories of staff within the State;
- II. Harmonised plan for review of salary structure of all categories of staff based on merit.

Salaries and allowances are usually one of the biggest causes of agitation between employees and employers. This is more pronounced with governments. In every State, there are different categories of employees operating under different civil service unions. States without proper salary structures for all categories as well as a harmonised plan for the review of salaries are usually susceptible to incessant and uncontrolled agitation for review. This affects service delivery and performance within affected institutions.

The first aspect of this indicator is to ascertain whether there exists a comprehensive salary structure for all categories of staff based on merit and position (rather than being determined for individuals arbitrarily) within the State and secondly, whether there is a harmonised plan for review of the salary structure for all categories of staff.

**Sources of information:** Payroll, interviews with staff.

#### **HRM 3.2 How salary structure of the State compares with federal and other States**

In 2011, the National Economic Council approved a minimum monthly wage of eighteen thousand Naira (N18,000) for both the public and private sectors of the economy. Some States, while adopting this wage threshold, may not apply the same structure across the service hierarchy. The aim of this indicator is to ascertain how the State establishes basic salaries for various grade levels compared with what the federal government as well as other States pay. Five salary grade points will be used for this. They include:

- I. Minimum wage of the State (i.e. salary grade level 01 step 1);
- II. The basic salary of grade level 8 step 4;
- III. The basic salary of grade level 17 Step 1;
- IV. The basic salary grade level 17 final step;
- V. The basic salary of a State Permanent Secretary.

### **HRM 3.3 Degree of integration and reconciliation between personnel records and the payroll data with internal control mechanism**

The wage bill is usually one of the biggest items of government expenditure and is usually susceptible to weak control and corruption. One of the reasons that payroll costs are sometimes escalated is payroll fraud i.e. payment of salaries to fictitious workers (or 'ghost workers'), or situations in which regular workers draw more than one salary for the same job.

The payroll is underpinned by the "nominal roll," which is a list of all staff that should be paid every month and can be verified against the approved establishments list. The link between the payroll and the nominal roll is a key control tool. The ideal practice is that payroll and human resources records are linked by an integrated database covering all staff on the State payroll. The database uses biometric data to identify staff. An effective control mechanism requires regular reconciliation of personnel records and payroll data to take care of retirements, deaths, dismissal, etc.

This indicator will seek to determine whether:

- I. The payroll (typically domiciled in the office of the accountant-general of the State) and the human resources records in the Civil Service Commission and/or Office of the Head of Service of the State/MDAs, are directly linked by an integrated database;
- II. The database is reconciled monthly;
- III. The database uses biometric data to identify staff.

Where there is no direct link between the payroll and human resource records, the second and third aspects of the indicator will not be answered.

Proper assessment of this indicator will require detailed review of the system and interviewing of key operators of the system.



Capacity building towards improving civil service performance

## 9.5 Education

Education is widely acclaimed as the bedrock of development. Functional and qualitative education is needed to achieve top national strategic visions and development priorities. Over the years, Nigeria has expressed a commitment to education, in the belief that overcoming illiteracy and ignorance will form a basis for accelerated national development. State governments have traditionally played a major role in educating their citizenry. This section assesses the extent to which States are ensuring continuous development in the education sector. The assessment is in four sub areas, namely:

- Education sector governance;
- Infrastructural facilities for learning environment;
- Quality of teaching and learning standards;
- Enrolment and performance.

### Education Sector Governance

Indicators	Description
<b>ES 1.1 Extent to which the State has institutionalised preparation of evidence-based Education sector plans (and/or Medium Term Sector Strategy 'MTSS')</b>	<p>This indicator seeks to establish whether the State has institutionalised the preparation of an evidenced-based sector plan (and/or medium-term sector strategy). The State system for developing the sector plan and strategy should be integrated with local governments.</p> <p>The reviewers should first establish whether the State has a robust education sector plan and/or MTSS. The existence of an education sector plan and/or MTSS is also covered under the Policy and Strategy assessment area. The focus under education sector assessment is whether the State has institutionalised the process of developing an education sector plan and/or MTSS. An institutionalised mechanism in this respect refers to the existence of a policy document that sets out the process, stakeholders and timeline for the preparation of sector plan and/or MTSS. A State without a current education sector plan and/or MTSS may be attributed to the non-existence of an institutionalised mechanism or the non-utilisation of an existing mechanism.</p> <p>The second aspect is to establish the extent to which the major stakeholders in the State participate and own the developed education sector plan and/or MTSS. The major stakeholders include the State Ministry of Education, State Universal Basic Education Board, local government education authorities, Adult and Non-formal Education Board, Nomadic Education Board and similar institutions at State and local government levels as well as civil society organisations and self-help groups that function within the sector.</p> <p><b>Sources of information:</b> State Ministry of Education, State Universal Basic Education Board and local government education authorities.</p>
<b>ES 1.3 Extent to which targets in the Sector plans are being met</b>	<p>This indicator assesses the extent to which targets in the plan and/or MTSS are being met. It takes the projections in the plan and/or MTSS and compares them with actual performance.</p> <p><b>Sources of information:</b> State Ministry of Education, State Universal Basic Education Board and local government education authorities.</p>

**ES 1.4 Extent to which developments in the education sector are linked to the plans (and/or MTSS) as well as the percentage of the State’s annual budget dedicated to education sector**

The first aspect of the indicator examines whether developments in the education sector in the State are reflective of the plan.

For example, to what extent is the education component of the annual budget shaped by this plan?

The second aspect of the indicator seeks to establish the level of the State’s budget allocated to education sector and the level of compliance with the United Nations Educational, Scientific and Cultural Organization (UNESCO) recommended allocation of 26% of total budget for the education sector for current year and the two preceding years.

Reviewers should review the State’s education plan and/or MTSS, appropriation documents for the current year and the two previous years.

**Sources of information:** Ministry of Finance, Budget and Planning, Office of the State Accountant General, and Ministry of Education.

## Infrastructural Facilities for Learning Environment

**ES 2.1 Extent of adoption and localisation of policies setting minimum standards for infrastructural facilities for learning environment**

The indicator relates to determining standards for infrastructural facilities for learning environment for all schools (pre-primary, primary, junior and senior secondary schools).

The indicator will be measured by ascertaining whether the State has a short Statement or policy documents setting standards for infrastructural facilities for learning environment. For instance, the review will cover policy documents that set standards for the size of classrooms, quality of construction, provision of water and sanitation, provision of furniture for students and teachers, recreational facilities, health and safety standards. It will also ascertain whether the standards for the provision of infrastructure are in line with national standards.

Data source is annual State education sector policy documents.

**ES 2.2 Institutional framework for ensuring that minimum standards of infrastructural facilities for learning environment are adhered to/ maintained.**

Minimum standards of infrastructural facilities for learning environment will not be attained by all schools without the existence of an institutional framework in the State to ensure compliance. In applying this indicator, the main question is to ascertain whether the State has the institutional mechanism for regulating and monitoring compliance with minimum standards of infrastructural facilities for learning environment.

The institutional mechanism may be a dedicated unit or department in the Ministry of Education, State Universal Basic Education Board and local government education authorities with a mandate for regulating and monitoring compliance with infrastructural facilities standards by all schools. The unit or department should also have a mechanism for sanctioning defaulters. The existence of a unit or department is not sufficient; the assessment will review whether the unit or department is properly funded and has the required professionals and motivated work force to perform their functions,

as well as evidence (documents/reports) to show that the unit carried out the functions regularly in the past 24 months.

**Data sources:** Quality assurance department in State Ministry of Education, State Universal Basic Education board (SUBEB) and local government education authorities.

### **ES 2.3.1 Pupil per Classroom Ratio**

This indicator is about the average number of pupils per classroom in primary/secondary education in a given school year. The national average is 35 to 40 per classroom.

This is calculated by dividing the number of pupils by the total number of available classrooms.

**Data sources:** State annual school census report

### **ES 2.3.2 Percentage of rural population having primary school located within 1km**

This indicator relates to the proportion of the population in rural communities who have a primary school located within 1km of their dwelling to the total rural population in the State and multiplying the result by 100.

This is calculated by dividing the population in rural communities who have a primary school located within 1km of their dwelling by the total number of people living in the communities.

**Data sources:** Household surveys such as Multiple Indicators Clusters Survey (MICS), Core Welfare Indicator Questionnaire (CWIQ) and Nigeria Living Standard Survey (NLSS), special surveys.

### **ES 2.3.3 Percentage of Schools with functional latrine facilities**

This indicator is about the number of schools with functional latrine facilities as a percentage of the total number of schools in the State.

This indicator is calculated by dividing the number of schools with functional urinal facilities by the total number of schools in the State and multiplying the result by 100. The indicator should be disaggregated by level of education (i.e. pre-primary, primary and secondary) sex (i.e. female-only latrine, male-only latrine and male/female combined latrine) and Local Governments (urban, semi urban and rural).

**Data sources:** State annual school census report.

### **ES 2.3.4 Percentage of schools with access to potable water**

This indicator is about the number of schools with access to potable water as a percentage of the total number of schools in the State.

This is calculated by dividing the number of schools with access to portable water by the total number of schools in the State and multiplying the result by 100.

**Data sources:** State annual school census report.

### **ES 2.4.1 Level of community participation in school management**

This indicator relates to the participation of members of community (including women and youths) in school management for ensuring compliance with teaching and learning standards in all schools.

There are two aspects of this indicator, which are:

- I. To count and verify all schools with functional School Based Management Committees (SBMC) as a percentage of total number of schools by level of education and location (rural/urban);
- II. To count and verify all SBMC members trained in developing partnership; school development planning; mobilising community to support access; and project monitoring.

For example, **X** percent of primary/junior/senior secondary schools have functioning SBMC; **X** number of trainers were trained who then trained members of **X** SBMCs in developing partnership; school development planning; mobilising community to support access; and project monitoring, disaggregated by sex; **X** number of projects were monitored by these SBMCs; the following actions were taken on the basis of SBMCs monitoring reports; what are the training plans for SBMCs for the following year?

**Sources of information:** Annual school census for number of schools with functioning SBMC; training reports; inspection reports.

## Quality of Teaching and Learning Standards

### ES 3.1 Existence of policies on teaching and learning standards

The indicator relates to the learning outcomes and expected standards of achievement in different subjects and at different levels.

The indicator will be measured by reviewing education policy documents to establish if there are provisions for setting teaching and learning standards. The policy should cover expected levels of learning in different subjects at different schooling levels; method of assessment; policy on number of teaching hours to be attained per subject; provision of teaching and learning materials; and appointment of the head of schools. The review should also consider existing plans for developing or updating policies relating to learning standards at different levels. An important aspect of this assessment is the adoption of the new Universal Basic Education (UBE) curriculum.

**Data sources:** State policy documents.

### ES 3.3.1 Pupil to qualified teacher ratio

The first aspect of the indicator relates to the average number of students per teaching staff at a given level of education.

This is calculated by dividing the total number of students at a given level of education by the total number of teachers at that level of education and multiplying by 100.

The indicator should be disaggregated by level of education (pre-primary, primary and secondary) and Local Government Area (LGA) (urban, semi-urban and rural). The averages should be in line with the standards set in policy documents. For example, at the primary level, the average should not be more than 35 and for secondary level should be no more than 40.

## Quality of Teaching and Learning Standards

### Indicators

### Description

The second aspect relates to the average number of students per qualified teaching staff (NCE<sup>8</sup> or bachelor of education) at a given level of education.

This is calculated by dividing the total number of students at a given level of education by the total number of qualified teachers at that level of education, multiplied by 100. The indicator should be disaggregated by level of education (pre-primary, primary and secondary) and LGA (urban, semi-urban and rural). Averages should be in line with standards set in policy documents e.g. UBE curriculum.

The timeframe to be covered in assessing the performance of the indicator is the year of review and the previous two years prior to the year of review.

**Data sources:** Annual school census.

### ES3.3.2 Percentage of teaching staff that received in-service training

The indicator relates to proportion of teachers that receive training while in service.

Divide the total number of teachers at a given level of education that receive in-service training by the total number of teachers at that level of education multiplied by 100. Disaggregate the data by gender, level of education and LGA. For example, X percent of teachers at the primary level have received in-service training. The percentage should be in line with the standards set in State policy documents.

States should also be assessed on measures put in place to ensure that teacher development is sustained. This can be evaluated by assessing the level of collaboration with TRCN<sup>9</sup>/ UBEC<sup>10</sup> and SUBEB to ensure the sustainability of teacher development efforts.

The timeframe to be covered in assessing the performance of the indicator is year of review and previous two years prior to the year of review.

**Data sources:** Training records and payroll records.  
TRCN/UBEC, SUBEB

<sup>8</sup> National Certificate of Education

<sup>9</sup> Teachers Registration Council of Nigeria

<sup>10</sup> Universal Basic Education Commission

### **ES.3.4 Institutionalised quality assurance evaluation mechanism**

The indicator relates to the institutionalisation of a quality assurance monitoring and evaluation system to enhance the effectiveness and efficiency of educational planning as well as to ensure compliance with teaching and learning standards. Monitoring and evaluation will ensure that set standards of performance are met by all.

The indicator will be gauged by determining if the State has institutionalised and operationalised a monitoring and evaluation framework in the education system. For example, whether the State has developed an M&E policy document to ensure timely conduct of periodic monitoring of performance of teachers in schools (pre-primary, primary and secondary) which informs recruitment, deployment and posting of teachers.

The M&E policy document should also provide for annual education sector review and to link plan and/or MTSS and budget preparation to recommendations in an annual education sector review report (it should also form the basis for revision of such a plan and/or MTSS).

The reviewers should also ascertain whether an M&E unit has been established in the Planning Research and Statistics department of the Ministry of Education; X staff have been assigned to this unit (disaggregated by sex); X members of this unit have been trained in M&E (disaggregated by sex); and if a costed M&E work plan and timetable has been developed.

**Data sources:** M&E policy documents; M&E reports (monthly, quarterly and annual) and short interview.

## **Enrolment and Performance**

### **ES 4.3.1 Gross and net enrolment rates and completion rate by gender, level, location and economic status**

The first aspect of the indicator is the gross enrolment rate which is defined as the number of pupils who are enrolled in school as a percentage of the total children of official school age population for that level of education.

