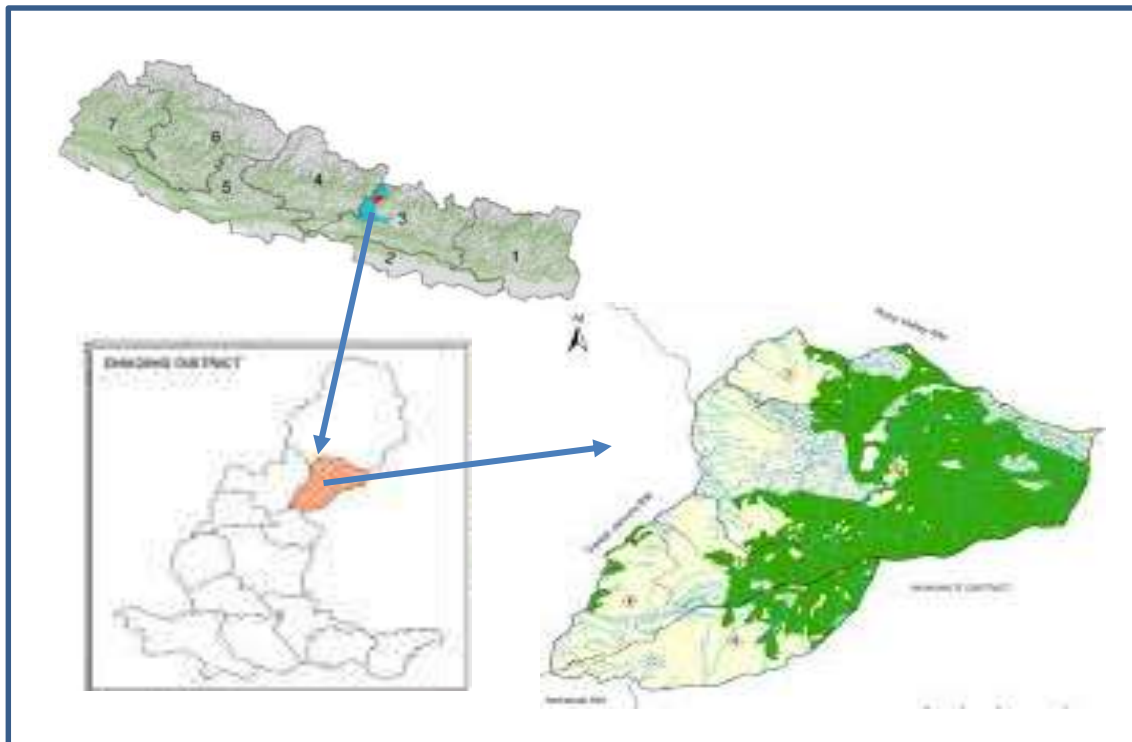


# PURNIMA: UK SUPPORT TO POST-EARTHQUAKE RECOVERY IN NEPAL

**Study on Institutional Self-Assessment of  
Ten Rural Municipalities Rasuwa, Nuwakot, Dhading and Gorkha  
Districts**

## **FINAL DRAFT REPORT KHANIYABAS RURAL MUNICIPALITY**



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## ACKNOWLEDGEMENT

We would like to thank PURNIMA: UK Support to Post-Earthquake Recovery in Nepal project for awarding this project to facilitate on assessing institutional capacity of local governments, mainly 10 rural municipalities of Rasuwa, Nuwakot, Dhading and Gorkha districts.

During the post local election of federal Nepal, many organisations are engaged at the local level to enhance the capacity of local governments through trainings, exposures, sharing and consultations. In addition, local governments have also executed rights and functions based on the Constitution 2015, Local Government Operation Act 2017, and other relevant legislations. However, a few organisations are involved to assess the capacity of LGs, provisioned by authority and functions. Although Ministry of Federal Affairs and General Administration (MoFAGA) has initiated to assess the capacity of local governments by employing the Local Government Institutional Self-Assessment (LISA) tool, due to absence of concrete and specific indicators with regards to the identification of specific areas (institutional capacity development, system, organisation & individual), LISA is yet to start in local governments. Considering the scope of work, in addition to LISA indicators, PURNIMA project has anticipated to use some additional indicators, developed by Institutional Needs Self-Assessment (INSA) tool. This tool is more comprehensive to identify the gaps of local governments in more specific and concrete manner. Thus, INSA was also used as supplementary tool of the LISA to identify the further gaps. Therefore, a special thanks to all the team of PURNIMA for providing us such opportunity.

In this assignment, the LISA process was entirely conducted in 10 RMs of Rasuwa, Nuwakot, Dhading, and Gorkha districts. However, it could not be succeeded, unless the active participation of the elected representatives and staffs as well as concerned stakeholders. I therefore would like to sincere thank entire family of Khaniyabas Rural Municipalities including Mr. Rana Bahadur Tamang, Chairperson, Ms. Yo Maya Tamang Deputy Chairperson, Mr. Vishnu Prasad Gurung, Chief Administration Officer, entire elected officials and staff for their immense support and cooperation during the assessment process.

I would like to thank Mr. Santosh Bisht Senior Governance Manager, Mrs Seema Rajauriya, Senior Inclusive Governance Advisor, Mr. Bikash Panthi, Capacity Development Specialist, Mr. Shekhar Karki, Planning and Governance Advisor and all staffs from Purnima. Mr. Bishnudatta Gautam Joint Secretary and Mr. Ramesh Adhikari Under Secretary of MoFAGA deserve special thanks for their continuous support in coordination and Mr. Nagesh Badu E-Governance Specialist of PLGSP for facilitating the document updating process in LISA website. Similarly, I would like to thank Local Government Institutional Self-Assessment Team, Mr. Purushottam Nepal Fiscal Federalism and Local Governance Expert, Mr. Santosh Ghimire and Ms. Bijaya Rajbaidya, Sectoral Governance Experts/Researchers and entire team deputed for this task.

We hope this assessment report will stimulate the discussion of capacity development related to an improvement of the principal task for the new local government, i.e. to provide ever improving efficient and effective service to all their citizens.

Arun Kumar Regmi  
Team Leader  
March 2020

## ABBREVIATION

GoN	Government of Nepal
LLRC	Local Level Restructuring Commission
INSA	Institutional Needs Self-Assessment
KII	Key Informant Interview
LG	Local Government
LISA	Local Government Institutional Self-Assessment
LLRC	Local Level Restructuring Commission
MOFAGA	Ministry of Federal Affairs and General Administration
RM	Rural Municipality
SWOT	Strength, Weakness, Opportunity and Threat
ToR	Terms of Reference

## EXECUTIVE SUMMARY

The constitution of Nepal envisions cutting-edge model of local governance with adequate autonomy (power of legislative, executive and judiciary functions), the idea of federalisation, and the self-government mechanism. In order to translate the constitutional power and functions between the federation, province and local level, constitution has adopted cooperativeness, co-existence and coordination principle. Through these principles, delivery of efficient and quality services, meaningful and inclusive people's participation, effective transparency and accountability, and institutionalisation of legislative, executive and judicial practice are ensured at the local level and able to functional. Also, the Local Government Operation Act 2017 is a key guideline for better local governance system, which is implemented at the local level to ensure the local governance. In Nepal, local governance is a unique system whereby various actors can come together, discuss about the local issues, and take decisions on behalf of the people. This is a vibrant local governance system of Nepali society, which has brought the people much closer to local government units and ensure services at the doorsteps of people.

In 2017, local election was held, which enforced the government to devolve the power and functions and transform the centralise and unitary mind set into decentralised governing system through a popular slogan "*GAUN GAUN MA SINGH DURBAR*" (major power functions in each local government). Although the elections allowed to devolve the power and resources at the local level, the capacity remains weak to moderate at the local level. Nonetheless, the government has prioritised the capacity development of the local government as a primary agenda to implement the exclusive and concurrent powers in an effective way.

