

# 8 MONITORING AND EVALUATION

# 1 MONITORING EVALUATION AND REPORTING

RILGP monitoring and evaluation is based on the Seila Monitoring and Evaluation Plan and the systems and procedures outlined in the various planning and financial management decrees and regulations. RILGP will both support and derive benefit from the broader Seila policy and impact evaluation, and management information system components. The policy and impact evaluation component covers the following aspects of the Seila Program:

- Review (internal and external) of the four Seila Systems: planning, financing, management and monitoring, evaluation and information. This includes all aspects of the systems, and all levels. The main focus is on analyzing the efficiency and appropriateness of the systems.
- Policy Analysis: Seila program's lessons and experience in good governance, deconcentration and decentralisation analyzed and used as input into national policy, as well as Seila's experience with the first time implementation of new national policy in these areas fed back to Government. This also includes the impact measurement of the policies on poverty alleviation.
- Strategy Analysis and Impact: Seila has a number of strategies, related to poverty, gender, natural resource management, and communication and information. Their use, usefulness and impact need to be carefully documented and fed into policy development bodies at national level.
- Sector impact evaluations: study the impact of Seila Investments in specific sectors, e.g. health, education, agriculture, etc.

The Seila Management Information System is divided into six sub-components and provides information on basic social and economic data as well as physical and financial data. They follow the Seila Program's planning and implementation cycle and activities:

- Planning covers all information and documentation related to the planning cycle of the Seila Program, including funding and budgeting;
- Implementation and Progress: contracting, implementation of contracts, finances, outputs, reporting, and inventory are all captured under this sub-component;
- Management of all personnel, documentation of members of local institutions, maintenance of the assets and outputs are covered here; Capacity building and training of Seila staff, local democratic institutions, and other organizations, performance appraisal and study tours are included here;
- Partnerships, meaning collaboration and cooperation in planning and funding, networking, Development and Seila Forum activities are tracked through this sub-component; and,

- Use of the Systems tracks compliance, accountability and transparency, quality and timeliness of the work in Seila.

## **2 MONITORING AND REPORTING RILGP INVESTMENTS**

### **2.1 Monitoring and Evaluation.**

PLG and STFS are working with MOI/DoLA to develop a monitoring and evaluation system for all C/SC, which includes: 1) C/S monthly and annual reports, (approved by NCSC and provided as Annex 1 to this section of the Implementation Manual), 2) C/SC M&E handbook and including training (in progress), 3) C/S monitoring spreadsheets which will be used to track planning, finance and capacity building milestones, (implemented in 2003), and 4) a description of M&E of C/S Fund projects, (Provided in section 5.4 of the RILGP Implementation Manual) .

### **2.1 Monitoring of Process.**

Monitoring of the Commune/Sangkat planning process, in line with the *Guidelines for Commune/Sangkat Development Planning Process*, is performed by the PFT/DFT in the ExCom with monthly reports provided to PRDC ExCom and, through the Governor/PoLA, to the MOI/DoLA and the STFS. This is also reported by Commune Councils in their monthly reports to the citizens and PoLA.

### **2.2 Monitoring of Outputs.**

All commune sub-projects are implemented under contract. A range of stakeholders are involved in the monitoring of contract implementation, and payments are made based on invoice and certification of technical quality of works. The contract specifies the monitoring procedure with respect to certification of works completed (Commune Chief assisted by TSS from PRDC ExCom and relevant line departments) and a payment schedule. In addition, community members are encouraged by the C/SC to monitor through representatives on the PBC who are domiciled in the village where the project is being implemented.

The key monitoring tool for commune/sangkat sub-projects is the database of commune contracts -- Commune/Sangkat Fund Project Information Database-- maintained by the PRDC ExCom and providing a province-wide monitoring tool of C/SF fund activities. This data base holds all relevant information on the contracts being implemented by C/SC including financial information updated monthly from Provincial Treasury monthly reports to C/SC on payments made. The Provincial Treasury is required to provide monthly reports to the National Treasury and through the Governor/PoLA to

the MOI/DoLA and the STFS. Consolidated annual reports are also prepared following the same system.

In addition, the C/SC monitors the progress of implementation of the CDP, and must ensure that swift action is taken to address problems or issues that arise during the implementation of CDP. At the end of each fiscal year, the commune chief, with the assistance of the PBC, prepares and submits to the C/SC, an annual report covering at least the following: the priorities for the delivery of services and commune/sangkat development activities in the past year; the results and outcomes of the delivery of services and the implementation of commune/sangkat development activities; a description of the problems encountered, and recommendations for improvement in the delivery of services or the implementation of development activities; the identified priorities for the delivery of services and commune/sangkat development activities in the next year; and, a summary of the financial revenues and expenditures of the commune/sangkat over the last year.

The Provincial Treasury is required to provide monthly reports to the National Treasury and through the Governor/PoLA to the MOI/DoLA and the STFS. Consolidated annual reports are also prepared following the same system.

### **2.3 Evaluation of Impacts of Sub-projects.**

Systematic evaluation of the socio-economic impact of projects linked with improved planning, implementation and maintenance of project outputs is a key aspect of the evaluation activities of RILGP at the commune level. This includes the use of cost-benefit analysis tools for the common types of commune projects (i.e. water projects, sub-tertiary roads, school buildings and irrigation projects). The working assumption here is that the choices made through participatory planning at commune level are rational and reflect socio-economic benefits of the projects. Therefore, if the major project types are shown to produce an acceptable level of benefit, it can be assumed that the less common options are perceived as producing an equal or higher level of benefit. For the evaluation, an initial household survey in a representative cross-section of communes will be conducted to (1) collect any additional data needed to refine cost-benefit analysis models developed during preparation, and (2) to establish baseline data for impact evaluation. Follow-up annual surveys of the sample communes will be conducted, in order to evaluate the impact of C/SF sub-projects as they are implemented. The surveys will include the quality of maintenance of the project output, and the cost to individual households of contributing to the maintenance effort. This should allow both the immediate and the sustained impact of projects to be evaluated, and benefits derived to be compared with maintenance costs. As these surveys are household based it is proposed that the survey will include, where appropriate, an analysis of the degree to which the highland peoples development plan has been achieved.