The gross enrolment rate is measured by dividing the total enrolment in a given level of education by total population in the school age group for that level of education multiplied by 100. This will be disaggregated by gender, levels of education, location and income groups. In respect of disaggregation by gender (i.e. ratio of gross enrolment rate of males to the gross enrolment rate of females), a desirable parity rate is 1.

The second aspect is net enrolment rate, defined by the United Nations as the number of children of official primary school age who are enrolled in primary education as a percentage of the total children of the official school age population.

Net enrolment rates will be measured by dividing the number of pupils enrolled who are of the official age group for a given level of education by the population for the same age group and multiplying the result by 100. Again, the data should be disaggregated by gender, levels of education, location and income groups.

The timeframe to be covered in assessing the performance of the

## Quality of Teaching and Learning Standards

### Indicators

### Description

indicator should be the year of review and the previous three years prior to the review.

Data source is annual school census, household surveys, National Bureau of Statistics data and National Population Commission figures.

### ES 4.3.2 Percentage of students who obtained pass certificate in standard examinations

The indicator relates to the total number of students who obtained pass in primary school certificate (PSC) and junior secondary certificate (JSC) exams and five credits (including English and Math) in West Africa Examination Council/National Examination Council (WAEC/NECO) as a percentage of total number of students who took the exams.

Divide the total number of students who obtained a pass certificate (for PSC/JSC) or five credits (for WAEC/NECO) by the number of students who took the exams, and multiply by 100. The indicator should be disaggregated by gender, location and type of school (public/private).

The timeframe to be covered in assessing the performance of the indicator is the year of review and previous two years prior to the year of review.

**Data sources:** Examination results – PSC, JSC, WAEC/NECO – to obtain data relating to the total number of children who took these examinations and total number that obtained a pass certificate from administrative records.



Enhancing learning

## 9.6 Health

Governments play an important role in health development. The role of government is often to steer overall health development by designing health policies and programmes, securing essential public health functions and regulating the delivery of health services. This allows health systems to achieve their goals of improving access to good healthcare, reducing health inequalities, securing equity in health care financing and responding to population needs.

In Nigeria, State governments are specifically responsible for secondary hospital care and supporting LGAs to provide primary health care – State planning, operational support, coordination, monitoring and training.

This section appraises the health situation in State. Specific indicators are designed for five sub-areas:

- Health sector governance;
- Service delivery and performance;
- Immunisation, child and maternal mortality;
- Staffing;
- Health information management system, communication and advocacy.

### Health Sector Governance

#### Indicators

#### Description

#### **HS 1.1 Strategic plans for the health sector exist and are institutionalised**

This indicator seeks to establish whether the State health strategic plan has been institutionalised (i.e. whether it has been passed by the SHoA).

The reviewers should also establish the extent to which the major actors in the State own the plan.

**Sources of information:** State Ministries of Health and SHoA.

#### **HS 1.3 Extent to which Sector targets in the Strategic Plan are being met**

The indicator assesses the extent to which the high-level targets in the strategic plan are being met. The reviewers should ascertain the high level targets in the strategic plan and compare the projections with actual performance.

**Sources of information:** State Strategic Health Development Plan and Ministry of Health.

#### **HS 1.4 Extent to which developments in the health sector are linked to the plan as well as percentage of State's annual budget dedicated to health sector**

The first aspect of the indicator examines whether developments in the health sector in the State are reflective of the plan. For example, to what extent is the health component of the annual budget shaped by this plan?

The second aspect of the indicator seeks to establish the level of a State's budget allocated to the health sector and the level of compliance with the recommended benchmark of 15% of State's annual budget dedicated to the health sector.

Reviewers should review the Strategic Health Development Plan, appropriation documents for the current year and the two previous years.

**Sources of information:** Ministry of Finance, Budget and Planning, Office of the State Accountant General, and Ministry of Health.

## Service Delivery and Performance

### Indicators

#### **HS 2.2 Institutional arrangements for primary and secondary health care in the State**

### Description

The institutional arrangement should provide support to the State health policy in:

- I. Reviewing existing health policies particularly as to their relevance to the development of primary and secondary health care;
- II. Stimulating and assisting State and local governments to accelerate primary and secondary health care;
- III. Promoting the participation of women at all levels of primary health care planning, management and implementation, particularly at the local government level;
- IV. Promoting strategic technical support to the implementation of selected primary health care components as may be required to enhance orderly development and improve upon or introduce new skills required for health services;
- V. Promoting health workforce development;
- VI. Promoting seamless referral from primary to secondary health care facilities;
- VII. Promoting health systems research, etc.

The reviewers should examine the institutional arrangements for the delivery of both primary and secondary healthcare in the State. The reviewers should also review the extent of collaboration between States and local governments in the delivery of primary healthcare.

**Sources of information:** Ministry of Health, health sector agencies and LGAs.

#### **HS 2.3.1 Number and type of health management and integrated supportive supervision mechanisms put in place and implemented**

This indicator should be measured through the physical presence of functional agencies that are fully staffed and have clearly written mandates that are backed by laws or policies.

The activities of these agencies should be presented in the form of documented reports, registers, and other activity documents. There should be in place at least the following key agencies:

- I. Private medical practitioners' registration board or agency;
- II. Traditional medical practices regulatory agency;
- III. Drugs regulatory and monitoring agency, public health agency;
- IV. Industrial health safety regulatory agency and sanitation agency.

Enquiries should focus on institutions that regulate orthodox and traditional medical practices, the consumption and distribution of drug and medical commodities, and agencies that regulate both domestic and sanitation practices.

### HS 2.3.2 Proportion of wards with functioning public health facilities providing minimum health care package according to quality of care standards; including availability of safe water and sanitation

**Sources of information:** Data sources will include reports of activities of these agencies, physical presence of the agencies, and availability of staff and infrastructure required for effective functioning of the agencies.

This indicator seeks to measure the ability and capacity of the healthcare system to deliver quality services that ensure universal availability and access to an essential package of primary healthcare services to all groups.

This indicator should be appraised by conducting a survey and inventory of all Primary Health Care facilities using the National Primary Health Care Development Agency (NPHCDA) minimum healthcare package as a checklist. The number of facilities that meet or do not meet the standards should be documented and reported.

The annual health facilities gap analysis report should also be used to complement the survey report in arriving at conclusions.

The benchmark for this indicator is clearly spelt out in the NPHCDA minimum care package and should be made reference to.

**Sources of information:** Data should be sourced from annual facilities survey reports and from the analysis reports.

## Immunisation, Child and Maternal Mortality

### HS 3.3.1 Proportion of 12 -23 months-old children fully immunized

This indicator seeks to unravel immunisation coverage of children less than two years of age with all of the NPI<sup>12</sup> recommended antigens for that age group and the status of routine immunisation in States and LGA.

This indicator should be judged through evidence from State EPI<sup>13</sup> records and facility service records. All States and LGAs currently have an expanded programme on immunisation in place. This programme, which coordinates all immunisation activities against all immunisable diseases, keeps records of these activities and shares them with the NPHCDA.

The service statistics from these records should provide data on this indicator. A target of 95% coverage must have been attained in 2015.

**Sources of information:** Data for this indicator should be sourced from the State and EPI service statistics records, NDHS<sup>14</sup>, MICS / Immunisation coverage surveys.

### HS 3.3.2 Percentage of children 6-59 months-old receiving Vitamin A supplement

Proportion of children aged 6-59 months who received a high-dose vitamin A supplement within the last six months.

High-dose vitamin A, according to the International Vitamin A Consultative Group (IVACG) definition, refers to “doses equal or greater than 25 000 IU”.

This indicator should be accessed through household surveys, or through statistical records of maternal and child health (MCH) programmes and facility records.

<sup>12</sup> National programs on Immunization

<sup>13</sup> Expanded program on immunization

<sup>14</sup> National Demographic Health Survey

The current national benchmark for this indicator is 90% with a target of 100% by 2015.

**Sources of information:** Data should be collected from States and LGAs EPI, and MCH programmes.

### HS 3.3.3 Malaria incidence among under-five children

This indicator seeks to report cases of malaria among children under five years of age, and measures the level of success or otherwise of malaria prevention programmes among children of this age group.

This indicator should be assessed through evidence from facilities, MCH services reports, sentinel surveys, MICS and NDHS. The current national benchmark for this indicator is 10% with a target of 5% by the year 2015.

**Sources of information:** Data should be obtained from Sentinel survey reports, facility surveys, or NARHS<sup>15</sup> reports.

### HS 3.3.4 Infant, Child and Maternal mortality ratio

Infant mortality refers to deaths of children younger than one year of age. These deaths are often divided into two groupings: neonatal mortality (deaths of infants within the first 27 days of life) and post-neonatal mortality (deaths of infants 28-364 days old). Period rates are the number of deaths in a given period per 1,000 live births in the same period. Infant mortality is associated with maternal health, quality of and access to medical care, socioeconomic conditions, and public health practice.

Child mortality is defined as the number of children dying before reaching five years of age per 1,000 live births (LBs) in a given year. Child mortality is seen as an important barometer of the effect of wider economic and social conditions on child health. It measures an outcome of the development process rather than an input (such as expenditure on health). It is also known to result from a wide variety of factors such as the availability of maternal and child health services (including prenatal care), the level of immunisation, income and food availability in the family, and the availability of safe drinking water and basic sanitation.

Infant mortality rates often are calculated separately for the neonatal period (from birth to age 28 days) and the post-neonatal period (from 1 to 11 months of age). Infant mortality rates, which measure the probability of death in the first year of life, are the sum of neonatal and post-neonatal mortality rates. The under-five mortality rate (U5MR) refers to deaths from birth up to a child's fifth birthday.

Each rate is calculated as the number of deaths in the specific age group per 1,000 live births. For example, a U5MR of 150 indicates that there are 150 deaths before the fifth birthday for every 1,000 live births, or that 15 percent of children die before age five.

<sup>15</sup> National HIV/AIDS and Reproductive Health Survey-Plus

## Immunisation, Child and Maternal Mortality

### Indicators

### Description

The United Nations Population Division produces estimates of infant and child mortality rates for every country regularly. The current national benchmark is 45/1000 LBs.

Complications during pregnancy and childbirth are a leading cause of death and disability among women of reproductive age in developing countries. The maternal mortality ratio, which is an SDGs indicator, represents the risk associated with each pregnancy, i.e. the obstetric risk. Maternal death is the death of a woman while pregnant or within 42 days of termination of pregnancy, irrespective of the duration and site of the pregnancy, from any cause related to or aggravated by the pregnancy or its management but not from accidental or incidental causes.

To facilitate the identification of maternal deaths in circumstances in which attribution of cause of death is inadequate, a new category has been introduced: pregnancy-related death is defined as the death of a woman while pregnant or within 42 days of termination of pregnancy, irrespective of the cause of death.

Live birth refers to the complete expulsion or extraction from its mother of a product of conception, irrespective of the duration of the pregnancy, which, after such separation, breathes or shows any other evidence of life - e.g. beating of the heart, pulsation of the umbilical cord or definite movement of voluntary muscles - whether or not the umbilical cord has been cut or the placenta is attached. Each product of such a birth is considered live born.

Measuring maternal mortality accurately is difficult except where comprehensive registration of deaths and of causes of death exists. Elsewhere, census, surveys or models have to be used to estimate levels of maternal mortality.

Reproductive-age mortality studies (RAMOS) use triangulation of different sources of data on deaths of women of reproductive age coupled with record review and/or verbal autopsy to identify maternal deaths.

Based on multiple sources of information, RAMOS is considered the best way to estimate levels of maternal mortality. Estimates derived from household surveys are subject to wide confidence intervals and long period rates (often for 10 year periods).

Global and regional estimates of maternal mortality are developed every five years, using a regression model.

Current national benchmark is 136/10,000 LBs.

**Sources of information:** Vital registration, health service records, household surveys, census, publications of National Bureau of Statistics.

## Immunisation, Child and Maternal Mortality

### Indicators

#### **HS 3.3.5 Contraceptive prevalence rate**

### Description

Contraceptive prevalence rate is an indicator of health, population, development and women's empowerment.

It also serves as a proxy measure of access to reproductive health services that are essential for meeting many of the Sustainable Development Goals, especially those related to child mortality, maternal health, HIV/AIDS, and gender equality.

This indicator seeks to measure the proportion of women aged 15-49 years, married or in-union, who are currently using, or whose sexual partner is using, at least one method of contraception, regardless of the method used.

Contraceptive methods include modern and traditional methods. Modern methods include female and male sterilisation, oral hormonal pills, the intrauterine device, the male condom, injectables, the implant (including Norplant), vaginal barrier methods, the female condom and emergency contraception.

Traditional methods of contraception include the rhythm (periodic abstinence), withdrawal, the lactation amenorrhea method (LAM) and folk methods.

Contraceptive prevalence = (Women of reproductive age (15-49) who are married or in union and who are currently using any method of contraception / Total number of women of reproductive age (15-49) who are married or in union) x 100.

The method of estimation is empirical data only. Disaggregation is by age (adolescence), marital status, method of contraception, location (urban/rural, major regions/provinces), and socioeconomic characteristics (e.g. level of education, wealth quintile). The current national benchmark is 26%.

**Sources of information:** Household surveys, such as demographic and health surveys, multiple indicators cluster surveys, and contraceptive-prevalence surveys.

Estimates can also be made from health-service statistics using census projections as a denominator. Such estimates, however, are often expressed in terms of a couple of years of protection and may not always be complete.

#### **HS 3.3.6 Focused antenatal care or percentage of pregnant women with 4 ANC visits performed according to national standards**

This indicator seeks to establish the percentage of women aged 15-49 with a live birth in a given time period that received antenatal care four or more times. It seeks to confirm not only action towards reducing maternal mortality but also ANC service uptake.

Antenatal care coverage is an indicator of access and use of healthcare during pregnancy. The antenatal period presents opportunities for reaching pregnant women with interventions that may be vital to their health and wellbeing and that of their infants.

Receiving antenatal care at least four times, as recommended by the World Health Organisation (WHO), increases the likelihood of receiving effective maternal health interventions during antenatal visits. This is an MDG indicator.

This indicator should be measured through household surveys and summary statistics of service providing facilities. The national benchmark for this indicator is 70%.

