

## Annex 2: Progress Against the Results Framework

<b>Intended Outcome:</b> Efficient, inclusive. gender-sensitive and accountable mechanism of service delivery at elected local government level is established							
<b>Applicable Output(s) from the UNDP Strategic Plan:</b> SP Output 1.2.1. Capacities at national and sub-national levels strengthened to promote inclusive local economic development and deliver basic services including HIV and related services: SDG 16 Portfolio – Peace, Justice and Strong Institutions, Pillar 3 – Strong and Efficient Institutions, Output 3.2, 3.3, 3.5							
<b>Project title and Atlas Project Number:</b> Capacity Development for Local Government (LKA10/00112897)							
EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)	DATA COLLECTION METHODS & RISKS	Progress
			Value	Year			
<b>Specific Objective 1:</b> <b>Outcome</b> Efficient, inclusive. gender-sensitive and accountable mechanism of service delivery at elected local government level is established	1.1. Number of local authorities that achieve improved performance standards measured by province	National Statistics  WB, UNDP, British Council Annual Reports  Ministry of Provincial Council and Local Government  Diagnostic study on Local Government Institutions and Finances and Capacity	Zero ( LDSP baseline survey identified the KAP score in Sep 2021 and will measure the performance against the set indicators in late 2022)	2020	Target-100  End of 2022  End of Project term	Independent Consultancy for assessment	Progress to be reported at the end year 2023 and end of project

		Needs Assessment (Available for all four provinces)					
		LDSP Baseline Survey					
		LDSP Overall Performance Assessment Reports					
		End of Project Evaluation report					
	1.2. Presence of participatory mechanism at local authority level with evidence of women's voice taken into consideration*	WB, UNDP, British Council Annual Reports  Ministry of Provincial Council and Local Government, Ministry of Women and Child Affairs statistics  Diagnostic study on Local Government Institutions	Refer Diagnostic study on Local Government Institutions and Finances and Capacity Needs Assessment  Refer Provincial Capacity Development Plan (to be developed in Q1 2021)	2021	Yes  Mid-term and end term	Independent Consultancy for assessment	Yes 35 women participated in the pilot Participatory Planning and budgeting Sessions in East. 5 Proposals from CCs in North are accepted for 2023 LA level budgets in North. 200 women councilors had developed proposals (177) in consultation with Community Centers

		and Finances and Capacity Needs Assessment (Available for all four provinces)  Provincial Capacity Development Plan  Mid-term and final evaluation reports					
	1.3. Number of people involved with participatory planning (sex disaggregated)	WB, UNDP, British Council Annual Reports  Ministry of Provincial Council and Local Government , Ministry of Women and Child Affairs statistics Election Commission data  UNDP Monthly Reports	Zero  Refer Provincial Capacity Development Plan (to be developed in Q1 2021)	2021	1200  Quarterly Annually	Internal Reports Review	951 People involved with participatory planning  75(M-40/w-35) participated in the annual planning workshop held in East.  161 (m -79 W-82 ) people participated in the participatory engagement - 09 LA level sessions  715 (M- 363, w-352)) people participated in the participatory engagement CC level session

		<p>Quarterly reports from the Provincial Councils</p> <p>UNDP annual reports</p> <p>Mid-term and final evaluation reports</p>					
	<p>1.4. Number and type of accountability measures adopted and implemented through the grant scheme</p>	<p>WB, UNDP, British Council Annual Reports</p> <p>Ministry of Provincial Council and Local Government, Ministry of Women and Child Affairs statistics</p> <p>UNDP Monthly Reports</p> <p>Quarterly reports from the</p>	<p>Zero</p>	<p>2021</p>	<p>4</p> <p>Annually</p>	<p>Internal Reports and Partners report review</p>	<p>Progress Towards this Indicator:</p> <p>At various stages of completion</p> <p>- Buy-in of the LAs and other government departments at the community level taking place to establish CC level Women Councilors Platforms. Numbers expected 200</p> <p>- District level platform – Discussions underway at project level</p> <p>- Provincial level – Already established and underway.( 5</p> <p>- District level Women Councilors Platform – District level networks will be linked to Provincial Women Councilors Network</p>