## **2.4 Evaluation of Impact on Governance.**

The Knowledge, Attitudes, Practices and Beliefs survey, initially done during RILGP preparation, will be repeated as input to the mid-term and final project evaluations.

A mid-term and final evaluation are programmed for 2004 and 2006 respectively. The terms of reference for these independent evaluations will be developed by the STFS with the World Bank prior to contracting the evaluation teams. As a part of the mid-term and final evaluation process it is proposed that the Knowledge, Attitudes, Practices and Beliefs survey, one of the PHRD studies, will be repeated.

## **3 MONITORING OF SAFEGUARDS**

### **3.1 Monitoring and Evaluation of Commune/Sangkat Fund Projects – Environment and Land Acquisition**

The monitoring of the environment and land acquisition Safeguard policies is conducted within the general monitoring and evaluation of C/S Fund projects.

This section is mainly concerned with monitoring. Evaluation of the results of the project is carried out as part of the overall evaluation of the performance of the Commune/Sangkat Council towards the end of its term of office. In 2006, the Ministry of Interior will have to issue guidelines to the Communes/Sangkats on how to do this. However, the effectiveness of certain parts of the system will be evaluated in order to improve their effectiveness.

This includes:

- overall evaluation of the technical standards achieved;
- evaluation of the capacity and performance of contractors
- evaluation of the capacity and performance of the TSS staff and technical supervisors.

This section is only concerned with monitoring and evaluation of C/S Fund Projects and the processes which contribute directly to the effectiveness of project implementation. It is not concerned with the wider monitoring and evaluation of the Commune / Sangkat Planning process or other aspects of the work of the C/S Councils.

### **3.1.1 Roles and Responsibilities**

#### **The Commune / Sangkat Council**

The C/S council is responsible to monitor the implementation of the Commune/Sangkat Development Plan. Overall monitoring of the process of project implementation is part of this process.

☛ Remember that the Commune Chief, not the Commune Council, is responsible for implementation of the plan. The role of the Council is to monitor implementation.

The whole Council is responsible to approve the annual Report of the Commune / Sangkat Council, prepared by the Commune chief.

Individual Councillors may also take part directly in monitoring tasks. In particular, one member of the Council and one member of the Planning and Budgeting Committee will be nominated as C/S Focal Points for Monitoring and Evaluation.

#### **The Commune / Sangkat M&E Focal Point**

The C/S Focal Point is a commune councillor who is responsible to coordinate all monitoring and evaluation activities in the Commune/Sangkat. One member of the Planning and Budgeting Committee will be appointed as the Assistant M&E Focal Point. Tasks of the M&E Focal Point include:

- He or she will train the other Commune/Sangkat Councillors in the basics of Commune/Sangkat monitoring and evaluation.
- He or she will take part in monitoring of contract progress. The Commune Chief may appoint the M&E Focal point to act as the Project Owner's Representative (or one of the Project Owner's Representatives) in monitoring the work of the contractor and the implementation of the contract. Even if the Focal Point does not perform this task, she or he should visit the project site at least one time per week and should discuss with the Technical Supervisor and the Project Owner's Representative, in order to monitor the progress of the contract.
- She or he will encourage people living in the Commune/Sangkat to take part in monitoring and evaluation activities.
- In the regular meetings of the Council or the PBC, she or he will report on the progress of implementation, and indicate if there are problems.

#### **The Project Owner's Representative**

The task of the Project Owner's Representative is to monitor the activities of the contractor in implementation of the contract. This role is described fully in Section on Contract Supervision and Payments in the C/S Implementation Manual.

#### **The Commune Chief**

The C/S Chief is responsible for preparing monthly and annual Reports of the Commune/Sangkat council. The C/S M&E Focal Point will assist the C/S Chief in preparation of these reports. In addition to reporting on progress, the Annual Report will be used in evaluation of the performance of the contractor and of the TSS.

### **The Technical Support Staff**

The Technical Support Staff perform some key monitoring tasks on behalf of the Provincial Governor. In the role of technical adviser to the Commune / Sangkat, the TSS help to prepare the information on the Project Information form and the Contract Information Form. The TSS will also report to the Governor on the conduct of the bidding process, to certify that this was carried out correctly.

In many cases, the TSS will also perform the duties of the Technical Supervisor.

### **The Technical Supervisor**

The job of the Technical Supervisor is to supervise implementation of the contract and to certify the quality and quantity of the work carried out. This job is concerned mainly with contract management, not with monitoring and evaluation. However, the Progress Reports made by the Technical Supervisor will be used to record progress in the Project Information Database (PID). The Contract Completion Report contains a section on the performance of the contractor. Together with information in the C/S Annual Report, this information will be used in the annual review of contractor performance.

### **The Local Administration Unit (LAU)**

LAU is responsible to oversee the implementation of monitoring and evaluation of Commune/Sangkat Councils in accordance with approved guidelines from the Ministry of Interior (STFS Prakas 292).

LAU also assists the Commune Councils and in particular the M&E Focal Point in carrying out monitoring and evaluation tasks.

LAU will collate information on the performance of contractors and of TSS / Technical Supervisors from the C/S Annual Report, and submit the information to ExCom.

LAU are also responsible together with the TSU for maintaining the Project Implementation Database.

### **The Technical Audit Committee**

The Technical Audit Committee is a sub-Committee of the ExCom which monitors the technical quality of C/S fund projects, and the effectiveness of land acquisition and environmental safeguards.

The membership of the technical audit committee will be decided by ExCom. However, the membership should include:

- one ExCom member
- the Deputy Chief of the Technical Support Unit (for infrastructure projects)
- a member of the Local Administration Unit;
- other members or advisers as necessary.

The Technical Audit Committee will carry out technical audits of a proportion of C/S Fund projects. Technical Audits will be carried out after a contract has been completed and payments have been made

ExCom may also ask the Technical Audit Committee to investigate, if there is a problem or a dispute during the implementation of a contract, if the problem cannot be solved between the C/S Chief, the Contractor and the Technical Supervisor.

#### **Provincial Office of Local Administration and Ministry of the Interior**

The Ministry of the Interior is responsible to report for monitoring the performance of the Councils in the utilization of the Commune / Sangkat Fund's resources, and for reporting to the Commune Fund Board. POLA will collect information on implementation of projects and report to MoI / DOLA, using written reports and the Project Information Database, as part of this task. However, monitoring and evaluation of C/S Fund projects also allows lessons to be learned and problems to be identified and corrected at the Commune and at the Provincial levels.