**Sources of information:** Data should be collected from survey reports, States and LGAs MCH programmes and NDHS.

## Staffing

### HS 4.1 Framework for staffing and capacity development of health personnel in the State

Human resources are the key ingredient to a functioning health system. Under this indicator, reviewers should examine the existence and efficiency of the framework for staffing, retention and capacity development of health personnel in the State.

Specifically, what types of contracts are issued to health professionals, how their salaries compare with their federal counterparts, and the presence of other incentives.

**Sources of information:** Ministry of Health and personnel records

### HS 4.3 Proportion of health professionals per population (physicians, nurses and health workers per population (rural/urban))

This indicator seeks to estimate the number of healthcare professionals available to provide services to the population. It is calculated as the number of professionals available per 10,000 of the population, and should be disaggregated by sex.

The indicator should be measured using the LGA or State population estimate at the time of assessment and the total number of health professionals providing services at facilities. There is currently no national benchmark for this indicator in the absence of a national baseline. However, the National Strategic Health Development Plan sets a target of 20:10,000 by 2015.

### HS 4.4 Number and types of plans and programmes for strengthening and motivating the human resource capacities in the Health sector implemented

This indicator plans to determine the level of investment in human resources for health (HRH), especially in the area of capacity building to enable delivery of up-to-date quality health care services. It also seeks to appraise the level of motivation and incentives for retaining and engaging personnel.

This indicator should be determined from records of attendance of personnel in-service academic and professional courses that are paid for by the employer; records of seminars and capacity-building training conducted by employers; and records of regular personnel promotion and salary upgrades. Sex and cadre should disaggregate these. The example here is quarterly seminars, annual capacity building training, periodic in-service courses and promotion every three to four years. It also includes prompt payment of salaries, leave grants, call duty and agency allowances and regular reviews of salaries and emoluments.

**Sources of information:** Include records from personnel departments, DPRS and other relevant MDAs.

## Health Information and Management System, Communication and Advocacy

### Indicators

### Description

#### **HS 5.2.1 Existence of fully established Health Management Information System in the State**

This indicator seeks to ascertain the existence of a fully established HMIS system in the State and the extent to which it is aligned to the National HMIS.

The reviewers should also establish the extent to which it is functional if it exists.

**Data sources:** State Ministries of Health.

#### **HS 5.2.2 Proportion of State annual health budget earmarked and utilised for health research, generation of evidence, and research capacity strengthening**

This indicator pursues the level of compliance with national health financing policy and recommendations. It seeks to establish the proportion of the State's or LGA's total health budget that is dedicated to health research and evaluation to create a knowledge base to inform health policy and programming.

This indicator should be assessed using reports of the State's Health Ministry sectoral/department annual budget allocation and utilisation reports.

The national target of this indicator is not fixed but is progressive, taking current trends into account. The current benchmark is 2% of the total health budget.

**Sources of information:** Department of Planning, Research and Statistics reports

#### **HS 5.3 Number of health programmes and intervention plans and strategies for improved coverage and high quality impact developed based on information generated from routine HMIS data**

Evidence-based planning is universally recognised as the best means of achieving high-impact interventions and better health outcomes efficiently and effectively. It also reduces wastage, leakages and duplication in addition to being able to meet genuine needs. This indicator will measure the use of (sex, age and location) disaggregated data, especially routine HMIS data, for planning interventions. It will also establish evidence of data use in policy formulation, strategy development and programme activities design and implementation.

The indicator should be assessed by evidence of a data analysis and utilisation system, structure and mechanism at LGA and State levels. It should also be verified by the availability of costed plans derived from routine HMIS data and by reports of implementation of the plans. A good example is the use of data from an LGA that shows an increase in waterborne diseases to plan and implement intervention aimed at improving quality of water supply and treatment of waterborne diseases in the LGA. Examples here include monthly, quarterly and annual data review meetings, strategic planning process and periodic facility and household surveys. These activities should normally be followed by costed plans of action and operational plan development.

**Sources of information:** Periodic data review reports, strategic plans, operational plans and implementation reports.

**HS 5.4 Extent of collaboration with communities** (active participation of women groups, traditional rulers, opinion leaders, CBOs, NGO and CSOs)

This indicator seeks to establish the level of community participation and involvement in health development and to ascertain the existence of a formal framework and policy for this participation and involvement.

This indicator should be gauged through evidence of existence of a formal framework and policy for community participation (including women and youth groups), existence of community health advisory committees at all levels, and evidence of community input in health planning and programme implementation.

An example is the establishment of a village or ward health committees comprising of community leaders and CSOs that is supported and strengthened to set community health priorities, suggest best strategies for intervention and advise the authorities for action. The national benchmark for this indicator is the existence of community health committees in at least 60% of all communities in the State.

This should be demonstrated by providing evidence of their existence, structures, their gender and social inclusiveness, line of communication and interface with the relevant health MDAs.

**Sources of information:** Health MDAs, LGA community development departments, community leaders and CSOs. The data should include list of committees, identity of leaders of committees, documentary evidence of their activities and presence of a coordinating liaison at the MDAs.



Better health care

## 9.7 Environment

It is now increasingly recognised that environmental concerns are closely linked to the way development theory and practice are conceived and applied. In this context, the concept of sustainable development (SD) has rapidly emerged as an envisioning strategy to save the earth for future generations. Moreover, climate change has recently emerged as a major global environmental threat confronting humanity.

Nigeria is highly vulnerable to the effects of environmental degradation and climate change, with significant impacts on all sectors of the economy and all regions of the country. It is already having a deleterious effect, as witnessed in the 2012 flooding, which has been called the worst in five decades. Recent estimates by the Ministry of Environment (2011) suggest that, in the absence of adaptation, climate change could result in a loss of between 2% and 11% of Nigeria's GDP by 2020, rising to between 6% and 30% by the year 2050.

Meeting the challenges of environmental degradation thus requires re-examining the ways in which trade, industry, development and other economic policies are pursued and to what extent they are mindful of the environment.

Indicators are developed for six major areas:

- Environmental governance;
- Waste management;
- Biodiversity management;
- Climate change and other environmental challenges.

### Environmental Governance

Indicators

Description

#### **EnvS 1.1 Environmental policies and presence of environmental laws and enforcement**

This indicator scrutinises institutions, organisations, policy instruments, financing mechanisms, rules, procedures and norms that regulate the processes of environmental protection in the State.

##### **Measurement:**

Assessing the performance of any environmental governance system is complex, given the complicated nature of the subject. The questions below would assist in apprehending some key principles of environmental governance.

Reviewers should investigate if there is a Ministry of Environment in the State and, if it exists, the capacity of the institution relative to the environmental challenges confronting the State. The assessor should also appraise the system of values, policies and institutions by which the State manages its affairs through interactions within and among the State, civil society and private sector.

Does the system facilitate the making and implementing of decisions by the State that are people-environment-oriented, achieving mutual understanding, agreements and action at every level of human enterprise: household, village, municipality, nation, region or globe?

For example:

- I. Are there innovation and effective management and delivery models that inform policy and legislative development and improved local level environmental planning?
- II. Does decision making involve the principles of inclusivity, representation, accountability, efficiency, effectiveness, as

## Environmental Governance

### Indicators

### Description

well as social equity and justice with regard to environmental issues?

- III. Are best-practice guidelines for the delivery of environmental services available in the State?
- IV. Does the environmental policy of the State tie in very well with the national Policy on environment?

**Sources of information:** State Ministry of Environment

### EnvS 1.2 Availability of current State of environment report for the State

This refers to annual documentation of the State's management of its environmental affairs.

#### Measurement:

- I. Examine if there are published annual reports on the State of the environment;
- II. Are environmental issues high on the list of priorities for governments?
- III. Is there any State of the environment report?

**Sources of information:** State MDA policy Statements.

### EnvS 1.3 Frequency of prosecution of environmental offenders

Environmental enforcement does not respect anyone violating the tenets of good environmental behaviour. To this end, this indicator examines the absence or presence of government interference in the prosecution of environmental offenders.

#### Measurement:

Obtain a picture of the enforcement system's effectiveness as a whole. Measure total number of offenders of environmental laws/guidelines in comparison to actual prosecution.

Total the number of public complaints received, various legal actions taken and the number of site visits undertaken within a particular time frame. Ask why some were prosecuted and others were not?

In the absence of data, carry out a rapid assessment of the level of compliance amongst organisations.

**Sources of information:** Ministry of Environment, annual environmental reports, Waste Management Board, Bureau of Statistics.



Preserving the environment

## Waste Management

### Indicators

#### **EnvS 2.1 Existence of waste management policies, strategies and plans that align with Federal equivalents**

### Description

This indicator examines the existence of policies, strategies and plans for managing solid waste in the States, which are at the same time in line with federal government equivalents.

In evaluating this indicator, questions to address include:

- I. I. Does the private sector participation framework consider and adopt appropriate mechanisms that facilitate effective and efficient waste management in the State?
- II. Does this reflect, among others, the following elements:
  - I. Analysis and evaluation of the current State, trends projections of solid waste management at the State level;
  - II. Identification of critical solid waste facilities which need closer monitoring and/or regulation;
  - III. Characteristics and conditions of collection, storage, processing, disposal, operating methods, techniques and practices, location of facilities where such operating methods, techniques and practices are conducted, taking into account the nature of the waste;
  - IV. The profile of the sources, including industrial, commercial, domestic and other sources.

To confirm the status of this indicator, reviewers should ask whether the State has adopted a systematic, comprehensive and sound solid waste management plan.

**Sources of information:** Ministry of Environment, annual environmental reports, Waste Management Board, Bureau of Statistics.

## Waste Management

### Indicators

### Description

#### EnvS 2.2 State institutional framework for waste management and its alignment with relevant federal institutions

This refers to arrangements designed by the State to ensure the efficient and effective waste management in line with good solid waste management plans and prescribed policies/laws.

- I. Is there a functional organisational and management structure;
  - I. Are there adequate (quality and quantity) staff, equipment and facilities to ensure smooth operation of the institution;
  - II. Is there a budgetary provision annually for solid waste management service in the total State budget;
  - III. Does the framework contain the following arrangement?
    - II. Adoption of a programme that provides technical and other capability building assistance and support to the development and implementation of source reduction programmes?
    - II. Development and implementation of programmes to assist in the identification of markets for materials that are diverted from disposal facilities through re-use, recycling, and composting and other environment-friendly methods?
    - III. Mechanism for consultation with stakeholders (including women, youths and vulnerable groups)?
    - IV. Mechanism for the imposition of sanctions for violations.
    - V. What is the expenditure on solid waste management of the State?

**Sources of information:** Ministry of Environment, annual environmental reports, Waste Management Board, Bureau of Statistics.

#### EnvS 2.3 Availability of final waste disposal sites in the State

This indicator examines the provision of sites by the State for final waste disposal.

It is measured as total waste quantity generated/total population served by waste disposal sites, or alternatively, as per capita waste generation – total waste quantity/total population served.

**Sources of information:** Ministry of Environment, annual environmental reports, Waste Management Board, Bureau of Statistics.

## Biodiversity Management

### EnvS 3.1 Existence of biodiversity management policies, strategies and plans that align with Federal equivalents

This indicator examines the availability of policies, laws, strategies and plans relating to issues of biodiversity reviewed and updated in the light of current State information which aligns with that of the federal government.

Reviewers should carry out a survey of existing policies/laws operational in the State to ascertain their biodiversity relatedness. Find out if the laws are relatively new or have undergone significant revisions. Ascertain the number of Environmental Impact Assessment (EIA) carried out before development projects are allowed and how consideration is given to the aspect of biodiversity, especially in the legal framework discussion. What is the State government's plan and strategies on biodiversity management?

Reviewers should measure how the existing policies/guidelines of the State on biodiversity affect:

- I. Effective conservation;
- II. Critical habitat protection;
- III. Marine protected areas;
- IV. Growing stock.

Ask further to what extent do the State policies tie in with:

- I. National Agenda 21;
- II. National Biodiversity Strategy and Action Plan;
- III. National Water Resources Master Plan (1995 -2020);
- IV. National Resources Conservation Action Plan;
- V. National Conservation Strategy;
- VI. National Agricultural Policy;
- VII. National Energy Policy;
- VIII. National Forestry Policy and Action plan;
- IX. National Environmental Action Plan and State;
- X. Environmental Action Plans;
- XI. National Policy on the Environment;
- XII. National Environmental Management Act.

Reviewers should reach out to converse with NGOs, and/or Commissioners for environment/agriculture.

**Sources of information:** State of the environment report, Ministry of Environment, conservation department and Ministry of agriculture.

## Biodiversity Management

### Indicators

**EnvS 3.3 Existence of and number of conservation facilities** (e.g. botanical gardens, wildlife parks, zoo, etc.)

### Description

This indicator refers to a protected area. The definition adopted is derived from that of the workshop on Categories held at the Fourth World Congress on National Parks and Protected Areas: An area of land and/or sea especially dedicated to the protection and maintenance of biological diversity, and of natural and associated cultural resources and managed through legal or other effective means.

#### Measurement:

Performance of this indicator will be measured by the existence and functioning of protected areas.

The precise purposes for which protected areas are managed differ greatly. Thus it must be ascertained what may or may not be sufficient performance of this indicator, to determine if the existing park is functioning well in regard to any of the following main purposes of management:

- I. Scientific research;
- II. Wilderness protection;
- III. Preservation of species and genetic diversity;
- IV. Maintenance of environmental services;
- V. Protection of specific natural and cultural features;
- VI. Tourism and recreation;
- VII. Education;
- VIII. Sustainable use of resources from natural ecosystems;
- IX. Maintenance of cultural and traditional attributes.

Reviewers should also reach out to NGOs for nature conservation and historic data on the presence and abundance of species for the construction of reference values required archive studies, on e.g. trade data in hides, feathers and tusks; hunting data.

**Sources of information:** State of the environment report, Ministry of Environment, conservation department and Ministry of Agriculture.

**EnvS 3.4 Evidence of regular maintenance of biodiversity facilities, availability of current data on biodiversity resources and capacity building**

This indicator is designed to ensure factual information on the dynamics of biodiversity in the State at any time.

#### Measurement:

Measure the number of activities/programmes that are in place to know and manage:

- I. Number of populations of threatened species in decline;
- II. Extent of alien plant invasion reduced significantly (number of hectares infested);
- III. Percentage of mammals threatened;
- IV. Percentage of breeding birds threatened.