		Provincial Councils  Mid-term and final evaluation reports					
	1.5. Proportion of seats held by women in local government** (GAP 17.1) (EURF Level 1)	National Statistics  WB, UNDP, British Council Annual Reports  Ministry of Provincial Council and Local Government , Ministry of Women and Child Affairs statistics  Election Commission Data	22%	2019 (FSLGA)	25% Annually	Election Commission Document review	The figure remains 22%

<b>STRIDE Output 1:</b> Roles of local authorities for development, service delivery and reconciliation enhanced	1.1.1. Number of people benefitted by the performance Grant scheme	UNDP Monthly Reports  Quarterly reports from the Provincial Councils	Zero	2019	12500  Annually	Internal Reports Review	All 134 LA received the BT-1. Results of this will be highlighted in the Mid Term Performance Review by LDSP.
	1.1.2. Percentage of community members (disaggregated by sex) satisfied with local authorities' sub-projects (measured by provinces)	Project perception survey, reports.  UNDP Monthly Reports  Quarterly reports from the Provincial Councils	25%	2019-Marga Study	60% End of project term	Independent Consultancy for assessment	The subprojects developed through Seed Funds provided by the project are being implemented. The progress towards this indicator will be reflected in the 2023 Annual report
	1.1.3. Number of Local Authorities projects designed and implemented through participatory approaches	Implementing partner quarterly reports (Provincial. LA's, District reports)  Provincial Capacity Development Plan	Zero	2021	Target – 67 LAs  Quarterly	Partners report review	Progress towards this indicator: Development of 177 proposals by women councilors (representing all 134 LAs) completed and being implemented with the active mentoring of officials from the PC and UNDP. The process included consultations with the respective LA council members and the CCs.

	1.1.4. Number of people trained (Government, Non-Government, Civil Society) (sex disaggregated)	Partner quarterly report, Participants training database at LOA/ provincial level- Participant registration and baseline survey summary, Participant feedback  Provincial Capacity Development Plan	Zero	2021	Target - 12500  Quarterly	Review of quarterly reports from partners and the participants database, Participant feedback	<ul style="list-style-type: none"> <li>Note: Under the LOA with PC and SLILG 160 training programs delivered to a total of 7340 participants out of which 3262 were women participants.</li> <li>Through the contracts with FSLGA, TAF and Employer's Federation 216 trainings were delivered to a total of 8646 participants out of which 4334 were women.</li> <li>Total number of people trained – 8941 ( w- 4234)</li> </ul>
	1.1.5. Number of Policies/Acts/legal framework cases amended, formulated to increase efficiency of the service delivery	Government Public Administration reports and Data  National Reports, Provincial Data	0	2019- Marga Study- Only in North and East	171  Annually	Review of National/ Provincial reports	<p>The following steps have been completed towards achievement of this milestone:</p> <ul style="list-style-type: none"> <li>established a specific By Laws Advisory Committee at the Ministry level to endorse review the by-laws and support the LAs to get those bylaws approved by the PCs. This is a significant achievement as it is the first time such a Committee has been established.</li> </ul> <p>&gt; The Needs Assessment for the development of by 100 bylaws and 50 amendments has been completed and areas of need recognized, covering all areas including revenue generation, efficient service delivery and the use of resources during the current crisis.</p> <ul style="list-style-type: none"> <li>Directives on establishing women committees in Uva developed and submitted for approval from PC</li> <li>As a backend step, JDs for preschool teachers developed. These JDs will serve the basis for</li> </ul>

							<p>making the pre-school service an official service of LAs.</p> <ul style="list-style-type: none"> <li>Developed the criteria for tax-waiver in consultation with key LA staff</li> </ul>
	1.1.6. Number of sub-national institutions and officials (sex disaggregated) with a positive change in planning approaches and delivery of public services	Diagnostic study on Local Government Institutions and Finances and Capacity Needs Assessment (KAP Survey) Annual online survey among LAs UNDP Monthly Reports	25%	2019-Marga Study	134 Annually	Online Survey by M&E  Case stories  End of project Evaluation	Also covered under indicator 1.1a
	1.1.7. Number of people belonging to vulnerable groups who express voices in decision making on local development.	UNDP Monthly Reports Annual online survey among LAs, Project reports	Zero engagement	2019 Marga Study	600 Annually	Online Survey by M&E Internal Reports Review	The CC level participatory platforms being established will provide an opportunity for vulnerable groups to voice their concerns. Collection of data pertaining to such groups completed.
<b>CDLG Output 1:</b> Local Planning and budgeting	1.a. No. of LAs covered through training/capacity	Provincial Capacity	0	2021	134 Quarterly	Review of quarterly reports from	All 134 LAs are being covered in the training program and is continuing. As a result of the trainings conducted