#### **Ministry of Rural Development**

The Ministry of Rural Development (MRD) oversees the recruitment and training of the Technical Support Staff (TSS). In order to evaluate the effectiveness of the TSS and to be able to improve the procedures and technical standards used by the TSS, MRD will conduct field missions to evaluate the quality of outputs of C/S Fund Projects. It may be suitable for MRD to do this by joining with the Technical Audit Committee on studies of some projects.

### **3.2 . Monitoring of C/S Fund Project Implementation**

The main monitoring activities for the C/S Fund Projects are set out in the table on the next page.

The table shows what is monitored, who is responsible, how the monitoring is done (monitoring instrument), how the data is recorded, and when the monitoring is done.

Most of these activities have been described in detail in other sections of this Manual. The section describing the activity is identified in the first column of the table. However, the process of Technical Audit has not been described already, so this is described in the following section.

**Monitoring of Commune / Sangkat Fund Projects**

<b>What is monitored</b>	<b>Who monitors</b>	<b>Instrument</b>	<b>Recording</b>	<b>When</b>
Project Information	POLA	Project Information Form	PID	Completion of project studies
Procurement process	TSU	Observation of bidding meeting	Report to POLA	All bidding meetings
Procurement outcomes	POLA	Contract Information Form	PID	Completion of procurement
Contract Implementation	Project Owner's Representative / Construction Committee /M&E Focal Point	Monitoring of Contractor activities	C/S Council Monthly Report	During implementation of contract
Quantity and quality of works	Technical Supervisor	Supervision and measurement of works	Progress Report PID	
Land Acquisition	Trained official	Discussion with stakeholders	Report to POLA	Before procurement After completion
Environmental Management Plan	Trained official	Discussion with stakeholders and site visits	Report to POLA	Completion of contract
Technical Quality	Technical Audit Committee	Physical inspection Discussions with stakeholders	Technical Audit Report PID	Selected contracts, after completion
Effectiveness of safeguards				
Contractor Performance	Commune Council / M&E Focal Person		C/S Council Annual Report*	End of year
TSU Performance				

### 3.2 Environment Monitoring Plan

The final part of the Environmental Analysis report is a monitoring plan. There are two kinds of monitoring we can do:

- monitor compliance of the project owner and the contractor with the recommendations of the EA report;
- monitor the actual effects on the environment.

The official responsible for the EA should monitor implementation of the recommendations and report to POLA on this.

The Commune / Sangkat chief should arrange for monitoring of the impact of the project on the environment. The Monitoring Plan shows how this will be done. The Monitoring Plan shows:

- **What** is to be monitored. For example, “dust from traffic,” “water quality,” etc.
- **Where** to monitor.
- **How** to monitor? For some kinds of problem it may be possible to make actual measurements – for example, the maximum depth of flooding at a particular location. However, for other kinds of problem, for example dust in the air, we can only measure by asking the people affected, for example, “worse than before / the same as before / better than before.”
- **When** to monitor? For example, “one time per month,” “every day during construction,” etc.
- **Who** will monitor? Who will be responsible to carry out the work?

#### ENVIRONMENTAL MONITORING PLAN

What	Where	How	When	Who
What will be monitored?	Place for monitoring	How to monitor	Times when monitoring will be done	Who will be responsible to monitor?

## Recommendation

		Check 1
1	If the project is implemented following the existing design, there will not be any unacceptable impact on the environment.	
2	The project can have an unacceptable impact on the environment. However, if the recommendations are followed, there will not be any unacceptable impact.	
3	The project will cause unacceptable bad impact on the environment.	

### 3.3 Monitoring of for Land Acquisition

The official who prepares the Land Acquisition Report will be responsible to follow up and monitor implementation of the compensation arrangements that have been made. The key time to do this is after the Land Acquisition Report is accepted by POLA and before procurement for the contract begins. During this period compensation arrangements should either be implemented, or in the case of arrangements that will form part of the contract with the contractor, the arrangements should be included in the contract documentation.

**Compensation in land or money, or other type to be paid before procurement.**

When the compensation in replacement land or money, or other types except for activities that will be included in the contract, have been completed, the Commune / Sangkat Chief should submit a report. The report should include a list of the amount of compensation paid to each land user, and the signature of the land user, to POLA.

POLA should ask the official who completed the land acquisition report to visit the commune and check that the compensation arrangements have been completed. This should include visiting some or all of the land users to make sure that they are satisfied that the compensation process has been completed fairly.

**Compensation activities to be included in the contract.** Where it is planned that compensation activities (for example, the reconstruction of a fence that will be destroyed) are included in the contract, these activities must be described clearly in the contract documents. The official who prepared the Land Acquisition Report should check the contract documents to make sure that this has been done.

The Official should then make a short report to POLA stating that the conditions (related to land acquisition) for granting Technical Clearance, have been fulfilled.

The Official should make one further visit to the project site on completion of the contract, in order to verify that no further issues relating to land acquisition have arisen during construction. The Official should make a short written report of this visit to POLA.

All the reports and other documents relating to land acquisition should be retained by POLA for later inspection, if needed.

## **4 TECHNICAL AUDIT**

### **4.1 What is a Technical Audit?**

A Technical Audit is an investigation of a completed contract. The purpose is to evaluate the process of contract implementation and to identify if there are any aspects that could be improved in the future.

Technical Audit is not part of contract supervision. Contract Supervision is the role of the Technical Supervisor. However, the Provincial / Municipal Governor may ask the Technical Audit Committee to investigate and report, when there is a problem in implementation of a contract, that cannot be solved by the C/S Chief, the Contractor and the Technical Supervisor.

### **4.2 When is a Technical Audit carried out?**

A Technical Audit is carried out after a contract has been completed. There will not be enough time to carry out technical audits of all contracts, so the Technical Audit Committee should choose a percentage of contracts. The Committee should not choose which contracts to audit, until after the contract has been completed and the final payment has been approved. One reason for this is that when the Technical Supervisor makes the Contract completion report, he will know that the Technical Audit Committee may come to check that what he has written is true.