In order to narrow down the gap on service delivery mechanism, Post-earthquake recovery project (PURNIMA ) aspires to bring a long-term positive change in the livelihood of the people in earthquake-affected regions of Nepal with its five outputs and this institutional assessment task fall on first and most critical output to realise remaining four as well. Local Government Institutional Self-Assessment (LISA) system was designed by Ministry of Federal Affairs and General Administration (MoFAGA) for local government performance assessment including institutional strength and weaknesses. Thus, the government can take necessary measures to improve the institutional capacity for effective service delivery. Hence, PURNIMA is supporting the local governments to maintain accountability for effective and efficient service delivery. The assessment of the local governments through integration of local government LISA and an Institutional Needs Self-Assessment (INSA) tools, and its' functional activities as well as indicators are the way forward for accountability matter.

In a broader term, the overall objective of the study was to support the Rural Municipalities for assessing institutional capacity; and identify the gaps, challenges, risks, possible solutions, and emerging options through application of LISA tools and supplemented additional indicators, which were drawn from INSA tool. Through assessment, LISA with additional indicators have clearly revealed about institutional strengths, weaknesses, opportunities and threats of the *Gaunpalika*, so that necessary measures can be taken to improve the institutional capacity for effective service delivery. To assess the capacity of the local government in a comprehensive way, 10 functional areas mandated through LISA and two additional thematic areas were identified. Further indicators were designed during the consultation with PURNIMA project.

A five days intensive interactions, discussions, and participatory workshop was completed in

*Khaniyabas* rural municipalities for LISA assessment. The Chair, Deputy Chair, Chief Administrative Officer, ward chairpersons, section chiefs and available *Karyapalika* - executive committee members, finance officer, procurement officers, planning officers, women development officers, WASH focal persons, disaster and climate change focal persons, and section heads of other relevant sectors, the representatives of citizens' institution, civil societies, and beneficiaries were intensively engaged and concluded the assessment with concrete figure. As for assessment, a full institutional self-assessment included the responses on following 12 functional areas such as **(i) Governance system, (ii) Organisation and administration, (iii) Annual budget and plan formulation, (iv) Financial management, (v) Service delivery, (vi) Judiciary function, (vii) Physical infrastructure, (viii) Social inclusion, (ix) Environment conservation and disaster management and (x) Cooperation and coordination with additional two (xi) public accountability and (xii) Knowledge management** were included.

The assessment of LISA indicator indicates that the overall performance of the LISA assessment found Weak condition (at the bottom line) whereby *Khaniyabas* rural municipality secured 54.95 score out of the 100, The percentile figure shows 54.95 percent indicators were completed by the local government, while 45.05 percent indicators were yet to address by the Rural Municipality. According to the LISA, Governance Process related functions were accomplished with outstanding capacity. Next, three sectoral activities such as annual budget and plan formulation, Fiscal and Financial Management, and Judiciary functions were implemented with Good capacity. Other six sectoral activities services such as Administration and Organisation, Service Delivery, Physical Infrastructure, Social Inclusion, Environment Conservation and Disaster Management, and Cooperation and Coordination services were implementing with weak capacity.

Similarly, the overall performance under additionally identified indicators was 'Weak condition whereby *RM* secured 51.5 score out of the 100. According to the result, Clarity on working procedures, long term vision, mission and planning; Planning process; Revenue administration found comparatively higher.

On contrary, the gap score between expected result and existing result in LISA was 45.05. The existed capacity gap needs support either from the federal and provincial governments or by the development partners. To address the such biggest gap, a strategic action plan of the Rural Municipality with activities, responsibility, budget and timeline of considering 10 LISA themes and additional 2 themes were prepared and approved by chairperson. At the end LISA score with means of verification of RM was entered in MOFAGA website, which is available at [lisa.mofaga.gov.np](http://lisa.mofaga.gov.np).

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## CHAPTER - 1: INTRODUCTION OF THE ASSIGNMENT

### 1.1 Background

Institutions are the rules of the game in a society, or more formally, they are the sets of human interactions, or the agents of political, social, and economic changes. They are dynamic entities, which are categorised by the state, the market, and the civil society. In this standpoint, state institutions mainly local governments are enclosed for capacity assessment. The Constitution of Nepal (2015) officially institutionalised the principles of coexistence, cooperation and coordination, that granted numbers of exclusive and concurrent rights to the local governments, which is a result of governance shift from government to governmentality. One of the major achievements of this constitution is that local governments units are considered third level of government. They are the closest unit of the grassroots communities as they are undertaking to institutionalise the governance system and create enabling environment to promote the democratic values and citizen engagement mainly from marginal section in decision making process.

On 10<sup>th</sup> March 2017, the Government of Nepal decided to implement a major territorial reform based on constitutional provision through the Local Level Restructuring Commission (LLRC). The commission recommended 753 viable local government units including 460 rural municipalities, 276 urban municipalities, 11-sub-metropolitan cities and 6 metropolitan cities. These local government units were further divided into 6,743 Wards at the bottom level. The objectives of restructured local governments are institutionalising a democratic and well-functioning government at the local level; delivering public services to the local communities in an efficient, effective and responsive way; carry out social and economic development activities to uplift the living standards of the people; and developing organic local democratic leadership at the grassroots level among others.

In order to translate the constitutional functions and duties at the local level, several Acts and laws like the Local Government Operation Act (LOGA), 2017, National Natural Resources and Fiscal Commission Act 2017, and Inter-Governmental Fiscal Management Act 2017 have been formulated to facilitate the local governance system.

In 2017, local election was held successfully, which granted not only authority, power and functions to the elected representatives to manage LGs with clear mandates, responsibilities and functions, but also transform the centralise and unitary mind set into decentralise manner through a popular slogan "*GAUN GAUN MA SINGH DURBAR*". The above situation has prompted the government to initiate capacity development of the local government. Capacity is an ingredient by which individuals, institutions, organisations and societies develop abilities to perform functions, solve problems as well as set and achieve goals. The new constitution has provisioned 22 exclusive powers, and additional 15 concurrent powers to function at the local level and assigned expenditure responsibilities and revenue sources. Additionally, the LGs in Nepal as responsive and accountable governments have been contributing to empower the people by engaging them in service delivery mechanism. Despite such outcomes, the functional capacity of local governments appears medium and weak which is particularly remarkable in elected representatives and staff, mainly on service delivery, planning, monitoring and functioning of the governance system, extend to policy dialogue and advocacy, institution building, and building social capital and overall development. The reasons are lack of strong intergovernmental relationship; inadequate legislations, guidelines and institutional frameworks including placement of employee, accounting and procurement system, and revenue administration.

In order to strengthen the reformed local governance system and improve the efficiency of service delivery of local governments, the Ministry of Federal Affairs and General Administration (MOFAGA) has developed a tool Local Government Institutional Self-Assessment (LISA) with operating guideline. Additionally, Morag completed the piloting of LISA in several local government units as self-assessment tool, which enabled the local governments to systematically map their capabilities and identify gaps. The LISA will help the local governments to identify areas where they must improve their institutional capacity so that development projects can implement effectively, and services would be more the citizen concern.

In the present study, LISA is considered as major tool for institutional self- assessment, which further identifies gaps to prepare strategic action plan for capacity development of local government. LISA tool includes ten thematic sectors – governance system, organisation and administration, annual budget and plan formulation, financial management, service delivery, judiciary function, social inclusion, environment conservation and disaster management, and cooperation and coordination, which are measured based on overall situation, process followed, quantitative and qualitative output generated at local governments. Each sector consists of number of indicators derived from LOGA and others relevant legal instruments. As LISA was considered as living assessment process whereby the thematic sectors and indicators might be changing in due course of local governance system. Thus, Institutional Self-Assessment (INSA) was also considered as complementary tool both internal and external side including institutional strength and weaknesses. To assess the capacity of the local government in a comprehensive way, 10 functional areas such as (1) Clarity on working procedures, long term vision, mission and planning (2) Organisation and development (3) Human Resource management (4) Planning process (5) Revenue administration (6) Financial administration (7) Management of service delivery (8) Internal and external coordination (9) Public accountability mechanism (10) knowledge management were also identified. However, the broader functional areas and their measuring indicators were redesigned during the consultation with PURNIMA team.