cycles, and local service delivery improved and are responsive to gender and marginalization issues.	building programmes	Development Plan  Partner quarterly report, annual reports of the Local authorities. Monthly CDLG reports				partners, Internal Reports Review,	<ul style="list-style-type: none"> <li>• 80% of the participants from the online survey reported that they now save 0-60 minutes in their works</li> <li>• 53% reported that the servicing time for clients reduced by 0-30 minutes</li> <li>• 98% of participants express that they need advanced trainings</li> <li>• 61% reported that the knowledge in mainstreaming the needs of marginalized including gender improved</li> <li>• 52% reported that their your knowledge in mainstreaming the environment/climate or disaster sensitiveness in your work improved</li> <li>• 57% reported that their knowledge in mainstreaming the needs of differently abled etc. improved</li> </ul>
	1.b. Number of people involved in participatory planning (disaggregated by sex and ethnicity)	UNDP Monthly Reports  Reports of the Local authorities and local committees (including participants lists).	Zero	2021	Target – 4430 (134LA*10) (309CC*10)  Annually	Internal and LA Reports Review	The strengthening of communities are underway. Trainings and mentoring sessions have provided CCs to develop proposals and to submit to LAs. To standardize this process, CSOs are supporting the CCs to establish Participatory platforms at CC level where community members including vulnerable, can raise their concerns and voices. No of Participatory Platforms – 14 representing all four provinces being established out of planned 200 No of proposals submitted – 14 out of which 5 have been included in the budget of 2023 No of People participated – 140 ( M – 80; W – 60)

	1.c. Percentage of LAs that are using the introduced tools effectively.	UNDP Monthly Reports  Annual online survey among LAs, Project reports / revenue generation	Zero	TBD	75% Annually	Online Survey by M&E Internal Reports Review	<p>74 (55%) LAs have established effective front office system (public able to get all information from front office as one stop shop – forms/ wont be sent from pillar to post) – efficiency</p> <ul style="list-style-type: none"> <li>Increased no of people (120 on average) ( high in MCs&gt;Ucs.PS) receives efficient services from front offices established</li> <li>The time taken to cater a single service such building/land permits have been reduced from 3days to 20 minutes ( provided the clients furnish all documents)</li> </ul> <p>“Mankiwwa” and other mobile app to digitize the GRM</p> <ul style="list-style-type: none"> <li>12 LAs from each provinces piloting</li> <li>Efficient redressal of complaints and Regularized monitoring and reporting</li> <li>Improved confidence between the Las and the Communities</li> </ul> <p>E-system Development –</p> <ul style="list-style-type: none"> <li>E-revenue systems established in Kalmunai MC – increased collection of arrears by 10%</li> <li>12 digital Citizens Charters in Eastern Province enabling citizens including Disability persons to access information of services easily</li> <li>E-Library Facilities in collaboration with National Library and documentation service Board are being established in 24 Las</li> <li>Garbage collection tracking application in Bandarawela MC with Sri Lanka Telecom</li> <li>Piloting in Batticoola has shown increased efficiency in terms of time management and people satisfaction</li> </ul>
	1.d. No. of LAs meet the basic and performance grant criteria	Reports from provincial level on disbursement basic and performance grants	Zero	2021	75 LAs Annually	LAs, Provincial Councils, Partners, and Internal Reports Review	<ul style="list-style-type: none"> <li>As a result of capacity building and eligibility trainings conducted by CDLG, 100% of the LAs have already fulfilled the <b>basic</b> eligibility criteria for basic and performance grants. CDLG will continue capacity building to ensure all the Las become fully eligible to secure the <b>highest</b> grants by LDSP –</li> <li>Performance grants are provided by LDSP for infrastructure projects and systems improvements to LAs</li> </ul>