A Technical Audit for a C/S Fund project should normally take about one morning or one afternoon.

### **4.3 Who should be on the Technical Audit Committee?**

The membership of the technical audit committee will be decided by ExCom. However, the membership should include:

- one ExCom member
- the Deputy Chief of the Technical Support Unit (for infrastructure projects)
- a member of the Local Administration Unit;
- other members or advisers as necessary.

### **4.4 Process for Technical Audit**

The process of technical audit may vary according to the type of project. However, the main steps that should be followed are:

**Step 1.** The Technical Audit Committee should be clear about the contract that they are going to audit. They should know what the contract outputs are, what time was allowed, and any special conditions. They should examine the Progress Reports and the Contract Completion Report. The Audit Committee should do this before they go to the field to audit the contract.

**Step 2. Site Visit.** The Audit Committee should visit the project site to inspect the completed works. The time of the visit should be arranged in advance so that all the stakeholders can be present. The stakeholders who should be there during the visit include:

- The C/S Chief
- The C/S M&E Focal Point and Assistant Focal Point
- The Contractor
- The Technical Supervisor
- The TSS (if he or she is not the Technical Supervisor for the contract)
- Representatives of civil society organisations (e.g. VDC, User Group)
- Beneficiaries.

The Audit Committee should inspect the completed works and discuss with the stakeholders. Matters that should be investigated include:

- the quantity and quality of the completed works, compared with the contract;
- the time taken to complete the works, compared with the time allowed in the contract;
- any problems that arose during construction of the works;
- any environmental impacts from construction of the works;
- the quality of the contractor's work
- the quality of service provided by the Technical Supervisor;
- Implementation of the Environmental Management Plan, if there was one;
- Implementation of land compensation arrangements, if there was a Land Acquisition Report.

If they can not be clear about some aspects of the contract, by inspecting the works and talking to all the stakeholders together, the Technical Audit Committee should arrange to talk to some of the stakeholders alone and in private, in order to find out their true opinions. If it is not possible to do this at the time of the site visit, the Committee should try to do this another time.

#### **4.5 Reporting of Technical Audit**

The Technical Audit Committee should make a report on a standard form (see next section). Copies of the report should be sent to:

- ExCom
- LAU
- TSU
- The Contractor
- The Commune Council.

## 4.6 Technical Audit Report Form

<b>PROVINCIAL RURAL DEVELOPMENT COMMITTEE</b>		
<b>Technical Audit</b>		
<b>Commune / Sangkat Works Contract</b>		
Province	District	Commune

<b>A. INFORMATION ABOUT THE PROJECT</b>		
Project Name		
One Project can be implemented in one contract, or more than one contract. Enter the number of contracts for this Project implemented in previous years, implemented this year, and still to implement in the future.		
/	Number of contracts completed in previous years	
/	Number of contracts being implemented this year	
/	Number of contracts still to implement in future years	

<b>B. INFORMATION ABOUT THE CONTRACT</b>								
Contract Number			Contractor					
Name of Technical Supervisor						TSO		
						Private		
Description of Project Outputs						Contract Cost		
#	Description	Village	Quantity		Quality			Comments
			Planned	Achieved	Good	Fair	Bad	
1								
2								
3								
4								
5								
6								
7								
Completion Date								
Planned Date			Actual Date			Comments		
Describe any problems that occurred during construction of the works								
Evaluate the work of the contractor						Good		
						Acceptable		
						Unacceptable		
Evaluate the quality of service provided to the Commune / Sangkat by the Technical Supervisor						Good		
						Acceptable		
						Unacceptable		

<b>C. ENVIRONMENTAL ISSUES</b>			
Was an Environmental Analysis carried out for this Project?		Yes	No
If Yes, has the Environmental Management Plan been correctly implemented?		Yes	No
Comments			
Have there been any bad impacts on the environment as a result of the project?		Yes	No
Comments			

<b>D. LAND OWNERSHIP ISSUES</b>			
Was a Land Acquisition Report prepared for this project?		Yes	No
If Yes, were the land compensation agreements implemented correctly?		Yes	No
Comments			
Has any land user made any complaint about losing land because of implementation of this project?			

<b>E. OVERALL ASSESSMENT OF THE PROJECT</b>	
How much benefit will this project bring for the people in the commune? Give a score from 0 (no benefit) to 10 (very high benefit).	Score

<i>F. Recommendations for Action</i>		
Action to be taken	Reason for action	Who is responsible?

<b>G. Who was consulted during the Technical Audit?</b>			
C/S Chief		Contractor	
C/S M&E Focal Point		Technical Supervisor	
Others			

<b>H. MEMBERS OF THE TECHNICAL AUDIT COMMITTEE AND SIGNATURES</b>		
Name	Capacity	Signature
Date of the Technical Audit		

## **5. THE PROJECT IMPLEMENTATION DATABASE**

### **5.1 What is the Project Information Database?**

The Project Information Database (PID) is a database of information on Commune/Sangkat Fund projects and outputs.

### **5.2 Who is responsible for the Project Information Database?**

At Provincial level, LAU are responsible for maintaining the database in collaboration with the Technical Support Unit. LAU will prepare regular database progress reports on Commune/Sangkat Contract implementation for submission to the Executive Committee and the Provincial/Municipal Governor. However, as much of the information in the database will be collected by the TSU, LAU may agree with TSU that TSU are responsible for data entry, when this is appropriate.

At National level, the database will be maintained by the Department of Local Administration (DOLA) of MoI. DOLA will provide up to date copies of the database to STFS and to MRD.

### **5.3 What information will be recorded in the Project Information database?**

#### **5.3.1 Project Information**

- The name and GIS code of the commune or sangkat
- The name of the project
- The year the Commune or Sangkat Development Plan including the project was approved.
- The sector the project is concerned with
- The objective of the project
- The villages that will benefit from the project
- The number of beneficiary households
- The name of the Project Engineer.

#### **5.3.2 Operation and Maintenance, and compliance criteria**

- Estimated service life of the project outputs
- Estimated periodic maintenance interval
- Estimated cost of periodic maintenance
- Estimated annual cost of routine maintenance
- Estimated annual cost of operation
- Who is responsible for operation?
- Who is responsible for maintenance?
  