Since the relevant human impact on biodiversity operates differently at different spatial scales, give consideration to at least three different indicators to observe changes over time in:

## Biodiversity Management

Indicators	Description
	<ul style="list-style-type: none"><li>V. Local ('within-habitat');</li><li>VI. Landscape ('habitat-mosaic');</li><li>VII. Macro-scale ('regional') diversity.</li></ul> <p>To keep things as simple as possible, use species richness as an indicator for all three levels of diversity; each indicator is based on a number of taxonomic groups that could be selected mainly on the basis of costs and the availability of appropriate methods.</p> <p>However, monitoring a complex issue like biodiversity in order to give relevant and accurate messages to the general public and politicians within a politically relevant timescale and at moderate cost means focusing on few elements.</p> <p><b>Sources of information:</b> Ministries of Environment and Agriculture.</p>

## Response to Climate Change and other Environmental Challenge(s)

### EnvS 4.1 Evidence of climate change mitigation/adaptation and other environmental challenge(s) policies/plans in the State

This indicator examines policy strategies/ plans on climate change mitigation/adaptation and those of other environmental challenge(s) in the State. Reviewers are also to examine how the policies/plans in the State are in accordance with the federal government equivalents.

In evaluating this indicator, questions to ask include:

- I. Does the policy cover the State-federal partnership on climate change and other environmental challenges?
- II. What are the key mitigation/adaptation strategies to ameliorate the impacts of climate change and other environmental challenge(s) in the State?
- III. Does the policy encourage community participation in the campaign on climate change and other identified environmental challenge(s) in the State?

**Sources of information:** Ministry of Environment, annual research reports from institutions in the State.

### EnvS 4.2 Existing institutional framework for climate change mitigation/adaptation and other environmental challenge(s) in the State (such as flooding, erosion, desertification e.t.c.)

This refers to any arrangement designed by the State to ensure efficient climate change mitigation/adaptation and management of other environmental challenge(s).

**Measurement:**

- I. Is there a functional organisational and management structure for climate change/ other environmental challenges in the State?
- II. Are there adequate staff members in terms of quality and quantity, which will ensure smooth operation of institutions saddled with the responsibility of monitoring environmental challenge(s) in the State?

- III. Is there a budgetary provision on annual basis for effective monitoring of climate change mitigation/adaptation and those of other environmental challenges put in place by the State?
- IV. Does the framework contain the following arrangements?
  - I. Are there provisions for programmes relating to technical and other capacity building assistance/support for environmental issues in the State?
  - II. Mechanism for consultation/dialogue with other stakeholders apart from government (i.e. the general public and NGOs);
  - III. How much is actually spent annually on climate change and other environmental issues in the State?

**Sources of information:** Ministry of Environment, budget unit of Ministry of Finance, annual project report.

### **EnvS 4.3 Availability of climate adaptation/other environmental challenges rehabilitation sites in the State**

This is a measure of State performance in respect of climate change and major environmental challenge(s) control and mitigation programme adopted by the State. This is measured by simply counting the number of sites that have been healed or rehabilitated completely and those that are near completion over those that have not been rehabilitated at all in the State.

**Sources of information:** Ministry of Environment, annual environmental reports, and research institutions.

### **EnvS 4.4 Establishment of Commission/Authority on Climate Change and other Environmental challenge(s) in the State**

This refers to the creation of a commission/authority within the Ministry of Environment for climate change mitigation/adaptation as well as the rehabilitation of sites affected by other major environmental challenge(s).

In measuring this indicator, ascertain the composition of the commission to ensure that stakeholders affected by the environmental challenges are included. In addition, ensure that the control/adaptation measures adopted are not only environmentally friendly but equally sustainable. Furthermore, identify the engineering control measures and ensure that they are cost-effective and could be easily adopted by the affected communities.

**Sources of information:** The Ministry of Environment, annual environmental reports by research institutions.

## 9.8 Agricultural Sector

Agriculture is the mainstay of most States' economy in Nigeria and provides a livelihood for the majority of the population. Despite the existence of high potential for market-oriented agricultural production, farming activities in States is mainly for subsistence. Many States also engage in rearing livestock, such as cattle, goats, sheep, etc. Though opportunities do exist for plant and animal production and management, there are many variables that determine the volume and quality of yield and the resulting return on investment.

This assessment therefore intends to look beyond the normal focus of the input/output relationship, and probe into the provision and management of other factors that affect in put and output variables. In this regard, six key areas will form the focus of this assessment as follows:

- Agricultural sector governance;
- Agricultural research and extension system;
- Land management and tenure systems;
- Rural infrastructure and market access;
- Water and irrigation supply and control;
- Credit supply and insurance.

### Agriculture Sector Governance

**This area seeks to assess the existence of sector plans and mechanisms put in place to monitor and evaluate the implementation and achievement of set targets.**

Indicators	Description
<b>A.S 1.1 Existence of strategic plan with clear and measurable targets</b>	<p>This indicator seeks to establish:</p> <ol style="list-style-type: none"><li>I. Whether the State has a strategic plan for the agriculture sector with clear and measurable key performance indicators;</li><li>II. To what extent it has been institutionalised if it exists.</li></ol> <p>Reviewers should also establish whether the major actors in the State own the plan.</p> <p><b>Sources of information:</b> State Ministry of Agriculture.</p>
<b>A.S 1.3 Extent to which sector targets or KPIs in the strategic plan are being met</b>	<p>This indicator assesses the extent to which the high level targets in the strategic plan or the KPIs are being met. The reviewers should ascertain the KPIs in the strategic plan and compare the projections with actual performance.</p> <p><b>Sources of information:</b> State agricultural development plan and Ministry of Agriculture.</p>

## Agriculture Sector Governance

Indicators	Description
<b>A.S 1.4 Extent to which developments in the agriculture sector are linked to the plans (and/or MTSS) as well as percentage of State's annual budget dedicated to agriculture sector (both budgeted and actual) and the extent to which it meets the NEPAD CAADP recommendation of 10 percent</b>	<p>This first aspect of the indicator examines whether developments in the agriculture sector in the State are reflective of the plan.</p> <p>For example, to what extent is the agriculture component of the annual budget shaped by this plan?</p> <p>The second aspect seeks to establish the percentage of the State's budget that is allocated to the agriculture sector and the level of compliance with the recommended benchmark of 10% of the State's total annual budget dedicated to agriculture as proposed by the CAADP, which was endorsed at the African Union Heads of State Summit in July 2003. Both budgeted and actual amounts expended should be reported.</p> <p><b>Sources of information:</b> State's Agriculture Development Plan, appropriation documents for current year and the two previous years.</p>

## Agricultural Research and Extension

<b>AS 2.1 Existence of programmes at State level aimed at ensuring dissemination of appropriate new technology</b>	<p>This indicator shows the extent to which the State participates in programmes targeted at improving productivity through the dissemination of appropriate technologies. Such programmes include those in the National REFILS (Rural Extension Farmers Input Linkage System) structure like the agricultural development projects (ADP) systems and the specialised programmes like Fadama and the National Programme on Food Security.</p> <p>It is measured by:</p> <ol style="list-style-type: none"><li>I. The number of programmes targeted at technology dissemination and rural empowerment (e.g. REFILS, Fadama, National Programme on Food Security, Presidential Initiative on Rice Production, etc.) in which the States participate;</li><li>II. Percentage of the required counterpart funding released by States measured as:<ol style="list-style-type: none"><li>a. Counterpart funding % = <math>\frac{\text{AMoUnt released}}{\text{Required Funding}} \times 100</math>.</li></ol></li></ol> <p>The benchmark performance is at least 75% of the scheduled activities and the assessment can be done annually.</p> <p><b>Sources of information:</b> The State ADPs and Ministry of Agriculture.</p>
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### AS 2.2 Percentage of the annual State agriculture budget disbursed to the adaptive research and extension activities of the State

The ADPs, as the extension arm of the Ministry of Agriculture of each State, are statutorily saddled with the responsibility of interacting with research institutes, carrying out adaptive research and extension activities. The ability to render this service is, however, subject to proper funding. Hence, the existence of programmes at the State level is measureable by the percentage of the annual State agriculture budget that is disbursed to the State ADPs for adaptive research and extension activities.

Percentage of the required counterpart funding released by the States measured as:

Percentage of annual Agriculture budget disbursed for Adaptive Research and Extension activities = Amount disbursed to Adaptive Research and Extension services/ Total annual Agriculture Budget ×100.

**Sources of information:** The State ADPs and Ministry of Agriculture.

### AS 2.3 Ratio of farmers to extension agents

This indicator seeks to evaluate the availability of human resources for effective extension service delivery. They also reflect the potential for replacing disengaged/retiring officers through new recruitment.

The measurement of the effectiveness through extension agent-farmer ratio, however, forms the baseline for this indicator as it compares the number of frontline extension staff with population of farming household in each State. The ratio of farmers to extension agent:

$$= \frac{\text{Total number of farming household}}{\text{Number of extension agents}} \times 100$$

The performance benchmark can be adapted from the Food and Agriculture Organisation recommendation of 1:800 or as practised in other countries such as South Africa – 1:1000 Farming households; East Africa – 1:1,500; or India – 1:2,000. Information may also be generated from field survey and used as a benchmark for subsequent years. The assessment should be done annually.

**Sources of information:** REFILS report of the State ADPs.



Moving towards industrialized food processing – GEMS4 Archives.

## Land Management and Tenure Systems

This area of assessment seeks to find out the extent of efforts undertaken by the State to ensure access to land, especially for women and marginalised groups, and the conservation of land for good agricultural practices.

### Indicators

### Description

#### **AS 3.1 Framework that is gender and socially inclusive to promote land management and tenure systems for agricultural purpose**

This indicator seeks to establish if there is a policy on land use and acquisition for agricultural purposes and a farm settlement scheme. This indicator also helps deduce how socially and gender-inclusive the policy is.

**Sources of information:** Agricultural land development documents of Ministry of Agriculture or agricultural agencies including ADPs, etc.

#### **AS 3.2 Measures undertaken by the State to ensure access to land and conservation of land for good agricultural practices, including for women and marginalised groups**

This indicator seeks to determine the number of farm settlement schemes established or renovated. Non-functional farm settlement schemes do not qualify.

**Sources of information:** The State Ministry of Agriculture and agriculture development agency.

#### **AS 3.3.1 Proportion of land area with sustainable land management practices measured as a percentage of the baseline**

This indicator seeks to determine the adoption of sustainable land management technologies in crop production. This can however be measured in relation to the number of men and women farmers adopting the technology or the land area that is engaged under the technology. It reflects the popularity of the technologies among women and men farmers as an indirect measure of the consciousness of farmers regarding the need to conserve and/or maintain soil quality.

The indicator is measured as an adoption index:

$$\text{SLM - adoption (\%)} = \frac{\text{land area under SLM technologies}}{\text{total land area cultivated}} \times 100.$$

Information generated from field surveys should be disaggregated by gender and used as a benchmark for subsequent years, and the assessment could subsequently be done annually.

The adoption level of technologies relevant to sustainable land management is expected to be determined routinely by the ADPs, in the absence of which the adoption status can be determined through a fresh field survey (adoption study).

#### **AS 3.3.2 Annual count of training mounted for extension agents in SLM techniques**

This indicator assesses the extent of human capacity building among frontline extension agents who are directly responsible for the transfer of sustainable land management techniques to farmers. This is usually conducted through training workshops that are organised for relevant research institutes to train subject matter specialists, who are then expected to train to frontline extension

agents using the train-the-trainer approach.

Measurement of this indicator is by counting the number of training workshops organised annually for extension agents through training workshops and forth night training (FNT) programmes with sustainable land management components.

Information generated from field survey should be disaggregated by gender and used as benchmark for subsequent years.

**Sources of information:** Records of ADPs on training workshops, Monthly Technology Training Meetings and FNT topics focused on sustainable land management.

## Market Access

**This area of assessment seeks to determine existence and suitability of framework that provides market access.**

### AS 4.1 Framework that ensures access to market

This indicator seeks to establish whether the State is implementing programmes to ensure that women and men farmers have access to markets. The assessment is restricted to five areas:

- I. Provision of rural all season access roads to all parts of the State;
- II. Rural markets close to farmers;
- III. Processing facilities;
- IV. Provision of government storage facilities; and
- V. Buying up excess products from farmers to avoid wastages.

The reviewers will verify whether the State has programmes for each of the above-mentioned areas, which facilitates access to markets.

**Sources of information:** State Ministry of Agriculture.

### AS 4.2 Status of State rural infrastructure in ensuring market access

These indicators measure the efforts by States to encourage value addition and access to market for enhanced income among male and female farmers. This indicator could be measured as the percentage of men and women farmers that have access to public or private input and output centres or storage and processing facilities.

$$\text{Access change (\%)} = \frac{\text{No. with access in current year} - \text{No. with access in previous year}}{\text{No. with access in previous year}} \times 100$$

A positive value indicates improving access. Data for this indicator could be sourced from annual report of service centres. The assessment should be done annually.

**Sources of information:** Ministry of Agriculture.

## Market Access

Indicators

Description

This indicator measures the progress made as regards markets access and shift towards market-oriented production at the farm level for sustainable growth.

### AS 4.3 Extent of farmers' output commercialisation

It can simply be expressed as the percentage of total output that is sold by men and women farmers for income.

$$\text{Commercial (\%)} = \frac{\text{Total output offered for sale by farmers}}{\text{Total Output}} \times 100$$

ADPs must collect farm-level data and farm budget data as an important component of their schedule of duties in terms of project monitoring and evaluation departments. As much as possible, all information should be disaggregated by gender.

The results should also be compared across commodities in the States.

**Sources of information:** The State ADPs.

## Water and Irrigation Supply and Control

### AS 5.1 Existence of framework for water irrigation supply and control

This indicator seeks to ascertain whether the State has a policy on water irrigation supply and control. The policy may be in a separate section of the State agriculture policy document or may be in a separate document.

The policy should be comprehensive and comparable to federal government water irrigation supply and control policy.