	1.e. No of LAs with improved grievance and feedback mechanisms	Monthly Reports Annual online survey among LAs, Provincial Capacity Development Plan	Zero	2021	Target - 134 Quarterly Annually	Online Survey by M&E	<p>Progress towards reporting against this indicator:</p> <ul style="list-style-type: none"> <li>• Awareness for all 134 LAs on the importance of digital and <b>offline Grievance Redress Mechanisms (GRM) system</b> completed</li> <li>• Internal HR related grievances addressed in Uva and NCP <ul style="list-style-type: none"> <li>• Staffs are now incentivized and reporting improved performances</li> <li>• 14 temporary staffs to permanent staffs after clearing the errors from the personal files</li> </ul> </li> <li>• Has increased transparency and accountability – positively impacted the level of confidence made on LAs by the communities</li> </ul> <p>Uva has developed a home made digital system for all 28 LAs. To be rolled out in Nov 2022. Results of this application will be shared in 2023 Annual Report</p> <p>East and Northern Provincial councils have received applications from 4 and 8 LAs respectively to support them to furnish their annual subscription of Mankiwwa GRM app for two years.</p>
	1.f. Number of profiles and reports produced to inform planning and budgeting processes	Profiles and reports produced	Zero	2021	134 Annually	LAs, Provincial Councils document review	<p>The following reports are now completed and shared</p> <ul style="list-style-type: none"> <li>- Subnational Governance E-System Mapping in Provincial and Local Government Institutions in Sri Lanka</li> <li>- Green city master plans for 4 local authorities</li> <li>- Duplication of Services in Central and Provincial Government Services</li> <li>- Climate Vulnerability Assessments in the four provinces</li> </ul> <p>Research on Revenue Generation</p>

	1.g. Number of interventions/ activities supported by women officials reflected in local plans and budgets	Local government meeting minutes and reports.  Annual online survey among LAs, Provincial Capacity Development Plan	Zero (0)	Jan-20	67 Annually	Review of reports from LAs Online Survey by M&E Direct Observations	Progress towards reporting against this indicator: <ul style="list-style-type: none"> <li>• Voice and representation of women enhanced through the establishment of 12 district level women council forums to better address pressing issues within their communities in decision making forums.</li> <li>• Enabled the participation of 300 women councilors (as of now) in design and development of 177 projects targeting food security and livelihoods in consultation with respective community centres in all four provinces</li> <li>• Directives to establish women committees in Uva has been developed and submitted for approval from the PC.</li> </ul>
<b>CDLG Output 2:</b> The local governance system is innovative and provides services that address multi-dimensional challenges	2.a. No. of social innovation projects designed, of which Number of projects implemented (disaggregated by PS/MC/UC).	Partner quarterly report, and review projects implemented on ground	Zero	2019-Marga Study	100 Quarterly	Partners Quarterly Report review	Progress towards reporting against this indicator:  This particular focus change has attracted commitment for additional sponsorship from WB. As a result, it is expected that 100% (instead of 20%) of proposals will be sponsored by end 2022. <ul style="list-style-type: none"> <li>• The following steps leading up to this milestone have been completed : <ul style="list-style-type: none"> <li>○ CITRA lab's ongoing support in building the capacity of Service Provider on Design Thinking Approaches – 2 days ToT</li> <li>○ 134 LA level consultations with 5400 participants completed.</li> <li>○ 9 ToT programs for staffs and community members (s88 in total) completed.</li> <li>○ 134 project Formulation committees formed (1 in each LA)</li> </ul> </li> </ul>