- Does the project require an Environmental Impact Assessment
- If yes, has an Environmental Impact Assessment been carried out?
- Does the project require land acquisition?
- If yes, has a Land Acquisition Report been prepared?

### **5.3.3 Contract Information**

- Type of contract (build only, or other type).
- Name of the contractor
- Total price of the contract
- Allocation from C/S Fund resources for the contract
- Was contract awarded by competitive bidding?
- If yes, what was the date of the bidding meeting?
- Date the contract was signed
- Start date of the contract
- Planned completion date of the contract.
- Guarantee period
- Planned schedule of payments

### **5.3.4 Outputs**

- Location of each output (village, with option to input GPS coordinates)
- Type of each output (using a standard list of output codes)
- Quantity of each output (using standard units)
- Dimensions of each output (using standard dimensions, optional).
- Estimated unit cost of each output
- Actual unit cost of each output

### **5.3.5 Progress**

- Date of progress report
- Percentage completion on that date
- Are materials of acceptable quality?
- Is workmanship acceptable?
- Is the construction following the design?
- Date of actual completion of the project (inspection by Commune or Sangkat Chief and TSU);
- Was any work carried out under the guarantee?
- Date of final inspection (end of guarantee)
- Condition of outputs at the end of the guarantee period

### **5.3.6 Payments**

- Actual date of payments
- Actual amount of payments

### **5.3.7 Results**

- Success rating of project outputs compared with project objective.

## 6. HIGHLAND PEOPLES SAFEGUARD POLICY MONITORING

The Highland Peoples safeguard policy is relevant to only those provinces where there are highland people. In addition, the implementation of this safeguard relates specifically to the C/S planning and budgeting process. Therefore the monitoring of this safeguard is dealt with separate to the implementation of C/S projects and relates to the C/S planning process. The table below outlines what will be monitored and by whom.

**Highland People Safeguard Monitoring Table**

Task Summary	Who Monitors?	How Do they Monitor?	Available Where?
Information disseminated and facilitation conducted in HP languages where appropriate. Minutes taken should specify if facilitators, commune council members or village representatives were required to convey information in indigenous languages after meetings.	CC or PBC	Minutes taken during meetings will specify if interpretation was available.	In CC Office
“	DFT	Facilitators discuss with HP to see if they have been offered to participate in discussions and informed of decisions made at meetings. To have discussions at least once in the planning cycle.	In ExCom Office
Facilitators should provide opportunities for Highland People to consider induced changes that may accompany development activities.	PLG LCBA	Interview HP about specific projects in order to determine whether or not they are aware of potential changes accompanying development projects. To do this at completion of planning cycle.	Report in PLG monthly reports to STFS
For heterogeneous villages that include a significant proportion of upland minorities, the commune council will ensure they are represented on the PBC	CC assisted by DFT and DOP	CCs will keep records of village representatives and their ethnicity.	CC office
In communes with HP villages, Seila procedures require that representatives of minority groups participate in the process of formulating commune development objectives and strategies, and that minutes are taken.	CC and DFT	Minutes after step 4	CC office
In communes with upland minority villages, assessments whether projects benefiting one area has negative effects on villages nearby will include potential induced effects, specifically whether mapping and land rights are sufficiently clear to protect Highland Peoples from in-migration or loss of access to resources.	CC and DFT	Minutes after step 3 taken should record assessments of potential induced negative effects.	CC office

CAMBODIA: Rural Investment for Local Governance Project  
 Project Implementation Manual  
 Section 8 Monitoring and Evaluation

Task Summary	Who Monitors?	How Do they Monitor?	Available Where?
RILGP will not fund any activities that affect upland minorities without their consent, as demonstrated through acceptance at a facilitated village meeting.	PLG LCBA	LCBA should speak to villagers and record whether or not they were consulted on projects that affect them.	Report in PLG monthly reports to STFS
In cases where annual commune development plans do not address any of the priority needs identified by upland minority villages, the commune council will utilize its three-year financing plan within its broader five-year planning horizon to make explicit commitments as to when, and to what extent, their priorities will be addressed.	CC and DFT	Facilitators should verify that commune councils have specified this in their three-year financing plans.	CC office

## **ANNEX 1**

# **COMMUNE SANGKAT MONTHLY AND ANNUAL REPORT FORMATS**

**Royal Government of Cambodia**

**MINISTRY OF INTERIOR**



**Kingdom of Cambodia**

**NATION RELIGION KING**

No. 143 / Instruction      *Phnom Penh, 5 February 2003*

***Inform to***

- Their Excellencies, Government Representatives in the Municipalities of Phnom Penh, Kep and Pailin
- Their Excellencies Provincial Governors

**Subject:** Promulgating the **Annual Report format** for the Year 2002, and the **Monthly Report format** for the Year 2003 for the Communes/Sangkats.

**In compliance** - Law on the Administration and Management of Commune/Sangkat

**with:** - Prakas No. 1884, dd. 18 April 2002, Ministry of Interior, on the Delegation of Powers to Provincial/Municipal Governors in Support of Commune/Sangkat Councils

(unofficial translation)

With the above subject and reference, we would like to inform your Excellencies that, in order to monitor the intervention and support to Communes/Sangkats and to strengthen accountability and transparency of the Commune/Sangkat Councils to the local population, the Commune/Sangkat Council has to report on implemented activities to the local population and the Ministry of Interior, as specified in the articles 69 and 70 of the Law on the Administration and Management of Commune/Sangkat. The Ministry of Interior has prepared reporting formats for the Monthly Report and the Annual Report of the Communes/Sangkats.

The formats are attached.

The format for the Monthly Report will be used for all monthly reports prepared in 2003. The format for the Annual Report will be used for the annual report on the Commune/Sangkat's activities in 2002. Before the end of 2003, these formats will be reviewed and revised.

The Provinces/Municipalities have the right to ask the Communes/Sangkats Councils to report on other matters of particular Provincial/Municipal interest. Such requests for

additional information should however be kept as low as possible, to avoid increasing the reporting workload of the Communes/Sangkats.