In order to narrow down the gap on service delivery mechanism, PURNIMA aimed institutional assessments of selected LGs to identify the existing institutional capacity gaps and to address the capacity development needs.

## **1.2 Rationale of the Assignment**

Institutional capacity assessment is a process to identify the strengths and weakness of the institutions and develop the possible strategies to enhance the quality of institutional output. In order to strengthen the institutional capacity of LGs, government of Nepal is continually reforming the policies, and promulgating the laws. After completion of the local election, government priority is to strengthen local governments capacity in formulating inclusive plan and budget, establishing coordination and collaboration with federal and provincial governments, and delivering local services in effective manner. However, half of the tenure for working period of the local governments have already been elapsed. During this period, most of the actions of local governments are muddled mainly to administer the governance system on working procedures, formulation of long-term vision and strategies, planning budgeting and implementation, administration management and organisation development, human resource management, service delivery functions, judiciary functions, physical infrastructure development, social inclusion and gender equalities, revenue administration, internal and external coordination, environment conservation and disaster management, cooperation and coordination, and knowledge management.

Additionally, criticisms remain to successful accomplishment of the functions due to various reasons. First, many LGs they do not have adequate policies and legal bases that has created dependency trap on federal and provincial governments. Second, effective administration of assigned revenue sources requires an appropriate institutional set up with necessary laws and guidelines, and skilled human resources. Third, insufficient clarity on constitutional mandated functions, local governments are disapprovingly criticised at the citizen level. The limited transparency and accountability, and insufficient coordination between the state and citizen have contributed to destabilise service delivery. Despite of this situation, the local governments are continually involving in constitutional mandate as well as implementation of many other legislative functions. Capacity is intrinsic to LGs, which qualifies LGs to create enabling environment for citizen engagement in LGs decision making and service delivery mechanism.

On this background, the present study attempts to assess the institutional capacity including service delivery approaches, strategies and methodologies, which is strongly connoted with capacity matters. In addition, the study attempted the to analyse the major gaps of *Khaniyabas* Rural Municipality. As LISA is considered a strategic instrument to analyse the existing capacity and draw out the possible areas of intervention to make them capable for performing their assigned roles and responsibilities in a timely and efficient manner along with the action plan. Similarly, this study has provided the possible best alternatives to empower the institutional capacity of local government for effective service delivery.

The completed local governments institutional assessment assignment directly feed in the outcome - 1 concurrently responding other three outputs as well.

### **1.3 Objective of the Assignment**

The overall objective of the study was to support the local governments mainly *Khaniyabas* Rural Municipality to assess the institutional capacity; and identify the gaps, challenges, risks, possible solutions, and emerging options through application of LISA and complementing tool INSA. Both tools, which were prescribed by the Purnima as an effective instrument to assess the existing capacity of institutions, their strength, confidence, and performance system has been specifically linked in the objective. These tools further support to analyse the institutions whereby the various dimensions of institutional capacity are assessed and evaluated within the boarder organisational context. The specific objectives of the assignment were as following:

- (a) Capacity needs self-assessment of local government,
- (b) Assess the organisational and institutional capacity, including individual capacities of elected representatives & staffs,
- (c) Understanding the gaps and challenges in governance for more focused intervention, and
- (d) Prepare strategic action plan to address the gaps and challenges.

### **1.4 Scope of the Work on Assignment**

The Constitution of Nepal has given legislative, executive and judicial authorities to all tiers of governments that consider local governments are closest unit of citizen. To deliver the effective services to the citizen, it is important to make them capable in performing their responsibilities, analyse their capacity as in a timely manner. The present assessment report related to strengths and weaknesses of rural municipality will help Purnima to prepare support strategies for LGs. Out of 5 outputs of PURNIMA, output 1 intends to conduct a LISA for its partner rural municipalities. Also,

the result of self-assessment of local governments will be supportive for planning, setting the development priorities across sectors, measuring their effectiveness of service delivery, and advocate for governance improvement.

During the assessment period, LISA tool realised a high effective instrument to identify the problems including activities and considered to prepare the action plan for further intervention including planning and evaluating of capacity development programmes. Similarly, this tool considered to generate the information on the effectiveness and efficiency of training programmes, policies/measures, planning and implementing methods, and leads to practical insights in how to improve performance in a strategic manner. The scope of work was divided into four segments such as: capacity needs self-assessment, understanding the gaps and challenges in governance, learning, and implications.

During the study period, several formats were prepared and administered to conduct the LISA. For example, complementing indicators of INSA, and individual capacity need survey format, SWOT analysis, direct observation through field visit, and focus group discussion were also designed and employed with concerned stakeholders. The following scope was considered during the collection of information and analyse the data.

**(a) Orientation to RM representatives, staffs and related stakeholders**

The activity was begun with the overall orientation of the local governance system, the LISA and INCA tool's objective, scope and indicators, its implications on the required performance and capacity development needs for effective service delivery and running democratic governance at local level.

**(b) Capacity Needs Self-Assessment**

The activity was completed through key informant interview. A structured questionnaire with closed and open - ended were used to assess the capacity of elected representatives, and staff. The questions were related to their roles and responsibilities, the problems and challenges they felt and area of input they need for the improvement of their performance.

**(c) Understanding the Gaps and Challenges in Governance**

The assessment process including observation of field, focus group discussion with user committee's chairs and major position holders, school teachers, civil society members investigated the effective implementation of the existing laws, guiding principles, plan and policies, rules and regulations, strategies and working procedures and several provisions which were brought out in the last two years since elected local governments representatives started to work. The study also revealed the degree of effectiveness in the functions of rural municipalities, village assembly, user-committees and citizen.

**(d) Learning**

Lessons from the assignment was captured and documented in a report and shared with Purnima supported GPs. Analysis was done on about the capability of the elected representatives and civil servants regarding their jobs, effectiveness of current working modality, the current challenges, risks, threats, along with strengths and opportunities.

The self-assessment also investigated about the desire for change, and sought alternative options, solutions and challenges in rural municipalities, particularly local governance reform.

**(e) Implications**

The expectation of the study will help the rural municipalities as they move forward and to help Purnima design future interventions, as well as provide a baseline for evaluation of the Output Area.

**1.5 Limitation of the Assignment**

The institutional self-assessment of local government is a part of Output 1 of five first phase and five second phase *Gaunpalikas* of PURNIMA project. In this system, locally appropriate indicators with participatory methodologies of workshops, KII, and SWOT analysis and orientation were administered. During the assessment process, a complete indicator designed by Morag for local governments, Local Government Institutional Self-Assessment (LISA) was used to assess institutional strength and weaknesses, and to take necessary measures to improve the institutional capacity for effective service delivery.

## CHAPTER - 2: APPROACH AND METHODOLOGY

### 2.1 Approach

The LISA is expected to help local governments to understand overall responsibilities and realize their own performance and additional capacity needs and also provide feedback to federal and provincial governments identifying capacity gaps and opportunities of local governments. To the local governments, Local Government Institutional Self- Assessment (LISA) was administered as prime assessment tool, which measured the influencing factors of local both internal and external environment. In order to strengthen the reformed local governance system and improve the efficiency of service delivery of local governments, the Ministry of Federal Affairs and General Administration (MOFAGA) has developed a tool Local Government Institutional Self-Assessment (LISA) with operating guideline. Additionally, Morag completed the piloting of LISA in several local government units as self-assessment tool, which enabled the local governments to systematically map their capabilities and identify gaps. The LISA was used at the local governments to identify areas where they must improve their institutional capacity so that development projects can implement effectively, and services would be more the citizen concern.