**Sources of information:** Ministry of Agriculture.

### AS 5.2 Existence of institutional structure to manage and control water irrigation supply systems in the State

Water irrigation supply and control is a specialist area of agriculture and requires a professionally staffed institution to manage the process. This indicator seeks to confirm if the State has a department, agency or programme whose mandate is to oversee water irrigation supply and control.

The second aspect is whether the department or agency overseeing the programme has qualified competent staff, requisite facilities and equipment and adequate funding.

**Sources of information:** Irrigation department of Ministry of Agriculture.

### AS 5.3 Percentage change in irrigable land area

River basin authorities were established across the different agricultural zones under the federal government anchored irrigation schemes. Recently, States have been undergoing the construction of new schemes. The effectiveness of this effort however depends on the change in the area of irrigable land from year to year given by:

$$\text{Land change (\%)} = \frac{\text{Current irrigable Land} - \text{Previous irrigable Land}}{\text{Previous irrigable Land}} \times 100$$

**Sources of information:** Ministry of Agriculture.

## Credit Supply and Insurance

**This assessment aims to appraise the framework put in place to ensure credit supply and insurance to farmers in the State. It provides information on government mechanisms targeted at delivering credit and other financial support to farmers (e.g. credit agencies and schemes).**

### AS 6.1 Existence of framework for credit supply and insurance

This indicator intends to ascertain whether the State has a policy and/or operational framework for providing financial support to men and women farmers for agricultural development.

**Sources of information:** Ministry of Agriculture.

### AS 6.2 Number of financial institutions (savings/credit/insurance) and products offered in rural areas

The indicator shows the distribution and consequently the relative access of rural communities to financial institutions' products and services. This assessment will count the number of financial institutions (savings/credit/insurance) operating in the rural areas of the State.

**Sources of information:** State Ministries of Commerce and Agriculture.

### AS 6.3 Proportion of farmers with access to credit and insurance measured as a % of the baseline

The indicator seeks to evaluate the relative access of members of rural communities to credit and insurance policies. The relative access to credit or insurance schemes is measured by expressing the number of farmers with access as a percentage of the total number of women and men farmers for each category of facility, and could subsequently be assessed annually.

$$\text{Access to credit} = \frac{\text{No. of farmers with access to credit}}{\text{Total number of farmers}} \times 100$$

The information generated from field survey/State reports will be disaggregated by gender and location and used as benchmark.

**Sources of information:** Data for this assessment could be sourced from the record of financial institutions and reports of State ADPs.

## 9.9 Infrastructure Sector

The term “infrastructure” typically connotes public facilities such as roads, railway lines, electric lines, air/sea and river ports, telecommunications, geodetic control framework and similar physical structures or networks in which the government has played either a major role or supported their construction. The term also connotes the systems associated with these facilities including energy sources, vehicles and traffic control and the operational environment within which these systems function. Increasingly, its meaning has been shifting from one focusing on physical fixed assets such as roads, airports, sea ports, telecommunications systems, water distribution systems and sanitation (what might be called ‘public utilities’). It now often embodies notions of softer types of infrastructure such as information systems and knowledge bases.

The assessment in this sector focuses on four broad areas. These are:

- Basis for undertaking infrastructural investments;
- Level of public access to infrastructure;
- Sustainability and maintenance of infrastructural investments;
- The State of IT infrastructure in the State including the deployment of internet for communication.

### Basis for Undertaking Infrastructural Investments

#### Indicators

**IS 1.1 Extent to which the State has laws and policies in place to guide both the development and regulation of investment in core infrastructure including public/private partnerships**

#### Description

This indicator seeks to ascertain if the State has laws and policies in place to develop and regulate investments in infrastructure. This assessment will first verify the existence of the policy or law. These will be in respect of:

- I. State water policy or law;
- II. State power policy or law;
- III. State transportation infrastructure policy or law.

Second, it will check whether there are provisions detailing the basis and requirements for undertaking infrastructural investments by the government in the sector as well as private sector participants.

The third consideration is whether the State has developed implementation plans such as MTSSs or other sector plans to implement the policies outlined above in short, medium and long term. The implementation guideline should ideally present a detailed action plan for the implementation of the policy/law and the resources required to implement it.

In the case of water supply, the federal government, in line with international best practice in water and sanitation, embraced the community-led total sanitation practice to be implemented nationwide. In this regard, a national task group on sanitation (NTGS) has also been formed, and State governments are encouraged to constitute their State task group on sanitation (STGS).

The extent to which State governments embrace these practices as a matter of policy is a demonstration of commitment to the development of water supply and sanitation infrastructure. The assessor would thus verify whether the State has constituted a STGS and to what extent the goals are being accomplished.

**Sources of information:** Ministries of Transport, Power and the State Water Board.



Good road networks

## Basis for Undertaking Infrastructural Investments

### Indicators

#### **IS 1.2 Extent to which stakeholders including women and vulnerable groups were involved in project identification/selection and implementation**

### Description

The growth of Nigeria's democracy requires that key stakeholders including major beneficiaries such as women and vulnerable groups be accorded the opportunity to contribute to identification/selection and implementation of infrastructural projects. Specifically, the assessors should examine if the following key stakeholders were consulted:

- I. The State House of Assembly;
- II. The State Executive Council;
- III. Women and youth groups;
- IV. Traditional and religious groups;
- V. Civil society organisations (CSOs), non-governmental organisation (NGOs), the private sector, etc.;
- VI. The wider public (through forums in senatorial districts, local governments, etc.).

States should provide evidence of whether consultation took place and what effect the consultation had on the process. The assessment may also seek opinions from outside government on how effectively the government consulted stakeholders.

**Sources of information:** Key infrastructure ministries and departments and stakeholders during consultations.

#### **IS 1.3 Evidence that locations for infrastructure investments (i.e. roads, water, power, school and health facilities) were in areas of greatest need**

Good practice demands that infrastructural investments be physically located in areas of greatest need and informed by gender-disaggregated baseline data on State service delivery, infrastructure needs assessment or feasibility studies.

This indicator seeks to ascertain if these considerations were the basis for the location of infrastructural investments in the State. To do this, assessors should request physical copies of the needs assessments or feasibility studies carried out and assess the content to verify if they formed the basis for the location of the infrastructural investments made.

The assessment will also calculate the percentage of infrastructural investments in roads, water and energy that were cited in the areas of greatest needs and whether the location was informed by gender-disaggregated baseline of State service delivery, infrastructure needs assessment or feasibility studies.

The process of the assessment is to calculate the total number of locations of infrastructural investments in each of the following sectors:

- I. Roads;
- II. Water;
- III. Power.

Thereafter, calculate the proportion/percentage of the locations in each sector informed by baseline of existing infrastructure, needs assessment or feasibility studies.

The assessment will cover all current years' projects and those of the two preceding years.

## Basis for Undertaking Infrastructural Investments

### Indicators

#### **IS 1.4 Evidence that community concerns were addressed before, during and after project implementation**

### Description

This indicator seeks to ascertain if community concerns were addressed in infrastructural investments.

Community concerns are usually addressed through EIA hearings or during the needs assessment, where the proposed beneficiary communities express their preference and the level of service that they could afford based on their capacity for operations and maintenance and their ability to pay user charges.

The indicator calculates the total number of projects in excess of N20 million in each of the following sectors:

- I. Roads;
- II. Water;
- III. Power.

Thereafter calculate the proportion/percentage of the projects that have comprehensive EIA reports or needs assessment.

The assessment will cover the current year's projects and the two preceding years' projects.

The information should be sourced from documentation from key infrastructure ministries and departments in charge of roads, water and power.

## **Level of Public Access to Infrastructure (i.e. Roads, Water and Power)**

#### **IS 2.2.1 Good paved road link from capital to all local government headquarters**

The provision of paved roads is the responsibility of federal, State and local governments. This indicator will determine the length of good paved roads that link each of the local government headquarters to the State capital irrespective of whether it is the responsibility of the State or federal government to provide and maintain all or some of the local government headquarters' link roads.

This indicator should be disaggregated by whether the paved road is finished with asphalt or a bituminous surface i.e. double surface dressed. The length of the roads should also be indicated. Reviewers should confirm the State of the paved road and report on their conditions (i.e. are they dilapidated all through, or a section is dilapidated and why?)

The assessment will cover the last two years and it should include the current year of assessment.

**Sources of information:** State Ministry of Transport.

## Level of Public Access to Infrastructure (i.e. Roads, Water and Power)

Indicators	Description
<b>IS 2.2.2 Daily per capita litres of water supply</b>	<p>This indicator uses the daily per capita water supply to measure public access to water supply in the State. Per capita water supply per day is the total public water supply per day divided by the population.</p> <p>The daily per capita water supply should be disaggregated by whether the supply is from a reticulated source or from a borehole, and whether or not the water is subjected to some form of treatment before being sent out for consumption.</p> <p>World Health Organisation recommended standards are 130 litres and 70 litres per day per capita for urban and rural dwellers respectively.</p> <p>The information should be sourced from the State Water Board.</p>
<b>IS 2.2.3 Existing water supply schemes and their present output</b>	<p>This indicator measures the number of existing water supply schemes, number of functional schemes, their present output and population served. The schemes should be categorized into urban, semi-urban and rural.</p> <p>The information should be sourced from the State water board.</p>
<b>IS 2.2.4 Access to Electricity (National Grid and Rural Electrification)</b>	<p>This indicator measures the proportion of the population in the State that has access to electricity. It should be disaggregated by both urban and rural areas if the data is available. It should also present the quality of service such as how regular electricity supply is in major towns.</p> <p><b>Sources of information:</b> Distribution companies and stakeholders consultations.</p>
<b>IS 2.2.5 Telecommunications coverage in the State</b>	<p>The indicator will ascertain the proportion of the population that have access to telephone and internet.</p> <p><b>Sources of information:</b> State Statistical Bureau, National Bureau of Statistics and Nigerian Communications Commission.</p>
<b>Sustainability and Maintenance</b>	
<b>IS 3.1 Extent to which the State has regulations and policies to ensure/guarantee sustainability and maintenance of infrastructure investments.</b>	<p>This indicator seeks to ascertain if the State has laws to ensure/guarantee sustainability and maintenance of investments in infrastructure. This will be in respect of the following (same as in IS 1.1 above).</p> <ol style="list-style-type: none"><li>I. State water policy or law;</li><li>II. State power policy or law;</li><li>III. State transportation infrastructure policy or law.</li></ol> <p>This assessment will check whether there are provisions detailing the processes, roles, responsibilities and funding mechanisms for sustainability and the maintenance of</p>

## Sustainability and Maintenance

Indicators	Description
	<p>infrastructural investments by the State government, local governments, community members, user groups, etc.</p> <p><b>Sources of information:</b> Ministries of Transport, Power, the State Water Board.</p>
<b>IS 3.2 Existence of institutions and organisations responsible for sustainability and maintenance of investments in infrastructure</b>	<p>This indicator tries to ascertain whether the State has a specific organisation, department or agency responsible for the maintenance and sustainability of roads, water and power projects.</p> <p>The existence of an organisation, department or agency is not sufficient; the assessment will review whether the organisation, department or agency has the required professionals and motivated work force to perform.</p> <p>At the local government level, this indicator will also be measured by the existence of water, sanitation and hygiene departments and a water, sanitation and hygiene committee at the community level.</p> <p><b>Sources of information:</b> Ministries of Transport, Power and the State water board.</p>
<b>IS 3.3 Percentage of State budget earmarked for sustainability and maintenance of investments in infrastructure</b>	<p>Good policy and institutional arrangement without adequate funding will not ensure/guarantee sustainability and maintenance of roads, water facilities, power installations, schools and health facilities. An important requirement is the availability of funds.</p> <p>This indicator identifies the percentage of the State budget allocated for the sustainability and maintenance of roads, water facilities, power installations, schools and health facilities. The essence is to determine whether the sustainability and maintenance of projects are funded by the State.</p> <p>The assessor will calculate the percentage of total budget allocation for sustainability and maintenance of road, water, and power.</p> <p>The assessment will cover the current year's budget and the two preceding years' budgets. The indicator looks at the budget only, not actual fund releases.</p> <p><b>Sources of information:</b> State budget for current year and for the two preceding years.</p>
<b>IS 3.4 Existence of cost-recovery mechanism</b>	<p>This indicator tries to measure the effectiveness and efficiency of the revenue collection mechanism as well as its viability and sustainability in contributing to maintenance of the projects.</p> <p>The assessment will calculate the total user charges generated from water projects in the two preceding financial years. This indicator is restricted to water.</p> <p><b>Sources of information:</b> Documents from State Water Board.</p>

## 9.10 Citizens Participation, Social Inclusion and Protection

Central to good governance are public policies and services that respond to the common welfare of the population and aim to reduce inequalities based on factors such as gender or poverty.

The SPRM's citizen participation, social inclusion and protection (CPSIP) theme is a crosscutting section connecting the SPRM's various thematic areas. It includes indicators for democratic governance, the extent to which governance is owned by citizens of the State, and the confidence they have in those who have been entrusted with governing them through democratic elections.

'Social exclusion' describes a process by which certain groups are systematically disadvantaged, discriminated against and denied their entitlements as citizens by the State and society on the basis of their gender, ethnicity, race, religion, sexual orientation, caste, descent, age, disability, HIV status, migrant status (e.g. in the case of non-citizens) or where they live. Indicators in this section consider laws and measures for social inclusion and protection to combat marginalisation, providing equal opportunities for men and women, boys and girls, and for redressing historic disadvantages of vulnerable and marginalised groups.

Underpinning this approach are three perspectives to rights: inclusive rights for all people, the right to participation, and the 'obligations to protect and promote the realisation' of rights by States and other duty bearers: a concept that links to that of accountability. This also touches on access to justice and a cultural, economic, political and social environment that provides a sustainable basis for the enjoyment of rights.

This is a fundamental tenet of liberal democracy, which is enshrined in the Constitution of the Federal Republic of Nigeria. While public authorities are enjoined to promote and protect constitutional government and the rights conferred on citizens, it is also the duty of non-State actors to defend, respect and protect these rights.

This thematic area is concerned with various dimensions of citizen participation, social inclusion and the protection of the sovereignty of the Nigerian people, in a rights-based and population-centred approach. Indicators include:

- Promoting and protecting competitive party and electoral politics;
- Promoting and protecting civil and political rights, and safety and security;
- Promoting and protecting gender equality and social inclusion;
- Promoting and protecting gender rights;
- Promoting and protecting child and youth rights;
- Promoting and protecting the rights of people with disabilities.