	2.b. No. of people (including from vulnerable groups) participating in social innovation workshops (sex disaggregated).	Direct observation and monitoring by UNDP and reviews of the reports, Partner quarterly report	Zero	2019-Marga Study	1340 Quarterly	Partners Quarterly Report review Direct Observations	Progress towards reporting against this indicator: This activity will follow the activities currently implemented with the support of TAF in building the capacities of staffs in LAs. However, 103 community member (50 M; 53W) from North have undergone basic trainings on Design Thinking. Establishment of common platforms, which is being done will also facilitate this process of participation in social innovation project development.
	2.c. % of LGs mainstream disaster risk reduction strategies and environmental standards in local plans and services.	Local Authority plans	Zero Percentage	2019-Marga Study	19% Annually	Review of LAS plan	Progress towards reporting against this indicator: Local DRR Plans for all 134 LAs are being developed with the technical support of Disaster Management Centre (DMC). Expected to be completed by Q2 of 2023 LAs in Uva has initiated mainstreaming DRR through SWM activities by instilling the Preschool Children. NVQ 4 level program on SWM for Preschool Teachers (58) completed in addition to other DRR level trainings.
	2.d. % increase in revenue generation	LA public finance reports	0.02%	2018-Marga Study	5% Annually	Review of LAS finance reports	Progress towards reporting against this indicator: 4 LAs in East has reported that their revenue has increased by 2% on average owing to the activities <ul style="list-style-type: none"> <li>• Solid waste recycling</li> <li>• Digitizing the Tax Collection Process</li> </ul> TAF is supporting the project enhancing generation of own revenue and strengthening financial management in Local Authorities
	2.e. No. of LAs participating in exchange events organized	UNDP Monthly reports Event reports, Partner quarterly report	Zero	2019-Marga Study	134 Quarterly	Partners Quarterly Report review	112 LAs (249 participants; M-182, W-67) of all 4 Provinces participated during the Reporting Period. These LGs visited a Solid Waste Management (SWM) Facility for exposure to advanced Technology on SWM processing and to exchange knowledge on the best practices, and also a best performing LA in North Western Provinces

<b>CDLG Output 3: Legal and policy framework facilitate systems change and strengthen the process of decentralization</b>	3.a. No. of follow-up actions taken by central and provincial institutions to inform LAs and ensure implementation of new directives, guidelines, and regulations.	Documents related to policies, guidelines, regulations, and legal framework.	Zero	2019-Marga Study	171 Annually	Provincial level reports and review of documents	<ul style="list-style-type: none"> <li>• Establishment of an Advisory Committee at the Ministerial level by CDLG has enabled the project to finalize 150 bylaws (100 new and 50 amendments)</li> <li>• Directives developed and sent for approval to include Gender Committees at LAs in Uva Province</li> <li>• To standardize the Pre-school Teachers, inputs to develop a Provincial wise Job Description for preschool teachers developed</li> <li>• Developed the criteria for tax-waiver in consultation with key LA staff</li> <li>• Prepared draft internal policy on tax-waiver in LAs and facilitated sharing of the draft in 134 LAs through the respective CLGs</li> <li>• Guidelines developed and approved – Personal File Clearance</li> <li>• Guidelines being developed for internal policies for <ul style="list-style-type: none"> <li>○ Revenue Generation</li> <li>○ Preparing Realistic Budgets</li> <li>○ Setting up information Access Points</li> <li>○ prepare monthly financial statements for public dissemination</li> <li>○ prepare LAPDP process Manual</li> <li>○ pre-school teacher guidelines on teaching waste management</li> <li>○ road network mapping</li> </ul> </li> </ul>
	3.b. % of LAs supported to meet audit recommendations	Audit compliance reports of LAs	High	2019-Marga Study	100% Annually	Review of LA Audit reports	<p>&gt; Improvements to the Audit practices in 134 LAs are being made by CDLG using the Learning by Doing Approach.</p> <ul style="list-style-type: none"> <li>• 55% of LAs have already demonstrated improved financial practices which will gain them positive audit opinions in the next audit phase</li> </ul>

	3.c. % of LAs following new procurement guidelines	Procurement plans and procured goods and services	High	2019	100% Annually	Review of LA procurement guidelines	The plan to develop a platform in collaboration with ICTA called eLG2.0 to digitalize the procurement processes didn't materialize due to Ministerial concerns. However, CDLG has initiated discussion with the Ministry to develop LA based Procurement guidelines. In the meantime, CDLG is also exploring the possibility of introducing the Promise.lk among the LAs.
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