The LISA technique was applied as key institutional assessment tool in which the assessment process was completed through, participatory workshop method. The data were collected based on (a) *overall situation*, (b) *process situation*, and (c) *quantitative situation*. Each sector consists of number of indicators. For making self- assessment simple and users' friendly, indicators were made specific, measurable, attainable and relevant under 10 thematic areas and 100 indicators and their conditions (from worst to best) for self-assessment of local governments. The ten thematic sectors are given below.

- |                                       |                            |   |
|---------------------------------------|----------------------------|---|
| 1. Governance Process                 | 5. Service Delivery        | 9. Environment Conservation and Disaster Management |
| 2. Administration and Organization    | 6. Judiciary               | 10. Cooperation and Coordination                    |
| 3. Annual Budget and Plan Formulation | 7. Physical Infrastructure |   |
| 4. Fiscal and Financial Management    | 8. Social Inclusion        |   |

Additionally, the INSA indicators were used as complementary of the LISA, whereby the left agendas and practices of the local governments at the latter of LISA design period were covered by the additional indicators. To assess the capacity of the local government in a comprehensive way 10 thematic areas 50 indicators and 4 conditions (from worst to best) under INSA tool were integrated into the LISA. The thematic areas are given below

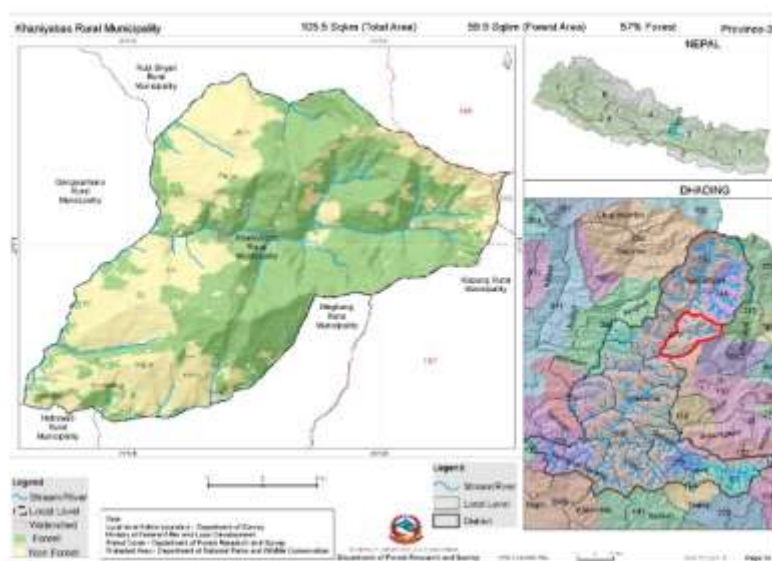
- |   |  |
|---|--|
| (1) Clarity on working procedures, long term vision, mission and planning | (6) Financial administration           |
| (2) Organization and development  | (7) Management of service delivery     |
| (3) Human resource management   | (8) Internal and external coordination |
| (4) Planning process  | (9) Public accountability mechanism    |
| (5) Revenue administration  | (10) Knowledge management              |

Later, both indicators were integrated, and conditions were identified for self-assessment purpose as per the suggestions received from PURNIMA management team. Both LISA and INSA have strong capacity to assess institutional strength and weaknesses, and to take necessary measures to improve the institutional capacity for effective service delivery. As for the complete assessment, the expert team with consensus of PURNIMA identified 12 thematic areas and 150 indicators and their conditions (from worst to best) as follows.

- |                                       |   |
|---------------------------------------|---|
| 1. Governance Process                 | 7. Physical Infrastructure                          |
| 2. Administration and Organization    | 8. Social Inclusion                                 |
| 3. Annual Budget and Plan Formulation | 9. Environment Conservation and Disaster Management |
| 4. Fiscal and Financial Management    | 10. Cooperation and Coordination                    |
| 5. Service Delivery                   | 11. Public Accountability Mechanism                 |
| 6. Judiciary                          | 12. Knowledge Management                            |

## 2.2 Study Area

To assess the capacity of the local governments under LISA tool, Khaniyabas Rural Municipality (hereafter "RM") of the Dhading district was chosen as programme coverage of PURNIMA project.



Khaniyabas Rural Municipality was incorporated in 2017 as a local government of Nepal. The RM's headquarter is located in Darkha, Dhading. The RM was formed by merging then 3 VDCs namely Darkha, Jharlang, and Satyadevi. It has now distributed into five wards.

Khaniyabas is surrounded by Nuwakot and Rashuwa district in east, Ganga Jamuna Rural Municipality and Ruby Valley Rural Municipality in west, Ruby Valley Rural Municipality in North and Netrawati Rural Municipality of Nuwakot District in south. It covers the areas of 120.8 square kilometre which occupies the 5.52% of total area of the district. The total population of the rural municipality is 13,922 out of which 6755 are female and 7,167 are male according to household survey 2075. It has a literacy rate of 59.22%. (Source: Khaniyabas Rural Municipality Website)

This majority of people living in this village are from the Taming Community and other various ethnic groups. The mountainous landscape, delightful opened sight seen, and many other beautiful places, including natural surroundings and biological diversity, historical areas which is more potential to touristic area.

Khaniyabas Rural Municipality, Dhading provides different government services which are classified into six groups such as social sectoral service (health, education (basic and secondary), vital event registration (birth, death, marriage, migration and divorce), women children and disability related services, drinking water and sanitation, social security distribution, youth and sports), infrastructure development service (road, bridge, transportation, building, irrigation, river training, settlement development, communication and information technology, and etc), forestry environment and disaster management, economic development service (agriculture, livestock, tourism promotion, tax imposition and collection, and etc), good governance and international management and different recommendatory services. Implementation of the Assignment and Building Consensus

To build common understanding between the Purnima and consultant team completed several rounds meetings, and concluded thematic areas, indicators, process of assessment and expected results. Also, tried to establish the coordination with rural municipality to carry out the LISA process. In addition, conditional approval was taken with Morag/PLGSP to have access on online system on LISA software. So far, Khaniyabas Rural Municipality made a formal request with PLGSP for accessing of users' ID, and password to enter the essential document through online.

### **2.3 Data Collection**

From 26<sup>th</sup>- 30<sup>th</sup> January 2020, a formal assessment process was conducted at *Khaniyabas* rural municipality. The respondents of the assessment process were heads of various sections, and units of the rural municipalities including Chair, Deputy Chair, Chief Administrative Officer, Section Chiefs and available executive Board Members, Planning Officers, Women Development Officers, Disaster and Climate Change focal persons, and section heads of other relevant sectors working inside the RM. In addition, the representatives of citizen institutions, local civil societies - (representatives from the opposition leaders, teachers, bank, police, health sectors) were also included in the focus group discussion and questionnaire administration.

### **2.4 Data Analysis and Presentation of Results**

The result of the analysis was presented through Spider Web Chart model, which shows the result in a graphical way. Through this model were compared apparently. It is useful tool to rate the functions their strengths and gaps in many axes.

### **2.5 Follow Up**

Post completion of the assessment, a tangible action plan was prepared with activities, methods of application, budget, responsibility, timeline, and monitoring mechanism. An understanding was made with rural municipalities mainly chair, deputy chair, CAO, and other responsible section head including executive board members about the follow-up of the implementation status of action plan. Both rural municipality and Purnima project team will take lead role for follow up of the action plan.



## CHAPTER - 3: RESULTS AND FINDINGS

### 3. Background of the Assessment

During the assessment process, 12 major thematic areas such as governance process, administration and organization, annual budget and plan formulation, fiscal and financial management, service delivery, judiciary, physical infrastructure, social inclusion, environment conservation and disaster management, cooperation and coordination, public accountability mechanism, and knowledge management; 150 indicators and their conditions (from worst to best) were identified through LISA and INSA's few other additional indicators.