### Promoting and Protecting Competitive Party and Electoral Politics

#### Indicators

#### **CP 1.1 Constitutional, legal and institutional framework for periodic conduct of free and fair local government elections in the State operating effectively**

#### Description

The indicator aims to describe and assess the provisions of the Constitution of Nigeria and the State Electoral Act for protecting the integrity and credibility of electoral governance in the State, such as those for protecting (a) the tenure (appointment, removal and renewal) of members of the SIEC; (b) the administrative and financial independence; (c) the neutrality of the State public services; and (d) a fair playing ground for all registered political parties in the State.

Another issue, which the indicator addresses is whether or not (a) local government elections are being held periodically, as stipulated in the relevant provisions of the 1999 Constitution and/or related legislation passed by the State House of Assembly; and (b) if there are/have been Local Government Council Caretaker Committee set up to administer the local government councils in the State, in violation of the provisions of the Constitution of Nigeria.

#### **Measurement:**

(a) Itemisation, identification, and analysis of the number of elected Local Government Councils or Local Government Caretaker Committee in the State; (b) compliance of the appointment of

## Promoting and Protecting Competitive Party and Electoral Politics

Indicators	Description
	<p>membership of the SIEC with the provisions in the Constitution of Nigeria and State Electoral Act; (c) instances of the removal of members of the SIEC without due process, as provided under the Constitution of Nigeria and/or the State Electoral Act; (d) the level, promptness of release and regularity of the budget for the SIEC; (e) determination of whether the salary and emoluments of members of the SIEC is a first line charge on the consolidated revenue fund; (f) the process for approving the budget of the SIEC; (g) availability and provision of independent office accommodation for the SIEC; (h) staff recruitment for the SIEC outside of the State civil service regulations; and (i) existence of procurement rules and regulations for the SIEC, outside of civil service financial instructions and regulations.</p> <p><b>Sources of information:</b> a) State Electoral Act and related State legislation; b) State Ministry of Finance; (c) State Budget Office; (d) State Independent Electoral Commission; (d) interviews with past and current members of SIEC; (e) interviews with NGOs/CSOs/CBOs.</p>
<b>CP 1.2 Mechanisms and institutions established under the Constitution and State election legislation for the impartial adjudication of election disputes</b>	<p>This indicator aims to describe and assess whether there is a State law which provides for the establishment of election petition tribunals and whether such tribunals are established in the State after Local Government elections and are allowed to function independently to adjudicate local government election disputes, as required by the provisions of the State Electoral Act and other relevant legislation for the adjudication of election petitions and related disputes (a) within the political parties; (b) by the SIEC; and (c) whether the tribunals are adequately provided for to effectively perform their roles.</p> <p><b>Measurement:</b></p> <p>(a) type and number of institutions, such as election tribunals, established in the State for the adjudication of election disputes; (b) level of budgetary allocations and their prompt release by the State government; (c) number and nature of election disputes adjudicated by election tribunals; (d) number and type of petitions resolved/decided (upheld or dismissed) by the tribunals; and (e) number and type of appeals from judgements of the election tribunals and the decisions on the appeals.</p> <p><b>Sources of information:</b> (a) Constitution of Nigeria; (b) State Electoral Act and related legislation; (c) political party Constitutions; (d) party election petition committee; (e) State Judiciary; (f) decisions of State election tribunals and law courts; (g) interviews with political parties and candidates; (h) interviews with parties to cases before the election tribunals, and political party election petitions committees; (i) interviews with SIEC members and staff, members of State election tribunals, and members of political party election committees.</p>

## Promoting and Protecting Competitive Party and Electoral Politics

Indicators	Description
<b>CP 1.3.1 Diversity in election to and membership of party executive committees and in party nominations for elective public political offices at the State</b>	<p>This indicator aims to describe and assess the role of the political party as a mechanism for the democratic management of diversity in the State, especially the inclusion of groups that have been historically marginalised and disadvantaged in the State in the composition of its officers and the nomination of candidates for public political/elective offices, and generally in its commitment to and practice of internal party democracy.</p> <p>(The 1999 Constitution [Section 223] specifies that national officers of a registered political party must be drawn from at least two-thirds of the States of the federation; by implication, at the State level, they should reflect the diversity of the State in equal measure. Therefore, the broader the recruitment area of the State leadership of a political party, the better).</p> <p><b>Measurement:</b> The number and proportion of historically marginalized groups, such as women, ethnic and religious minorities, youth and vulnerable groups: (a) serving on party executive committees at State, local government and ward levels; (b) contesting party primaries; and (c) nominated for elective public office.</p> <p><b>Sources of information:</b> (a) Party Constitution; (b) official party publications, annual and other reports of the political parties; (c) party membership and election nomination list (d) interviews with party members and the general public; (e) newspapers; (f) SIEC; and (g) Independent National Electoral Commission (INEC); and NGOs/CSOs.</p>
<b>CP 1.3.2 Diversity of membership of the State independent electoral commission reflects diversity of the State, such as gender, religion and age</b>	<p>This indicator considers if the membership of SIEC is inclusive and representative of the broad diversity of the population of the State (in terms of equalities factors such as gender, religion, age, and geographical distribution).</p> <p><b>Measurement:</b> Membership of SIEC, disaggregated to reflect gender, religion, age, and geographical distribution.</p> <p><b>Sources of information:</b> SIEC, interviews with members of SIEC.</p>
<b>CP 1.4 Neutrality of the State public service in the political and electoral process</b>	<p>This indicator seeks to find out if the political environment for competitive electoral politics provides a level playing ground for all political parties. An important indication of this will be whether or not: (i) the party in power in the state deploys and uses the state public service, its human, financial and other resources for partisan political and electoral advantage; and (ii) the SIEC is under the control of, or is partial to the party in government in its management of the electoral process.</p> <p><b>Measurement:</b> (a) Deployment and use of public service personnel and financial resources for partisan party and electioneering activities, in support of the governing party in the State; (b) fair and equitable access to State mass and electronic media by all parties for party and electioneering activities; and (c) the number, nature/type and result</p>

## Promoting and Protecting Competitive Party and Electoral Politics

### Indicators

### Description

of each petition and/or complaint filed with relevant authorities, such as the Public Complaints Commission, SIEC, the National Broadcasting Commission, the Nigerian Media Council.

**Sources of information:** (a) The Constitution of Nigeria; (b) the State Electoral Act and related legislation; (c) interviews with political parties and NGOs/CSOs/CBOs; (d) newspapers reports; (e) complaints and/or petitions filed against the use of State resources by the governing party, with relevant regulatory authorities, such as the Public Complaints Commission, SIEC, Election Tribunals, the National Broadcasting Commission, the Nigerian Media Council; and (f) reports of SIEC and judgements of elections tribunals.

## Promoting and Protecting Civil and Political Rights, and Safety and Security

### CP 2.1.1 Legal framework and institutions in place to facilitate and ensure access to fair hearing by courts and tribunals established by law for the protection of the rights of individuals

Description and assessment of legislation, such as the legal aid law, and institutions in place in the State to protect the rights of individuals especially women, children, and poor and marginalised people – such as the right to (a) personal liberty; (b) fair hearing; (c) freedom of movement; (d) freedom from discrimination; and (e) acquire immovable property, guaranteed under Chapter IV of the Constitution of Nigeria – from violation and undue derogation by other individuals and agents/agencies of the State.

#### Measurement:

(a) Existence of legislation, and institutions, such as the Legal Aid Council, in place in the State, to provide legal aid to individuals in need of such aid; (b) number of individuals, who applied for and of those who received such aid, distributed by gender, income and relevant diversity, and by type of aid sought and received; (c) amount of budget set apart and disbursed by the State government and non-State agencies for the aid.

**Sources of information:** (a) State Ministry of Justice; (b) State House of Assembly; (c) State Budget Office; (d) State Judiciary; (e) State Legal Aid Council; interview with beneficiaries of Legal Aid who can be reached during fieldwork.

### CP 2.1.2 Legislation and mechanisms in place to protect the right of the individual to personal liberty, dignity, private life, family life and to acquire property in the State

Description and assessment of the existence and functioning of a legal framework, institutions and processes in place in the State for ensuring that personal rights of liberty, dignity, private life, family life and to acquire property guaranteed under the Constitution are safeguarded, including customary courts and alternative dispute resolution mechanisms.

#### Measurement:

(a) Existence of legislation and institutions, such as the Legal Aid Council and Public Complaints Commission, in place in the State to assist needy individuals to fight for their rights; (b) existence of NGOs, CSOs and human rights organisations in place in the State to provide assistance to citizens whose rights are violated or under threat of violation; (c) number of individuals, who applied for and

## Promoting and Protecting Civil and Political Rights, and Safety and Security

### Indicators

### Description

of those who received such aid, distributed by gender, income and relevant diversity, and by type of aid sought and received; (d) amount of budget set apart and disbursed by the State government and non-State agencies for the aid.

**Sources of information:** (a) State Ministry of Justice; (b) State House of Assembly; (c) State Budget Office; (d) State Judiciary; (e) State Legal Aid Council; interview with beneficiaries of legal aid who can be reached during fieldwork.

### **CP 2.2 Institutional framework and processes in place for managing police-community relationships and for alternative dispute resolution to protect the life and property of all individuals**

Description and assessment of the existence and functioning of the legal framework, institutions and processes in place in the State for managing police-community relations and alternative dispute resolution.

#### **Measurement:**

(a) Number and geographic distribution of police-community relations committees and alternative dispute resolution bodies in the State (ideally, every police command should have a police-community relations committee); (b) number of members of police community relations in the State, disaggregated and distributed to reflect the diversity of the population in each geographical locality (e.g. in terms of gender, age, ethnicity, religion, etc.); (c) frequency (e.g. quarterly, monthly, weekly) of meetings of the police-community relations committees; (d) availability and accessibility of minutes of meetings of police community relations committees; (e) number of matters referred to the police community relations committees; (f) number of cases handled by alternative disputes resolution institutions, distributed in terms of cases considered, pending and resolved by them.

**Sources of information:** (a) State and divisional headquarters of the Nigeria Police Force for list of police-community relations committees, and minutes of meetings of a randomly selected sample of such committees; (b) offices of alternative dispute resolution institutions in the State; (c) interviews with members of State police-community relations committees, State alternative dispute resolution institutions, CSOs, parties before the alternative disputes resolution institutions, and community leaders and civil society organisations.

### **CP 2.3 Rate of crimes and conflicts in the State that threaten or violate the civil and political rights of the individual, disaggregated and disseminated by type of crime and conflict**

Description and analysis of types of crime and conflicts (e.g. theft, murder, assault, kidnapping, rape/sexual assault and robbery) that threaten or violate the civil and political rights of the individuals in the State, disaggregated by type. This indicator will inquire into and assess the availability, dissemination and accessibility of crime and conflict data in the State, and determine and analyse the trends in, and the location of crime and conflicts in the State, distributed by types and their victims (e.g. by gender, LGA and other factors). See also gender-based violence (4.3.2).

## Promoting and Protecting Civil and Political Rights, and Safety and Security

### Indicators

### Description

#### Measurement:

(a) Type and number of reported crime and conflict in the State, disaggregated from the State level to Local Government Council, to ward, and to community levels; (b) number of crime/conflict incidents reported to, and recorded by the NPF and the response rate by the police; trends (e.g. upward/downward) in occurrence of types of crime/conflict rate in the State.

**Sources of information:** (a) National Bureau of Statistics headquarters in the State; (b) the NPF State headquarters; (c) the State security services headquarters; (d) the mass media in the State; and (e) NGOs/CBOs dealing with legal rights, gender based violence, crime reduction and prevention.

### CP 2.4 Actual State budget spent in support of community crime prevention activities by the Nigeria Police Force, other security agencies and CSOs working in the community crime prevention field

Itemisation and analysis of the actual budget released and spent by the State government in support of the anti-crime and crime-reduction activities of the NPF, the State security services and the Nigeria Security and Civil Defence Corps (NSCDC) and of the budget of non-State stakeholders and organisations undertaking anti-crime and crime-reduction activities in the State.

#### Measurement:

(a) Actual budget disbursed by the State government in support of anti-crime and crime prevention activities of the NPF, the State security services, the NSCDC and relevant non-State stakeholders in the anti-crime and crime prevention field in the State; (b) comparative trends in the annual budget disbursement by the State government; (c) funds transferred by the federal to the State government to supplement budget allocated to the NPF, the State security agencies and the NSCDC in the State; (d) grants/funding received from funding agencies and the donor community by the State government, the NPF, NSCDC and non-State stakeholders in the crime-reduction and crime prevention activities in the State.

**Sources of information:** (a) Federal budget allocation to the State to supplement State budget for crime prevention activities of NPF and State security agencies; (b) State Budget Office; (c) State House of Assembly; (d) State Ministry of Finance; (e) Commissioner of Police in the State; (f) the State security services headquarters in the State; (g) NSCDC headquarters in the State; (h) relevant private sector institutions; and (i) the donor community; (j) CBOs and NGOs working on crime reduction and prevention.



Citizen engagement towards inclusive development

## Promoting and Protecting Gender Equality and Social Inclusion

### Indicators

#### **CP 3.1 Laws and policies in place in line with the Constitution and other equalities-focused legislation in place to ensure social inclusion**

### Description

Description and analysis of social inclusion and protection legislation and related policy implemented to that end by the State government and its agencies to secure not only gender equity and equality but also equitable treatment of all people regardless of factors such as ethnicity, age, religion, HIV status, marital status (e.g. widows), poverty in “the conduct of the affairs of the government” and its agencies.

This is done through the enactment of affirmative action-type legislation and its implementation by the State government, MDAs, and judiciary, as provided under “the federal character” clauses [Section 14 (4)] of the Constitution of Nigeria and related rights-based legislation, such as:

- I. National Gender Policy;
- II. Gender Equality Law;
- III. Child Rights Act;
- IV. Trafficking in persons prohibition law;
- V. Violence Against Persons Prohibition Bill;
- VI. National Health Law;
- VII. Universal Basic Education Act.

#### **Measurement:**

Itemisation and analysis of the laws and policy instruments in place in the State for the achievement of equal opportunities for all citizens in economic, political and social matters in the State.