The Monthly Report is prepared in two copies. One copy is kept in the Commune/Sangkat, for its record, and for use by the public; a second copy is submitted to the Provincial/Municipal Governor, through the District/Khan Governor. The Commune/Sangkat must submit its Monthly Report to the District/Khan Governor before the 10<sup>th</sup> of the following month. The District/Khan authorities can make a copy of the Monthly Reports from the Communes/Sangkats, at their own expense. The District/Khan Governor must submit the Monthly Reports from the Communes/Sangkats to the Provincial/Municipal Office of Local Administration no later than the 15<sup>th</sup> of the following month. This Monthly Report format also provides a one-page Monthly Report Summary for the local population.

The Annual Report for 2002 is prepared in two copies. One copy is submitted to the Provincial/Municipal Governor, through the District/Khan Governor; a second copy is kept by the Commune/Sangkat for its record, and for use by the public. The Commune/Sangkat Council must adopt the Annual Report before 14 February 2003, and submit it to the District/Khan Governor before 20 February. The District/Khan authorities can make a copy of the Annual Reports from the Communes/Sangkats, at their own expense. The District/Khan Governor must submit the Annual Reports from the Communes/Sangkats to the Provincial/Municipal Office of Local Administration no later than 25 February 2003.

Both the Monthly Reports and Annual Reports submitted by the Communes/Sangkats have to be kept in the Provincial/Municipal Office (*Salakhet/Salakrong*). The Provincial/Municipal Office of Local Administration uses the Monthly Reports and Annual Report of the Communes/Sangkats to prepare the Monthly, Quarterly and Annual Reports of the Provincial/Municipal Office of Local Administration. If necessary, the Department of Local Administration will ask the Provincial/Municipal Office of Local Administration for copies of specific Communes/Sangkats.

As mentioned above, Excellencies government delegates, and provincial/municipal governors are requested to carry out the tasks above effectively.

Co-Ministers

(Signatures and seal)

Sar Kheng      You  
Hokry

Kingdom of Cambodia  
Nation – Religion - King

Province/Municipality: .....

District/Khan: .....

Commune/Sangkat: .....

**COMMUNE/SANGKAT COUNCIL  
MONTHLY REPORT**

**[Month] 2003**

Please provide the information in the format below.  
 If the provided space is too small, give the extra  
 information on a separate sheet:

A. COMMUNE/SANGKAT ADMINISTRATION MANAGEMENT

A.1 Commune/Sangkat Council membership

Total number of Commune/Sangkat Councilors : \_\_\_\_\_

Have there been any changes for Commune/Sangkat Councilors ? Yes  No

If yes, please indicate the changes below:

A.1.1 Resignations, deaths and dismissals

Name of Councilor	Sex	Age	Position	Reason	Date of C/S Councilor submit	Date of Prakas from Ministry

A.1.2 New appointments

Name of Councilor	Sex	Age	Position	Date of Prakas from Ministry

A.2 Commune/Sangkat Council meetings

The Commune/Sangkat Council has met on the following dates:

Date	Place	No. of Participants		Type of meeting Regular / Special / Secret	Minutes ?	
		Councilors	Others		Yes	No

If no regular meeting was held this month, please specify the reason:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

A.3 Deikas and decisions of the Commune/Sangkat Council

A.3.1 The Commune/Sangkat Council has promulgated the following Deikas:

No. of Deika	Date	Subject of Deika	No. of votes in favor

A.3.2 The Commune/Sangkat Council has taken the following decisions:

No. of Decision	Date	Subject of Decision	No. of votes in favor

A.4 Committee meetings : Yes  No  (If yes, please list them below)

Date	Name of Committee	Purpose of the meeting	No. of Participants		
			Councilors	Others	No. of female

A.5 Changes for Commune/Sangkat Clerk Yes  No  (If yes, please indicate the change below):

A.5.1 Resignations, deaths and dismissals

Name of Clerk	Sex	Age	Reason	Effective from Date

A.5.2 New appointment

Name of Clerk	Sex	Age	Effective from Date

A.6 Important events or problems in the Commune/Sangkat

Reconciliation, and conflict resolutions:

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Problems related to Security and public order:

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Problems related to living standards of the citizens:

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Problems related to Environment and natural resources:

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Problems related to National culture and heritage:

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**B. COMMUNE/SANGKAT PLANNING**

Commune/Sangkat development planning activities: Yes  No   
*(If yes, please indicate them in the below table):*

Date	Description of activity	Output / Outcome	Participants	
			M	F

C. COMMUNE/SANGKAT FINANCE

Revenues and expenses	Budget	Actual			To date Budget
		Previous	This month	To date	
<b>Revenues</b>					
C/S Fund Transfer					
Agency function revenues					
Local contributions					
Local taxes					
Other: -----					
<b>TOTAL REVENUES</b>					
<b>Expenditures</b>					
Salaries and Allowances					
Administration Costs:					
Agency function expenditures					
Local development and services:					
Other: -----					
<b>TOTAL EXPENDITURES</b>					

The date when the Commune/Sangkat received the End of Month statement from the Provincial Treasury : \_\_\_\_\_

The date when the End of Month statement from the Provincial Treasury was approved by the commune/sangkat council : \_\_\_\_\_

D. COMMUNE/SANGKAT IMPLEMENTATION

D.1 Implementation of development activities and delivery of services  
 (if an activity is 100 % completed last month, it should not be repeated in this month's report)

D.1.1 CDP/CIP activities, funded from the Commune/Sangkat's revenues:

Code	Name of the project/activity	Implementer	% completed

Mention briefly problems encountered/observed by the Commune/Sangkat:

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**D.1.2 Other activities (funded by Line Departments, NGO's or others):**

Name of the project/activity	Funded by	Implementer	Is there a TA for this? Y/N	% completed

Note : TA means that a "Temporary Agreement" was made between the Commune/Sangkat and the Department or NGO, prior to the implementation of the activity. TA's are normally made at the District Integration Workshop.