The assessment process initiated with a small formal opening session. Ms. Yo Maya Tamang, Deputy Chair of the RM in her welcome remarks, highlighted that the assessment process would be helpful to identify the situation and gaps of RM the point out the direction to move ahead. She appreciated the support of PURNIMA for the whole process. Mr. Rana Bahadur Tamang, Chair of RM requested all the participants for their full involvement in the assessment process with the view of its importance.

It was followed by an orientation which focused on the concept and purpose of self-assessment and process. The explanation on the basis of indicators, process of analysing the situation of municipality in each indicator, scoring system of indicators and developing actions to overcome the situation and further improvement of municipality were the major highlights of orientation. At the end, the five days' schedule to materialise the process and collect the information and analysis was shared. The completed complete schedule and content is given in Annex 2.

#### 3.1 Outcomes of the Focus Group Discussions

The facilitation team was mobilised to conduct the focus group discussions. The roles and responsibilities of board member, functions of sectoral committee, decision making process for council and board meeting, information dissemination process, inclusive planning process were the key issues of discussion. The discussion points were mainly derived from 12 thematic areas of the integrated LISA and INSA. Accordingly, several indicators were asked as questionnaire during the discussion sessions. The outcomes of the discussion are given below.

**Table No 1: Outcomes of the Focus Group Discussion**

<b>Participants of the Discussion</b>	<b>Outcomes of the Discussions</b>
a) Chairperson, Deputy chairpersons, and CAO	<ul style="list-style-type: none"><li>• All mandatory committees prescribed by act were formed</li><li>• Thematic committees were formed however, these remained less functional</li><li>• 23 Acts, regulations, and guideline prepared. But only few of them are published in local gazette and website.</li><li>• Sections and units were functional with limited staff. But the account section remained vacant which created problem in implementation of project and service delivery.</li><li>• The initial process O&amp;M survey is conducted but yet to get the final report.</li><li>• A clear job description is not in place but adapted the staff reward system.</li><li>• Annual plan and budget prepared and approved within timeline.</li><li>• Settlement level plan selection and prioritization of plans and projects at ward level conducted very well however, the practice of sectoral level planning is not adapted</li></ul>

Participants of the Discussion	Outcomes of the Discussions
	<ul style="list-style-type: none"> <li>• Implementation action plan of and annual procurement plan is not prepared.</li> <li>• Public procurement guideline is yet to prepare.</li> <li>• The internal revenue is very low. The RM yet to initiate efforts to increase the internal resources.</li> <li>• Judicial committee is functioning well, however, basic infrastructure and capacity development to create mediation centre and basic training to the community mediators are required.</li> <li>• Most of the resources of the RM was allocated to the physical infrastructure. Road projects mainly ward connection was high priority.</li> <li>• RM did not have separate inclusion policy; however, RM focused on main priority to national policies and commitments related to inclusive development.</li> <li>• Capacity Development plan is yet to be prepared</li> </ul>
b) Ward Chairs	<ul style="list-style-type: none"> <li>• Besides the role of ward chairman, they have role on sectoral committee however, the role in sectoral committee is not much clear and also the committees are not functional.</li> <li>• Workload as ward chairperson has much heavier and have challenges while recommendation and approval at the time of providing service to the citizen but distribution of works among the other ward members are rarely practiced.</li> <li>• Also, the alternative management in their absence is not in practice.</li> <li>• Have good practice in settlement level planning process where they practice the prioritisation from the settlement level</li> <li>• The plans collected from settlement are again prioritise at ward level</li> <li>• Community mediation is not much effective as most of the people prefer to go to police station or sometime ward chair had to deal with the conflict or dispute matters.</li> </ul>
c) Sections and units	<ul style="list-style-type: none"> <li>• Service delivery functions are going well despite of the limited number of staff.</li> <li>• Some service delivery, final payment and implementation plans, and projects delay due to staff instability of account section.</li> <li>• Plan and projects are formulated based on demand.</li> <li>• Coordination among the sections and elected representatives found sound enough</li> <li>• Capacity development plan for staff is not in place. Budget is allocated for staff training but not much activities initiated.</li> </ul>
d) Civil society groups (Youth groups, user's committee, women groups of wards 3 and 2)	<ul style="list-style-type: none"> <li>• Different community groups are involved in planning process at the settlement level.</li> <li>• Women from Dalit and marginalised groups felt that their voices are not heard or addressed at plan and project selection process.</li> <li>• Not much aware on the decisions and plans approved by RM</li> <li>• The communities are involved in user's committee which is mostly chaired by men.</li> <li>• Vital registration process, is bit efficient but some face hurdle in compiling the required documents</li> <li>• RM should tap the potentiality of tourism, home stay, commercialisation of agricultural and livestock farming - soil testing, regular technical consultation on agricultural and livestock farming.</li> </ul>

### 3.2 Strength, Areas of Improvements, Opportunity and Threat Analysis

SWOT analysis each thematic area was conducted before the analysis based on the indicators helped the participants to deeply reflect the past and think of the future.

It was taken as the effective tool to review the situation of RM. While going through the discussion many accomplishments of the RM flashed as the strength which encouraged and motivated. The participants realised that most of those positive parts were shadowed by the problems and hurdles.

The process involved the participants to discuss minutely on the areas for improvement, threats and challenges with vigorous discussion among the group.

Regular assembly and executive board meeting, approval of different policy by assembly and executive board, deputation of staff according to the section among the limited staff, adaption of digital system is in account, revenue and store section, staff reward mechanism, O and M survey, preparation of draft periodic plan, establishment of birthing centre with 24 hour services, access to road, electrification and drinking water in all wards, well coordination and relationships between elected representatives, staff, and external stakeholders, management of noddle officer were the major strength put ahead by the group.

Similarly, yet to conduct winter assembly, conduction of cabinet and executive meeting as prescribed by the law, prepare citizen charter, make the sectoral committee more functional and active, publish local policy, acts, by-laws and regulations in local gazette, conducting regular staff meeting, follow the planning process strictly, allocation of budget in all sectors in priority base, establish regular relationship with province and federal government, establish good knowledge management system were some of the major points explored in the area for improvement.

Likewise, action-oriented institution and staff members, promotion of tourism, local art and culture, adequate natural resources, potential for tourism, community support, coordination with province and federal government, urban rural linkage, experience of youth returned from foreign employment were some of the major points on opportunity.

Geographic problem for easier and assessable transportation, coordination with forestry office as most of the parts are covered by forest, difficult to hire competent staff, third party pressure, mutual dispute due to lack of awareness were some of the major threats discussed by the group.