**Sources of information:** State House of Assembly; State Ministry of Women Affairs; State Civil/Public Service Commission; NGOs, and CSOs.

#### **CP 3.2 Institutional framework in place for enforcement of compliance with equal opportunities principle in employment**

Assessment of the legislation, policies and institutions, such as the Federal Character Commission and the Public/Civil Service Commission in place and in the State and their impact in ensuring that equal opportunities principles are maintained in public employment.

#### **Measurement:**

(a) Disaggregation of the public service workforce data in terms of gender, ethnic/sectional, religious and other diversity-related balance in the State public service and judiciary; (b) Number, type and sources of petitions on perceived imbalance in the State public service by the Federal Character Commission and the State Public/Civil Service Commission; (c) proportion of male/female staff and other diversity-related appointments into the State public service in the last three years.

**Sources of information:** (a) Federal Character Commission office in the State; (b) the National Bureau of Statistics office in the State; (c) State Governor’s Office; (d) Office of Head of the Civil Service, (e) Office of Secretary to the State Government; (f) State House of Assembly; (g) unions.

## Promoting and Protecting Gender Equality and Social Inclusion

### Indicators

#### CP 3.3 Action and achievements in SDG-type equalities-related goals

### Description

This indicator seeks to find out how far the State has gone in internalizing and achieving the Sustainable Development Goals particularly with a focus on equalities. SDGs include:

1. End poverty in all its forms everywhere;
2. End hunger, achieve food security and improved nutrition, and promote sustainable agriculture;
3. Ensure healthy lives and promote well-being for all at all ages;
4. Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all;
5. Achieve gender equality and empower all women and girls;
6. Ensure availability and sustainable management of water and sanitation for all;
7. Ensure access to affordable, reliable, sustainable and modern energy for all;
8. Promote sustained, inclusive and sustainable economic growth, full and productive employment, and decent work for all;
9. Build resilient infrastructure, promote inclusive and sustainable industrialisation, and foster innovation;
10. Reduce inequality within and among countries;
11. Make cities and human settlements inclusive, safe, resilient and sustainable;
12. Ensure sustainable consumption and production patterns;
13. Take urgent action to combat climate change and its impacts (taking note of agreements made by the United Nations Framework Convention on Climate Change forum);
14. Conserve and sustainably use the oceans, seas and marine resources for sustainable development;
15. Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification and halt and reverse land degradation, and halt biodiversity loss;
16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels;
17. Strengthen the means of implementation and revitalise the global partnership for sustainable development.

#### Measurement:

(a) Itemisation, description, and analysis of measures adopted to internalize the SDGs.

## Promoting and Protecting Gender Equality and Social Inclusion

Indicators

Description

### CP 3.4 Availability, accessibility and use of data disaggregated by gender and other social factors in planning and review of services, and appointment and promotion in the State public service, and public political appointments

**Sources of information:** (a) State government – Office of the Governor; (b) the State House of Assembly; (c) federal and State agency/agencies responsible for the SDGs in the State; and (d) offices of the international donor community and the UNDP in the State.

This indicator aims at an assessment of the use of data disaggregated by gender and a range of other social factors, such as infrastructure, poverty and employment rates, including by LGA for identification of areas with the worst outcomes, to allow effective planning of programmes and services to reduce inequalities.

**Measurement:**

Identification of data and information disaggregated by a range of factors such as gender, infrastructure, poverty, and employment, including by LGA in State planning tools, such as SDPs, MTSSs and sector reviews and whether analysis of these are used to inform priorities or review topics.

**Sources of information:** (a) SDPs, MTSSs, sector reviews.

## Promoting and protecting gender rights

### CP 4.3.1 Effectiveness of legislation and measures for affirmative action on gender in government and its agencies

Description and analysis of social inclusion and protection legislation and related policy implemented to that end by the State government and its agencies to secure gender equity and equality in “the conduct of the affairs of the government” and its agencies. This is done through the enactment of affirmative action-type legislation and its implementation by the State government, MDAs, and judiciary, as provided under the National Gender Policy as regards public employment.

**Measurement:**

(a) Gender balance in the State public service and judiciary in relation to factors such as equal remuneration for equal work; (b) provision and duration of maternity/paternal leave; (c) proportion of female and male staff, and other equalities-related staff to reflect/achieve social inclusion in appointments/promotions to the higher/senior service in the State MDAs; proportion of female and male in appointments/promotions to the higher judiciary of the State (e.g. State High Court, State Sharia Court of Appeal, State Customary Court of Appeal; (d) proportion of female and male, and other diversity-related appointments to the State cabinet, State commissions established under the Constitution of Nigeria, and appointments/promotions to the Office of Permanent Secretary, Director-General, Director and other higher/senior positions in the State public service (MDAs).

**Sources of information:** (a) Federal Character Commission office in the State; (b) the National Bureau of Statistics office in the State; (c) State government–Governor’s Office, Head of Civil Service, Secretary to State Government; (d) State House of Assembly; (e) State Ministry of Finance; (f) State Ministry of Health; (g) State Ministry of Education;(h) State Ministry of Women Affairs; (i) State Civil/Public Service Commission; State House of Assembly Service Commission; and (j) registry/planning office of State universities and other tertiary institutions in the State.

## Promoting and Protecting Gender Rights

### Indicators

#### **CP 4.3.2 Incidence of gender-based violence, including domestic violence, used to inform planning and review of policy implementation**

### Description

This indicator seeks to assess the availability of data on the number and type of gender-based violence and the extent to which they are used for planning purposes and review of policy implementation. This will involve assessment of the extent to which legislation and policies for addressing gender-based violence, including their implementation and review, were based on the data available regarding incidents of specific types of gender-based violence. The indicator is also concerned with the description and analysis of the interests/groups (cultural, social and religious) at the forefront of advocacy for tackling gender-based violence and the extent to which they use available data in their advocacy.

#### **Measurement:**

(a) Itemisation of legislation and policy instruments against gender-based violence and abuse; enumeration of types of gender-based violence and abuse in the State; (b) enumeration of the number of each type of gender-based violence and abuse reported as a proportion of the rate of crime in general; estimate of number of each type of gender-based violence and abuse that goes unreported and proportion of unreported gender based crimes compared to the whole crime rate; (c) comparison of annual trends in reported cases of each type of gender-based violence; (d) number of prosecutions of each type of gender-based violence and abuse; (e) number of convictions for gender-based violence and abuse, disaggregated by gender and the proportion in relation to the number of prosecutions; and (f) assessment of the extent to which policy-makers and advocates have used the available data to seek improvements in the existing legislation and policies or implementation processes.

**Sources of information:** (a) State government—Secretary to the State Government; (b) State Ministry of Justice—Department of Public Prosecutions; (c) judiciary; (d) State House of Assembly; (e) Nigeria Police Force in the State; (f) State Public Complaints Office; (g) NGOs/CSOs with a focus on women’s rights and gender-based violence; (h) mediation centres.

#### **CP 4.3.3 The Gender Gap Index as measured by economic participation and opportunity, educational attainment, health and survival and political empowerment**

This indicator aims to consider the availability and use of data relating to a range of gender equity issues in planning of government employment, programmes and services. Note that a number of these overlap with indicators in sections on health, education, etc.

**Measurement** is by the gender gap index, which focuses on:

- I. Economic Participation and Opportunity: Ratio: female labour participation over male value, wage equality between women and men for similar work (converted to female over male Ratio); Ratio: female estimated earned income over male value; Ratio: female legislators, senior officials and managers over male value; Ratio: female professional and technical workers over male value;
- II. Educational Attainment: Ratio: female literacy rate over male value; Ratio: female net primary enrolment rate over male value; Ratio: female net secondary enrolment

## Promoting and Protecting Gender Rights

Indicators	Description
	rate over male value; Ratio: female gross tertiary enrolment ratio over male value;
	III. Health and Survival: Sex Ratio at birth (converted to female - over-male Ratio); Ratio: female healthy life expectancy over male value;
	IV. Political Empowerment: Ratio: females with seats in parliament over male value; Ratio: females at ministerial level over male value; Ratio: number of years of a female Head of State (last 50 years) over male value.
	<b>Sources of information:</b> State House of Assembly records, State Ministry of Women Affairs, State Ministry of Health, and State Statistical Bureau.

## Promoting and Protecting Child and Youth Rights

### CP 5.1.1 Laws and measures in place for promoting and protecting the rights of the child – both male and female – in line with the Constitution and other child rights-related legislation and policy

The aim of this indicator is the identification and assessment of legislation and policy in place in the State to promote and protect the rights of the child, through protection from cultural, economic and social practices, and the promotion of those rights through positive measures to provide for the conditions conducive to children's enjoyment of their rights as provided for under the Child Rights Act of 2003 and related legislation, such as protection of the child from child abuse such as prostitution; child trafficking; child pornography; child marriage; child labour; the provision of child healthcare (including safe birth [pre- and post-natal], prevention of mother to child transmission of HIV, immunisation); child welfare; child education (e.g. minimal school attendance or provision of uniforms and books); child custody and/or child guardianship; aid to orphaned/motherless children; children from poor families; and children from ethnic and religious minorities.

#### Measurement:

Itemisation of (a) legislation; and (ii) policy instruments and programmes to protect the rights of the child in the State; domestication by the State of international and African conventions on the rights of children; progress by the State towards achieving SDGs target of the eradication of poverty and hunger (as it relates to children); universal primary education (enrolment in primary educational institutions and completion of primary education); and gender equity and empowerment (elimination of gender disparity in primary and secondary education: ratios of girls/boys in primary, secondary and tertiary educational institutions).

**Sources of information:** State government: Office of the Governor and relevant Ministries; State House of Assembly committees overseeing child rights; MDAs responsible for child welfare in the State; National Bureau of Statistics; World Bank Nigeria/State office; UNDP Nigeria/State office, MTSSs and sector reviews (e.g. for education).

## Promoting and Protecting Child and Youth Rights

### Indicators

### Description

#### **CP 5.1.2 Laws and measures in place for promoting and protecting the rights of the youths – both female and male – in line with the Constitution and other youth rights-based legislation and policy**

This indicator sets out to describe and assess the legislation, policy, policy instruments and programmes in the State in line with the Constitution, the Child Rights Act and other youth-rights related legislation and policy to protect the rights of youth – both female and male – in respect of, for example, the following:

- I. Promoting youth employment;
- II. Preventing subjection of young people (females and males) to early marriage;
- III. Providing equal opportunities for the education of young people (males and females), and preventing the expulsion or rustication (temporary expulsion) from school of girls who are pregnant;
- IV. Prohibiting other abuses, such as trafficking in young persons and political thuggery that prevent youths from realizing their full potential;
- V. The inclusion in school curriculum of courses to prepare young persons for employment;
- VI. Encouraging the positive participation of the youth in the political and governance processes in the State, through their representation in governmental institutions; and
- VII. Reform and improvement of the juvenile justice system and the provision of rehabilitation mechanisms for young offenders; legislation and enforcement of rules against harmful customs (e.g. female genital mutilation).

#### **Measurement:**

Itemisation of (a) legislation; and (ii) policy instruments and programmes to protect the rights of the youth in the state; domestication by the state of international and African conventions on the rights of the youth; progress by the state towards the achievement of the SDG targets of: (1) ending hunger and ensuring access by all people, in particular the poor and people in vulnerable situations including infants, to safe, nutritious and sufficient food all year round and: (2) ensuring that all girls and boys complete free, equitable and quality primary and secondary education leading to relevant and effective learning outcomes.

**Sources of information:** Office of the Governor and relevant ministries; State House of Assembly committee(s) on youth empowerment and development; National Bureau of Statistics; World Bank Nigeria/State office; UNDP Nigeria/State office, MTSSs and sector reviews (e.g. for education), NGOs/CSOs working on children and young people's rights.

#### **CP 5.3 Effectiveness of measures to promote and protect the rights of children and youths (male and female)**

This indicator seeks to assess the effectiveness of measures – laws, policies, institutions and mechanisms in place in the State for promoting and protecting the rights of children and youth, such as MDAs, NGOs, CSOs/CBOs and faith-based organisations.

## Promoting and Protecting Child and Youth Rights

Indicators

Description

**Measurement:**

Itemisation of (a) legislation; and (ii) policy instruments and programmes to protect the rights of the youth in the state; domestication by the state of international and African conventions on the rights of the youth; progress by the state towards the achievement of the SDG targets of: (1) ending hunger and ensuring access by all people, in particular the poor and people in vulnerable situations including infants, to safe, nutritious and sufficient food all year round and: (2) ensuring that all girls and boys complete free, equitable and quality primary and secondary education leading to relevant and effective learning outcomes.

**Sources of information:** (a) MDAs responsible for implementing children and youth protection and promotion programmes; (b) NGOs, CSOs, and community and faith-based organisations protecting and promoting the interests of children and youth; (c) Registrar of court.

### **CP 5.4 State budget support to MDAs and CSOs, including community- and faith-based organisations for activities to promote and protect the rights of children and youths – both male and female**

This indicator assesses the extent to which there are budgetary provisions for implementing programmes and measures for the protection of the rights of the child and the youth (both female and male) in the State, distinguishing between the budget estimates and the actual budget disbursed to that end.

**Measurement:**

Itemisation and analysis of the budget estimates and the actual budget disbursed to the MDAs and CSOs, including community and faith-based organisations for activities to promote and protect the rights of children and young people – both male and female.

**Sources of information:** (a) State Budget Office; (b) State House of Assembly; (c) State Ministry of Finance; (d) MDAs responsible for implementing children and youth protection and promotion programmes; (e) NGOs, CSOs and community and faith-based organisations protecting and promoting the interests of children and youth.

## Promoting and Protecting Rights of People with Disabilities

### **CP 6.1 Laws and measures in place for the protection, enforcement and mainstreaming of the rights of people with physical, mental and developmental disabilities**

Description and assessment of legislation, mechanisms and affirmative action-type policy in place in the State to protect and enforce the rights of vulnerable groups due to disabilities – such as physical, mental and developmental disabilities (both female and male) – in line with the Constitution, the UN Convention on the Rights of Persons with Disability (CRPD) (2010) and the Discrimination Against Persons with Disabilities law (2014), and of measures and programmes to ensure that end.