Mention briefly problems encountered/observed by the Commune/Sangkat:

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**D.2 Implementation of Agency functions**

**D.2.1 Number of civil registration certificates issued this month**

Births		Marriages	Deaths	
Male	Female		Male	Female

**D.2.2 Other Agency Functions**

On behalf of which Ministry/ Institution ?	Agency Function	Achievements

Mention problems/difficulties encountered with the implementation of Agency Functions:

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**D.3 Information dissemination to the local population**

Type of information dissemination event	Methods used	No. of village(s)

**D.4 Problems related to commune/sangkat's collaboration with NGO's, CBO's, Private Sector and local communities:** Yes  No  *(If yes, please mention them below)*

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**E. CAPACITY BUILDING AND SUPPORT/SUPERVISION**

**E.1 Training activities for Commune/Sangkat Councilor and/or Commune/Sangkat Clerk**

Yes  No  *(If yes, please mention them below)*

Date(s) of Training	Training topic	Location of training	Training organized by	Participants				
				Councilors				Clerk
				Chief	1 <sup>st</sup> Dep	2 <sup>nd</sup> Dep	# of Others	

**E.2 Training activities for Members of Committee, and others** Yes  No  *(If yes, please mention them below)*

Date(s) of Training	Training topic	Location of training	Training organized by	Participants	
				Male	Female

Comments/problems related to training:

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E.3 Other capacity building activities (e.g. field visits to other places ; seminars ; reflection workshops ; etc) :

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E.4 Problems related to commune/sangkat's collaboration with District/Khan and Provincial/Municipal Agencies (like POLA, Treasury, etc):

Yes  No  (if yes, please mention them below)

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E.5 Supporting Visits: Yes  No  (If yes, please mention them below)

Visits by	No. of visits	Purpose of visit(s)
DFT		
PFT		
TSS		
NGO/IO		
POLA		
Line departments		
Other Commune/Sangkat		
Others		

Additional comments for this Monthly Report

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Prepared by :

Seen and approved,  
\_\_\_\_\_ Date: \_\_\_\_\_ 2003  
on behalf of the Commune/Sangkat  
Council

*Commune/Sangkat Chief*

**Brief Monthly Report to the Local Population,  
 Commune/Sangkat \_\_\_\_\_  
 [Month] 2003**

**Important events or problems in the Commune/Sangkat this month :**

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**Commune Council Deikas and Decisions :**

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**Commune finances :**

Revenues		Expenses	
C/S Fund transfer		Salaries and allowances	
Agency function revenues		Agency function expenditures	
Local contributions		Local development / services	
Local taxes		Administration costs	
Other		Other	
Total at the end of the month		Total at the end of the month	

**Implementation of the Commune Development Plan / Commune Investment Program :**

Description	Implementer	Village(s)	% completion

**Changes in Commune Council membership :**

Out : \_\_\_\_\_ In : \_\_\_\_\_

Information on Focal Persons and Advisory Committees :

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\_\_\_\_\_ Date: \_\_\_\_\_ 2003  
on behalf of the Commune/Sangkat  
Council  
Commune/Sangkat Chief

## Kingdom of Cambodia

Nation – Religion - King

Province/Municipality: .....

District/Khan: .....

Commune/Sangkat: .....

# COMMUNE/SANGKAT COUNCIL

## ANNUAL REPORT YEAR 2002

Please provide the information in the format below.  
 If the provided space is too small, give the extra  
 information on a separate sheet.

**A. COMMUNE/SANGKAT ADMINISTRATION MANAGEMENT**

**A.1 Population in the year of 2002:**

No	Village name	Births		Deaths		Total population		
		M	F	M	F	M	F	Total
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
16								
17								
18								
19								
20								
21								
22								
23								
24								
<b>Total</b>								

## A.2 Commune/Sangkat Council membership

On 31 December 2002, the composition of the Commune/Sangkat Council was:

No.	Name of Councilor	Sex	Age	Position	Effective from Date	Village where the Councilor lives
1				C/S Chief		
2				1 <sup>st</sup> Deputy		
3				2 <sup>nd</sup> Deputy		
4				Councilor		
5				Councilor		
6				Councilor		
7				Councilor		
8				Councilor		
9				Councilor		
10				Councilor		
11				Councilor		

Since the Commune/Sangkat Council election of 3 February 2002, the following changes have taken place in the Commune/Sangkat Council membership:

### A.2.1 Resignations, deaths and dismissals

Name of Councilor	Sex	Age	Position	Reason	Date of Prakas from ministry

### A.2.2 New appointments of Commune/Sangkat Councilors

Name of Councilor	Sex	Age	Position	Effective from Date

## A.3 Commune/Sangkat Council meetings

In 2002, the Commune/Sangkat Council has held the following number of meeting:

Type of meeting	No. of meetings
Regular meeting (monthly meeting)	
Special meetings	
Secret meetings	
<b>TOTAL</b>	

Which month(s) when no regular meetings were held?, and why?

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#### A.4 Deikas and decisions of the Commune/Sangkat Council

In 2002, the Commune/Sangkat Council promulgated \_\_ Deikas.  
Of this total, \_\_ Deikas were revoked at the request of the Provincial authorities. The revoked Deikas were:

Deika No.	Title	Reason for revocation

In 2002, the Commune/Sangkat Council took \_\_ decisions.  
Of this total, \_\_ decisions were revoked at the request of the Provincial authorities. The revoked decisions were:

Decision No.	Title	Reason for revocation

#### A.5 Committee meetings

In 2002, the Committees in the Commune/Sangkat have held the following number of meetings:

Name of Committee	No. of meetings

#### A.6 Focal persons

In 2002, the Commune/Sangkat Council has appointed the following people as Focal Person(s):

Focal Person for	Name	Sex	Age	CC member ?

#### A.7 Commune/Sangkat Clerk

In 2002, the position of Commune/Sangkat Clerk has been filled by:

Name of Commune/Sangkat Clerk	Sex	Age	Period of service	
			From	To

B. COMMUNE/SANGKAT PLANNING

B.1 CDP / CIP preparation

- a) In 2002, the Commune/Sangkat started the preparation of the Commune/Sangkat Development Plan on \_\_\_\_\_
- b) The CDP 2003-2007 / CIP 2003-2005 was approved by the Commune/Sangkat Council on \_\_\_\_\_, by \_\_\_ of the \_\_\_ Commune/Sangkat Councilors.
- c) Describe briefly how local participation in the CDP/CIP preparation happened:

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Describe briefly how the CDP/CIP was disseminated to the local population

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C. COMMUNE/SANGKAT FINANCE

C.1 Summary of the Commune/Sangkat Financial Revenues and Expenditures over the Year

Please record the figures from the financial annual report obtained from the Treasury, and which has been endorsed by the Commune/Sangkat Council.