The following table illustrates the details of the SWOT analysis

### 3.3 Strength, Areas of Improvements, Opportunity and Threat Analysis Results

**Table No 2: Result of the SWOT Analysis**

Thematic sectors	Strengths	Weakness/ Areas for improvement	Opportunities	Threats
Governance Process	<ul style="list-style-type: none"> <li>• Regular meeting of assembly and executive board</li> <li>• Prepared meeting operation guideline</li> <li>• Sectoral and judiciary committees are formed.</li> <li>• The authorities to chief executive officer and section staff timely provided</li> <li>• Various laws, Acts, by-laws and guidelines are prepared and functioning well</li> <li>• Job description of staff are prepared.</li> <li>• Digital system is applied in account, revenue and store section</li> </ul>	<ul style="list-style-type: none"> <li>• Yet to conduct winter assembly</li> <li>• The cabinet and executive meeting should conduct as prescribed by the law (agendas and the decisions of the meeting should be circulated to the members).</li> <li>• Citizen charter is yet to prepare</li> <li>• The sectoral committee should be more functional and active</li> <li>• The policy, Acts, by-laws and regulations should be published in local gazette</li> <li>• Yearly implementation action plan and procurement plan should be prepared</li> <li>• Capacity development plan for elected members and staff should be prepared and implemented to improve the performance</li> <li>• Sectoral vision, policy and plan should be prepared.</li> <li>• Strategic management plan need to be prepared</li> </ul>	<ul style="list-style-type: none"> <li>• Prepare specific plans</li> <li>• legislative, executive and judiciary process well initiated</li> <li>• Opportunity to develop the institutional capacity</li> <li>• Able to implement the existed laws (Acts, by-laws and guidelines) are already approved and implemented after publishing in local gazette</li> </ul>	<ul style="list-style-type: none"> <li>• Inadequate human resource capacity</li> <li>• Geographic problem</li> <li>• Coordination with forestry office as most of the parts are covered by forest</li> </ul>
Administration and Organization	<ul style="list-style-type: none"> <li>• Award system for staff is introduced</li> <li>• Capacity development trainings organised for staff and elected members</li> <li>• O and M survey conducted</li> <li>• All section has at least one staff</li> <li>• Drafted staff job description</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity training should be on need based</li> <li>• Regular meeting with different sections</li> <li>• Regular staff meeting</li> </ul>	<ul style="list-style-type: none"> <li>• Action oriented institution and staff members</li> <li>• Rooms for additional human resources</li> <li>• Opportunities for experts</li> </ul>	<ul style="list-style-type: none"> <li>• Difficult to hire competent staff</li> <li>• Full compliance in plan implementation</li> </ul>

Thematic sectors	Strengths	Weakness/ Areas for improvement	Opportunities	Threats
Annual Budget and Plan Formulation	<ul style="list-style-type: none"> <li>Plans collected from the settlements approved by the assembly</li> <li>Plans and budget formulated on the base of gender and social inclusion</li> <li>In-depth discussion of sector committee in plan formulation</li> <li>Review of previous year plan and budget and the strength are continued</li> </ul>	<ul style="list-style-type: none"> <li>Participatory (7-step) planning process is not adapted thoroughly</li> <li>No timely and proper communication and coordination with stakeholders during planning process</li> <li>Sectoral committee should be more active and functional for the management of sectoral plans</li> <li>Regular supervision and monitoring of implemented plans</li> <li>Orientation and trainings to user's committee</li> </ul>	<ul style="list-style-type: none"> <li>Community support</li> <li>Enabling environment for specific works</li> <li>Enable to generate income by natural resources</li> </ul>	<ul style="list-style-type: none"> <li>Land management</li> <li>Geographical difficulties</li> <li>Natural calamities prone zone</li> </ul>
Fiscal and Financial Management	<ul style="list-style-type: none"> <li>Mobilisation of natural resources</li> <li>Coordination with donors</li> <li>Revenue collected at ward level</li> <li>Established bank's branch in operation</li> </ul>	<ul style="list-style-type: none"> <li>Each ward office should be accessible to internet</li> <li>Strictly follow the rule and regulations</li> <li>Staff retainment especially in account section</li> <li>Weak revenue mobilization</li> </ul>	<ul style="list-style-type: none"> <li>Promotion of tourism, local art and culture</li> <li>Mobilisation of local and natural resources</li> </ul>	<ul style="list-style-type: none"> <li>Managing disaster risks sustainably</li> <li>Environment effect in the use of natural resources</li> </ul>
Service Delivery	<ul style="list-style-type: none"> <li>Applied computer software in account system, revenue collection and store management</li> <li>Land availability for municipality office building</li> <li>Well functional ward offices with all service delivery</li> <li>Services delivered despite of limited staff</li> <li>Enhances services in agriculture and livestock</li> <li>Birthing centre established with 24-hour services</li> </ul>	<ul style="list-style-type: none"> <li>No health centre in ward no 2 and 3</li> <li>Guidelines are not prepared to all service-related functions</li> <li>No demand to recruit staff in vacant position to PSC</li> <li>Organise training to elected members and staff based on the needs</li> <li>Establish hospital with basic facilities</li> <li>Exposure visits</li> <li>Solid waste management</li> <li></li> </ul>	<ul style="list-style-type: none"> <li>Adequate natural resources</li> <li>Potential for tourism development</li> <li>Prepare and implement policy and guideline for good governance and transparency</li> <li>Potential for local economy</li> </ul>	<ul style="list-style-type: none"> <li>Development of transportation and services centres</li> <li>Secure environment for staff</li> <li>Lack of policy and plan</li> </ul>

Thematic sectors	Strengths	Weakness/ Areas for improvement	Opportunities	Threats
	<ul style="list-style-type: none"> <li>Regular check-up and medicine distribution services</li> <li>Complete vaccinated and ODF rural municipality</li> <li>Access to internet services in each section of palika and installed service of CC TV camera.</li> <li>Activities of education sector implemented based on the prepared guideline</li> </ul>			
Judiciary	<ul style="list-style-type: none"> <li>Judiciary committee formed and well functioned</li> <li>Community mediators selected</li> <li>Some conflict solved by mediators</li> <li>The agreement between disputing parties well documented</li> </ul>	<ul style="list-style-type: none"> <li>Regular meeting of judiciary committee</li> <li>Community mediation centres yet to be established in wards</li> <li>Name of Community mediators should be published</li> <li>Separate register should maintain for community mediation.</li> </ul>	<ul style="list-style-type: none"> <li>Potential to solve community level and household level disputes</li> </ul>	<ul style="list-style-type: none"> <li>Solve the dispute without biased</li> <li>Third party pressure</li> <li>Minimization of local liquors</li> <li>Increased mutual dispute due to lack of awareness</li> </ul>
Physical Infrastructure	<ul style="list-style-type: none"> <li>Formation of infrastructure committee</li> <li>Access to road, electrification and drinking water in all wards</li> <li>Initiation the construction of office building and meeting hall</li> <li>Plans from settlement and wards approved</li> </ul>	<ul style="list-style-type: none"> <li>Activate infrastructure committee</li> <li>Orientation and training to user's committee</li> <li>Maintain transparency in plan and project implementation</li> <li>Conduct IEE and EIA and plan for sustainability</li> <li>Huge budget is allocated for road access</li> <li>Prepare policy for child friendly and disable friendly infrastructure.</li> </ul>	<ul style="list-style-type: none"> <li>Budget allocation at centre and province level</li> <li>Implement infrastructure plan from own source budget</li> <li>Potential to increase internal revenue</li> <li>Potential in promotion of tourism</li> </ul>	<ul style="list-style-type: none"> <li>Haphazard infrastructure tends create problem in environment</li> <li>Duplication of budget due to lack of proper sustainable plan</li> </ul>
Social Inclusion	<ul style="list-style-type: none"> <li>Formation of executive committee and guideline</li> </ul>	<ul style="list-style-type: none"> <li>Limited activities to aware people against social mal practices such as early marriage</li> </ul>	<ul style="list-style-type: none"> <li>Decrease in superstition</li> <li>Enable inclusive law and policy</li> </ul>	<ul style="list-style-type: none"> <li>Social Norms are difficult to regulate</li> </ul>