**Measurement:**

(a) Number and type of legislation and of affirmative action-type policy in place in the State to protect the rights of people with physical, mental and developmental disabilities; (b) number and type of mechanisms and institutions established in the State to provide training in skill acquisition and capacity building for the

## Promoting and Protecting Rights of People with Disabilities

### Indicators

### Description

reintegration and rehabilitation of people with physical, mental and developmental disabilities; (b) number and type of mechanisms and institutions established in the State to provide training in skill acquisition and capacity building for the reintegration and rehabilitation of people with disabilities into society and into the State public service; and the number of beneficiaries; (c) number of specialist schools for the deaf, blind and physically challenged; (d) special education teachers and programmes in specialist schools; and (e) number and type of key public buildings, (Governor's residences, State House of Assembly building, courts, police stations, parking lots, library, with disability access; (f) sign language used in State media and key State events and television, and use of social media for key program and information institutions and facilities.

**Sources of information:** (a) State Governor's Office; (b) State House of Assembly; Ministry of Works; Ministry of Information; Ministry of Education; Ministry of Women Affairs; (c) international standards, codes and conventions, such as the African charter on human and people's rights, and the CRPD; the Discrimination Against Persons with Disabilities Law (2014); interviews with NGOs and CSOs representing people with physical, mental and developmental challenges.

### CP 6.4 Actual State structures and budgets and grants disbursed to State institutions and programmes, and to CSOs for activities to promote and protect the rights of people with disabilities

Description, analysis and assessment of measures itemised in 6.1 in the following respects: (a) actual State budget disbursed (compared to budget provision) for State institutions and programmes to protect the rights of people with physical, mental and developmental disabilities (both female and male) in the State in the past four years; and (b) grants disbursed by the State government to support the activities of faith-based and community-based organisations working to protect the rights of people with disabilities in the State. What patterns exist in the disbursements and what is their import?

#### Measurement:

- (i) Number and type of grants disbursed by the State government to protect the rights of people with disabilities groups in the State;
- (b) number and type of institutions receiving such grants.

**Sources of information:** (a) State Ministry of Finance; (b) State government: Governor's Office; (c) State Budget Office; and (d) State House of Assembly; (e) State MDA responsible for the welfare of people living with disability.

## Section 10

# The Report Format

## 10.1 Report Format

As explained in section 4.7, the two main outputs of the State Peer Review Mechanism are:

1. State Self-Assessment Report;
2. State Peer Review Report with an appended State Programme of Action.

The SSAR and SPRR are not to report on the state, or its government, but are to document findings on indicators and thematic/sector areas. The findings on each indicator and thematic/sector area should spell out clearly the achievements, best practices and challenges in those domains. The SPoA documents the remedies and/or proposals to address the shortcomings identified in the thematic/sector areas. The SPoA would be incorporated as a section in the SPRR. Specific guidelines for mainstreaming the SPoA into existing state processes are presented in Section 11 while guidelines for monitoring and reporting progress in its implementation are presented in Section 12.

## 10.2 Report Structure

The SPRR is equivalent to an SSAR validated by the technical review panel, as explained in Section 4.7. Therefore, the SSAR and SPRR structure is essentially the same. The report structure is as follows:

- Acronyms
- Acknowledgements
- Summary of Assessment Report (SSAR) or (SPRR)
  1. Introduction
  2. State Background Information/ Historical Context
  3. Methodology/Approach
  4. Findings
    - a. Policy and Strategy/Monitoring and Evaluation
    - b. Economic Development
    - c. Public Financial Management
    - d. Human Resource Management
    - e. Health Sector
    - f. Education Sector
    - g. Agriculture Sector
    - h. Environment Sector
    - i. Infrastructure Sector
    - j. Citizen Participation, Social Inclusion and Protection
  5. State Programme of Action
- Annexes

### Acronyms

All acronyms and/or abbreviations should be listed here.

### Acknowledgements

A short Statement of appreciation for the cooperation and assistance received during the assignment from staff of the host government and other stakeholders. This requires some judgment, and if names are mentioned there should be no omissions.

## **Executive Summary**

A short summary of the report should be provided here. This should include a summary of achievements, best practices and challenges for each thematic/sector area. There are ten areas of assessment (i.e. Policy and Strategy/Monitoring and Evaluation; Economic Development; Public Financial Management; Human Resource Management; Health; Education; Agriculture; Environment; Infrastructure and Citizen Participation, Social Inclusion and Protection).

## **Introduction**

Provide the context, State's involvement in the SPRM process and the methodology for coming up with the report.

## **State Background Information**

Provide background information on the State. In particular, the section should set out the following:

- Historical context;
- Location, population and governance structure;
- Ruling party, key functionaries of the State including; the executive, legislature and judiciary, disaggregated by gender;
- Key economic activities and performance.

## **Findings**

This section details the assessment of all the indicators under Policy and Strategy; Economic Development; Public Financial Management; Human Resource Management; Health; Education; Agriculture; Environment; Infrastructure and Citizen Participation, Social Inclusion and Protection. The report should describe in detail what evidence was seen on each indicator as well as the basis for the conclusion reached. The narrative should highlight achievements, best practices, challenges and recommendations.

Findings need not be lengthy but should contain sufficient information for the TRP to ascertain the facts behind the conclusions reached by the State.

## **State Programme of Action**

This section details remedies proposed by States to overcome the shortcomings identified in the findings. The programme of action will be structured in line with the sub-sections of the findings.

## **Annexes**

The annex should contain the following information:

1. List of persons who prepared the SSAR;
2. List of State officials/individuals who provided data and documentation for the assessment;
3. List of important documents and written evidence that aided the reviewers in reaching their conclusion;
4. List of TRP members (include only in the SPRR).

## **Page Numbering**

All pages should be numbered (page numbers in the top or bottom right hand corner). Reports should not contain colours (black and white only), photographs or elaborate graphics. The report should avoid excessive use of bold text, italics or underlining.

Section 11

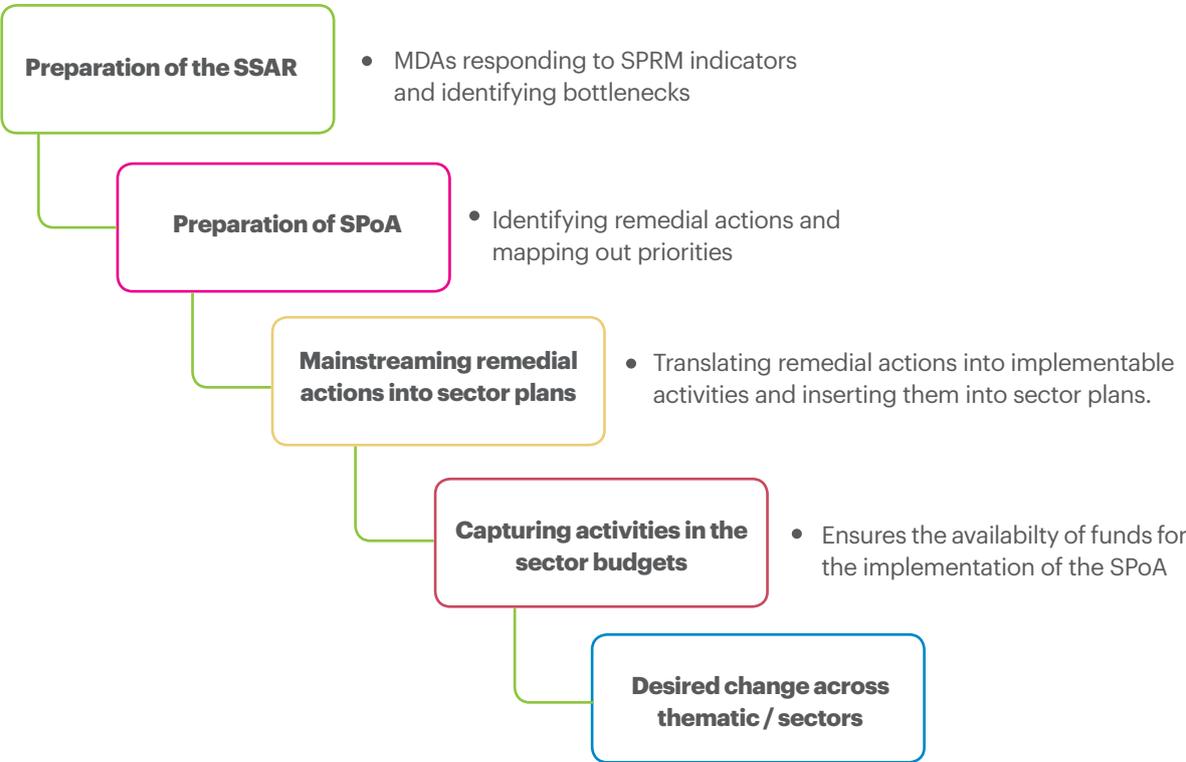
# Guidelines for Mainstreaming the SPoA into Existing State Processes

As mentioned in Section 4.6, a State is expected to develop a programme of action based on the challenges and shortcomings identified in the SSAR. This should emanate strictly from the findings of the SPRM process and focus exclusively on governance issues. To avoid duplication, the SPoA should not replicate what can best be handled through other State development processes. The document should be a maximum of two to five pages and should not involve costing of activities. This will be finalised with the assistance of the TRP during the technical review mission.

Specifically, the SPoA is expected to show key challenges or bottlenecks to development in each of the 10 thematic/sector areas as well as the remedial actions for accelerating developmental progress in those areas. Out of the identified challenges and remedial actions, each sector is expected to prioritise and make adequate plans for their implementation.

An important step towards the implementation of the SPoA is the translation of the identified remedial actions into implementable activities that can be mainstreamed into sector plans and budgets. This is a necessary step for bringing about the desired change across the thematic/sector areas.

**Figure 3: The change process of the SPRM based on the implementation of the SPoA**



## Section 12

# Monitoring and Reporting Progress in the Implementation of the SPoA

As part of the peer review process, every State that completes the SPRM process is expected to submit a progress report on the implementation of the SPoA to the NGF (one year after completing the process and bi-annually thereafter). In order for States to come up with a report that shows an apt representation of progress on the implementation of the SPoA, a monitoring framework is required. The framework will help ensure that the annual reports presented to the Governors are able to show a clear picture of the progress against their planned remedial actions.

This can be done in two ways;

- **Using an existing M&E framework in the State to monitor and report progress:** Having mainstreamed the SPoA into sector plans, States can use information generated from quarterly sector performance reviews to monitor and report progress in the implementation of the SPoA. The quarterly reports can then be synthesized into annual or bi-annual NGF reports as the case may be.
- **Using the SPoA M&E framework<sup>16</sup>:** This is a framework specifically designed for monitoring and reporting progress made in the implementation of the SPoA. The framework and comprehensive guidelines on how to use it will be made available to States by the SPRM Secretariat on request. This includes:
  - An SPoA activity and outcome matrix;
  - Monitoring framework: comprising of;
    - A monitoring matrix and;
    - A reporting matrix.

To ensure consistency in the reporting of progress in the implementation of the SPoA, a reporting format has been developed for use by States (see Appendix 1).

Given the conciseness and flexibility of the SPoA M&E framework, States can adapt it for all sectors and use it as a State-wide M&E framework.

<sup>16</sup> States requiring further training on the use of the SPoA M&E framework can also contact the NGFS for assistance.

## Appendix 1:

# Progress Report Format

The following outline and guidelines are suggested for the preparation of progress reports on the implementation of the State programme of action.

### **Title Page**

### **Table of Contents**

### **Acronyms**

A list of the acronyms used in the reports and a short definition/explanation of these terms.

### **Foreword by the Focal Person**

Provides legitimacy for the report, highlighting its importance and identifying how the report is intended to be used. It also highlights the policy context of the performance report, including highlighting stakeholder relationships in the sector (e.g. with partner MDAs, SHoA, NGOs, development partners).

### **Executive Summary (not exceeding 2 pages)**

The executive summary is a general overview of the report, salient points, purpose, aims and objectives. It should be a summary interpretation of the key conclusions and recommendations - a short overview on progress in implementing the SPoA, including highlighting good practices and lessons learned as well as major constraints.

### **Introduction (not exceeding three pages)**

#### **Background**

Provide a brief summary of the specific policy environment, which provides the context for the performance report – the SPRM processes and SSAR including a summary of linkages with the overall high-level policy environment of the State. Further, please provide an overall review, which relates to the implementation of the SPoA, and identify other relevant State-specific factors and elements in the context of the implementation.

#### **Purpose of the Review and Methodology**

This section describes the overall purpose of the report and should help put the analysis of the report into context by summarising how the performance report is intended to be used. This may cover such issues like: 'Review progress made in implementing the SPoA activities, and making recommendations for adjusting SPoA strategies, budgets and plans'.

Also, please provide a brief narrative of the methodology for coming up with the report, the role of key stakeholders in the implementation process, the monitoring and evaluation framework and its validation process.

#### **Description of the Main Objectives and Achievements, by Sector**

From this point onwards, the report is arranged and achievements presented by sector or thematic area. For each of the sectors, please provide a brief description of the main activities, initiative or programme undertaken, together with the aim(s) or objective(s) of the initiative and specific timeframe. An activity's geographical coverage, such as the entire State or LGAs may also be referred to.

#### **Results and achievements**

Provide information on results and achievements made in line with the key performance indicators specified in the activity matrix of the sector. It might be useful to start this section by summarising the key planned outputs for the period as defined within the activity matrix, and the progress made in actually delivering these planned outputs.

For each KPI, provide a summary of recent trends by comparing against the target Stated for the year under review. Highlight where particularly good progress was made and identify why this was the case.

#### **Major challenges and lessons in implementing the project and next steps planned**

Indicate the major challenges faced and lessons in implementing the initiative or the remedial actions. Provide brief information on the next phase that will follow the current implementation of the initiatives/action. This might specify whether the initiative will be extended or if results obtained from the initiative will enable further focus on new initiatives covering the SPoA.



**The Secretariat**

Nigeria Governors' Forum  
1, Deng Xiaoping Street  
Off AIT Junction  
Asokoro Extension, Abuja  
Tel +234 (0) 9 292 0025  
+234 (0) 9 292 0026  
info@ngGovernorsforum.org  
www.ngGovernorsforum.com