<b>Commune/Sangkat Accounting System</b>
<b>Accounting Forms</b>
<b>Annual Revenues and Expenditures Statement</b>
Date

Code	Account Name	Budget	Actual	Actual: Budget
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**A - Revenues:**

70	Local Taxes			
71	Non-tax Services and Property Revenues			
72	C/S Fund Transfer - Admin.			
73	Agent Functions Revenues			
74	Other Recurrent Revenues			
76	Reserve Fund Transfer			
77	C/S Fund Transfer - Develop			
78	Local Contribution to invst Costs			
79	Other Capital Revenues			
<b>Total Revenues</b>				

**B - Expenditures:**

60	Salary and Allowances			
61	General Administration Costs			
62	Local Services Costs			
63	Agent Functions Costs			
64	Social Intervention			
65	Economic Intervention			
66	Contingency			
67	Administration Investment			
68	Local Development Investment			
<b>Total Expenditures</b>				

**C - Cash Position**

	Opening Cash Balance			
	Revenues - Expenditures			
	Closing Cash Balance			
	Treasury Deposit Account			
	Petty Cash			

**C.2 Durable assets**

C.2.1 List the durable assets which the Commune/Sangkat Council owned prior to the Commune/Sangkat Election:

Description	Location	Quantity	Estimated value	Condition of asset

C.2.2 List the durable assets, which the Commune/Sangkat Council has bought in 2002:

Purchase date	Description	Location	Quantity	Total value

C.2.3 List the durable assets, which the Commune/Sangkat Council has received from the Central Government in 2002:

Transfer date	Description	Location	Quantity	Estimated value

C.2.4 List any other durable assets, which the Commune/Sangkat Council has received from generous people in 2002:

Date received	Description	Location	Quantity	Estimated value

**D. COMMUNE/SANGKAT IMPLEMENTATION**

**D.1 Implementation of development activities and delivery of services in the past year**

**D.1.1 100 % completed activities, and delivered services**

<b>Funded from Commune/Sangkat revenues</b>			
Contract code	Name of project/activity	Implementer	Degree of satisfaction

Notes : For Degree of satisfaction, use “Not acceptable”, “Acceptable” and “Good” to indicate the Commune/Sangkat population’s satisfaction with the implemented activities or delivered services

<b>Funded by Line Departments, NGO’s or others</b>				
Name of project/activity	Funded by	Implementer	With TA? Y/N	Degree of satisfaction

Note : TA means that a “Temporary Agreement” was made between the Commune/Sangkat and the Department or NGO, prior to the implementation of the activity. TA’s are normally made at the District Integration Workshop.

**D.1.2 Not 100 % completed activities**

<b>Funded from Commune/Sangkat revenues</b>				
Contract code	Name of project/activity	Implementer	% completion	Remarks / Reason(s) for non-completion

<b>Funded by Line Departments, NGO’s or others</b>					
Name of project/activity	Funded by	Implementer	With TA? Y/N	% completion	Remarks / Reason(s) for non-completion

**D.1.3 Planned, but not implemented activities**

List the activities, which were listed in the Commune/Sangkat Development Plan for 2002, but were not implemented [only for the Commune/Sangkats which had a CDP/CIP]

<b>Commune/Sangkat projects</b>	
Name of project/activity	Remarks / Reason(s) for non-implementation

List the activities for which Temporary Agreements were signed with line departments or NGO's in 2001, but which have not been implemented in 2002.

<b>Line Department and NGO projects</b>	
Name of project/activity	Remarks / Reason(s) for non-implementation

**D.2 Results and outcomes of the delivered services and the implemented development activities**

Describe briefly the main results and outcomes of the implemented development activities in the Commune/Sangkat:

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**D.3 Problems and recommendations for improvement**

If problems occurred during project implementation or service delivery, describe these below, and give recommendations for improvement.

<i>Problems</i>	Recommendations for improvement

#### D.4 Implementation of Agency functions

Number of civil registration certificates issued in 2002

Births		Marriages	Deaths	
Male	Female		Male	Female

In 2002, the Commune/Sangkat Council has implemented the following Agency functions:

On behalf of which Ministry/Institution ?	Description of Agency function	Remarks

#### D.5 Information dissemination to the local population

Type of information dissemination event	Number of times the event happened in 2002	No. of Village(s)

#### D.6 Interaction with NGO's, Private Sector and other Community Based Organizations

Name of NGO, private sector or CBO	Description of problem	Period when there was this problem	Current status of problem

Additional comments:

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**D.7 Identified priorities for service delivery and Commune/Sangkat development activities in the next year**

Copy the information below from the CDP 2003-2007 / CIP 2003-2005:

No	Priority	Name of projects/activities	Project capacity	Location	Cost for 2003	Supported by

**E. CAPACITY BUILDING AND SUPPORT/SUPERVISION**

**E.1 Training activities for Commune/Sangkat Councilor and/or Commune/Sangkat Clerk**

Length of Training	Training topic	Location of training	Training organized by	Participants				
				Councilors				Clerk
				Chief	1 <sup>st</sup> Dep	2 <sup>nd</sup> Dep	# of Others	

**E.2 Training activities for members of Committees and others**

Length of Training	Training topic	Location of training	Training organized by	Participants	
				Male	Female

**E.3 Other capacity building activities**

(e.g. field visits to other places ; seminars ; reflection workshops ; etc) :

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**E.4 Interaction with District and Provincial Agencies (like POLA, Treasury, etc)**

Name of District or Provincial Agency	Description of problem	Period when there was this problem	Current status of problem

Additional comments:

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**E.5 Supporting Visits**

In 2002, the Commune/Sangkat has received visits as follows:

Visits by	Number of visits in the year 2002											
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
DFT	X											
PFT	X											
TSS	X											
NGO/IO	X											
POLA	X											
Line departments	X											
Other	X											
Commune/Sangkat	X											
Others	X											

Additional comments for this Annual Report

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Seen and approved,  
 \_\_\_\_\_ Date: \_\_\_\_\_ 2003  
 on behalf of the Commune/Sangkat  
 Council

Prepared by:

*Commune/Sangkat Chief*