Thematic sectors	Strengths	Weakness/ Areas for improvement	Opportunities	Threats
	<ul style="list-style-type: none"> <li>• Decrease in gender and caste discrimination</li> <li>• Approved the farmers targeted plans and activities</li> <li>• Approved the plans and activities targeted for senior citizen, unemployed, Dalit and differently abled people and children</li> </ul>	<ul style="list-style-type: none"> <li>• Increase the capacity vital position of women and Dalits in users' group</li> <li>• Cases of domestic violence increased</li> </ul>		<ul style="list-style-type: none"> <li>• Minimisation of early marriage</li> <li>•</li> </ul>
Environment Conservation and Disaster Management	<ul style="list-style-type: none"> <li>• Guideline on disaster management prepared</li> <li>• Disaster management fund established and functional</li> <li>• Formation of disaster management committee</li> <li>• Galvin net distributed for the prevention of landslide</li> <li>• Risk zone mapping conducted</li> </ul>	<ul style="list-style-type: none"> <li>• Guideline yet to publish in local gazette.</li> <li>• Regular meeting of sectoral committee</li> <li>• Formation of sectoral policy and plans</li> <li>• Prepare DRR based on Risk zone mapping</li> <li>• Formation of task force and capacitated</li> </ul>	<ul style="list-style-type: none"> <li>• The potential for commercial herb farming,</li> <li>• Easy availability of natural resources</li> <li>• Potential for commercial livestock farming and agro based production</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Disaster prone location – land slide and floods</li> <li>• Use of heavy machinery and equipment due to unavailability of sufficient labour force</li> <li>•</li> </ul>
Cooperation and Coordination	<ul style="list-style-type: none"> <li>• Well coordination and relationships between elected representatives, staff, and external stakeholders,</li> <li>• Well coordination between Federation, Province and local governments</li> <li>• Well coordination with NGOs and CBOs</li> <li>• Good cooperation with private sector in tax related activities</li> </ul>	<ul style="list-style-type: none"> <li>• inability to prepare of coordination guideline</li> <li>• No inter local governmental relationship was developed</li> <li>• No formal relationships established with province</li> </ul>	<ul style="list-style-type: none"> <li>• Involvement in the development of NGOs.</li> <li>• Intergovernmental collaboration in development delivery</li> </ul>	<ul style="list-style-type: none"> <li>• Local political dispute and violence and vandalism exist</li> </ul>

Thematic sectors	Strengths	Weakness/ Areas for improvement	Opportunities	Threats
Public accountability mechanism	<ul style="list-style-type: none"> <li>• Management of noddle officer</li> <li>• Conduct public hearing</li> <li>• Mandatory of public audit in all projects</li> <li>• Formation of monitoring committee</li> <li>• Participatory planning process</li> <li>• Budget guidelines, annual planning and budget document and some other information, published in website</li> </ul>	<ul style="list-style-type: none"> <li>• Management of grievance box</li> <li>• Management of citizen's charter</li> <li>• Regular public hearing</li> <li>• Publish local law and guidelines in local gadget</li> <li>• Management of information board</li> </ul>	<ul style="list-style-type: none"> <li>• Potential to increase transparency and ownership</li> <li>• Partnership in development</li> </ul>	
Knowledge management	<ul style="list-style-type: none"> <li>• Website is functional</li> <li>• Annual plan and budget published in local gazette</li> <li>• Some of guideline published in website</li> <li>• Prepared WASH master plan published</li> <li>• Preparation of profile</li> </ul>	<ul style="list-style-type: none"> <li>• Exited guidelines should be published in local gadget and website</li> <li>• Well documentation of information centre</li> <li>• Management of server</li> <li>• Digital documentation system</li> </ul>		



### **3.4 Organisational and Institutional Capacity Assessment**

In addition to the SWOT analysis, several rounds Key Informant Interviews and discussions were held with chairperson, deputy chairperson, executive members, ward chairpersons, women members, *Dalit* members. Besides individual capacity assessment was conducted. The following observations were drawn.

#### **3.4.1. Institutional Capacity Assessment**

- It should have clear on organizational / individual objective,
- It needs to improve internal communication system,
- It is necessary to make more inclusive participation of women, Dalit and marginalized people during the planning process at settlement level,
- Updated citizen charter should be in place,
- Internal revenue should be increased with the strict follow up of RIAP,
- Annual planning needs to be connected with the periodic plan and preparation of MTEF should be in practice,
- Need to formulate the building code bylaws
- It required local government roles and responsibilities-based orientation to the executive board and all assembly members,
- An intensive training is needed on annual planning process, budgeting, program implementation, monitoring and evaluation to all representatives and staff.
- Strengthen documentation, knowledge sharing and information dissemination process
- Quality assurance training on physical infrastructure to technical staff and political representatives is required.
- Awareness raising training to marginal communities on public service delivery is required.
- Effective project monitoring system and project quality assurance are highly required
- Identify the economic opportunity and give priority in the local economic development.
- Develop a concrete plan for educational development

#### **3.4.2. Individual Capacity Assessment**

- Separate unit for judiciary function management
- Monthly staff meeting to support in solving administrative problems to achieve the performance
- Encouragement and motivation mechanism base on the performance of staff
- Installation of updated software on building design, road and water supply design
- Training and orientation to create common understanding of policy, act, regulations and guidelines among the elected members and staff.
- Regular meeting between elected members and staff to create an enabling environment for work efficiency and improved service delivery
- On the job training to all staff the respective section.
- Exposure and study visits

### **3.5 Civil Society Perspective**

The involvement of Civil society representatives (representatives from the opposition leaders, teachers, bank, police, health sectors) in the whole process of assessment stimulate the discussion to the depth and dig out the real situation.

Unlike in other local levels, the civil society representatives were participated in the whole process together with the RM team. It was the good opportunity for them also to realise the work of RM in a close manner and put their feedbacks and suggestions as the area for improvement. Also, it created a good relationship and cooperation among the local level and civil society.

The commitment and taking the responsibility of editing and revising the policy and guideline by one of the teachers could be taken as an initiating example.

### **3.6 Reflection from the Field**

During the consultation period of the LISA assessment, the consultant team observed the service delivery system, functions, and other mechanism of rural municipality. Based on the observation, the following points were extracted.

#### **Active participation of chairperson, Deputy Chairperson and other elected officials**

Despite busy schedule, chairperson, deputy chairperson and ward chairs were attended the in the whole process.

#### **Mandatory Acts, Policies and Rules, Guidelines were in operation**

Mandatory Acts, policies and rules, guidelines have been primary focus of the elected officials because of its compulsory nature to carry out day to day activities. However, the strategic focus to institutionalise the governance is overlooked.

#### **Poor Data Management System**

Database management system of RM found very weak and it was suggested to strengthen shortly.

### **3.7 Results of the Assessment**

#### **3.7.1 LISA Assessment Result**

The LISA technique was applied as a key institutional assessment tool at the rural municipality. A participatory workshop was conducted in day -3 whereby the facilitators of the consultant team facilitated to elaborate the thematic sectors, indicators and conditions of the indicators. Each sector consists of number of indicators. For making self- assessment simple and users' friendly, indicators were made specific, measurable, attainable and relevant under 10 thematic areas and 100 indicators and their conditions (from worst to best) for self-assessment of local governments. Initially, the participants put their arguments in different conditions, later they built consensus in common condition of each indicators. Through this process all indicators were answered in a participatory manner. The data were collected based on (a) *overall situation*, (b) *process situation*, and (c) *quantitative situation*. The obtained score in the LISA assessment in different ten thematic sectors are given below.

**Table No 3: Result of LISA Assessment**

S. No.	Thematic Areas	Full Score	Obtained Score	Percentage of Obtained Score	Total Gap	Percentage of the Gap	Overall result
1.	Governance Process	8	6.4	80.00	1.60	20.00	Outstanding
2.	Administration and Organisation	8	4.19	52.38	3.81	47.63	Weak
3.	Annual Budget and Plan Formulation	11	7.63	69.36	3.37	30.64	Good
4.	Fiscal and Financial Management	11	8.15	74.09	2.85	25.91	Good
5.	Service Delivery	15	7.25	48.33	7.75	51.67	Weak
6.	Judiciary	8	4.8	60.00	3.20	40.00	Good
7.	Physical Infrastructure	11	4.94	44.91	6.06	55.09	Weak
8.	Social Inclusion	10	3.75	37.50	6.25	62.50	Weak
9.	Environment Conservation and Disaster Management	11	4.4	40.00	6.60	60.00	Weak
10.	Cooperation and Coordination	7	3.44	49.14	3.56	50.86	Weak
	<b>Total</b>	<b>100</b>	<b>54.95</b>	<b>54.95</b>	<b>45.05</b>	<b>45.05</b>	<b>Weak</b>

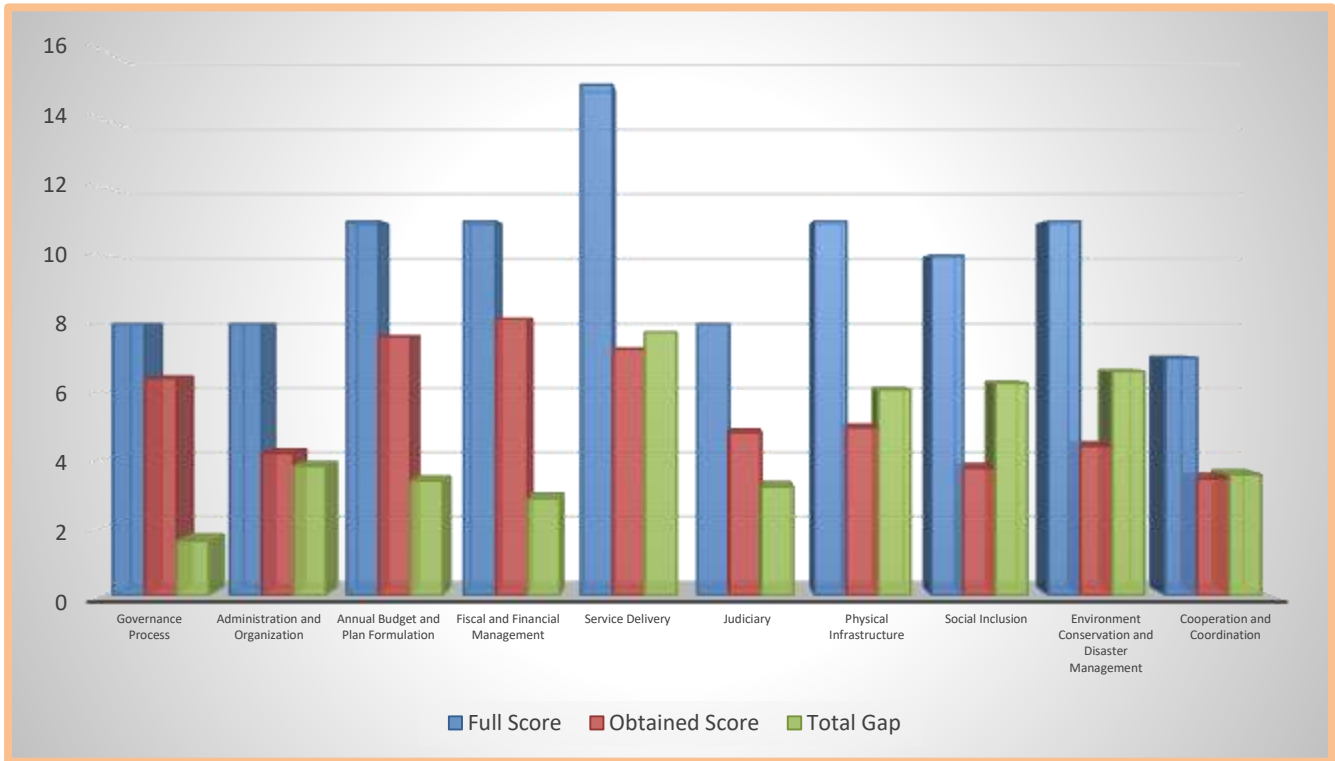
**Note: Scoring:**

*Very weak: Less than 40; Weak: 41 – 59; Good: 60 – 79; Outstanding: 80 – 100;*

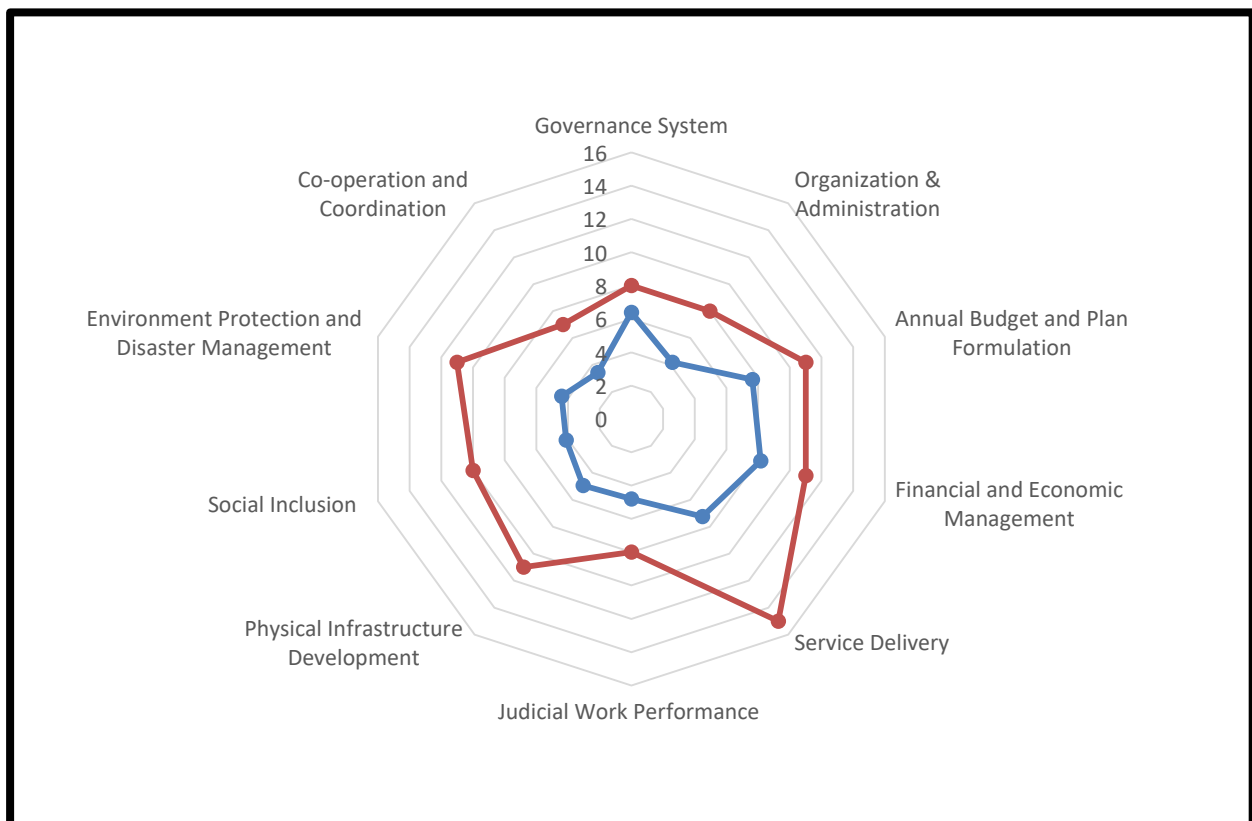
Findings of this assessment indicates that the overall performance of the LISA assessment found weak condition (at the bottom line) whereby *Khaniyabas* rural municipality secured 54.95 score out of the 100, whereby 10.56 score in the overall situation, 16.91 score in procedural situation, and 27.48 score in quantitative situation.

The percentile figure shows 54.95 percent indicators were completed by the local government, while 45.05 percent indicators were yet to address by the rural municipalities. According to the LISA Governance Process related functions were accomplished with outstanding capacity. Next, three sectoral activities such as annual budget and plan formulation, Fiscal and Financial Management, and Judiciary functions were implemented with Good capacity. Other six sectoral activities services such as Administration and Organisation, Service Delivery, Physical Infrastructure, Social Inclusion, Environment Conservation and Disaster Management, and Cooperation and Coordination services were implementing with weak capacity. In addition to the consolidate results, the individual result according to each indicator, obtained score and condition of all thematic sectors has been given below. Additionally, the value of the obtained condition is given in Annex 3.

**Map/Chart No 2: Diagram of LISA Assessment Result Based on Identified Indicators**



**Map/Chart No 3: Spider Diagram of LISA Result**



## Sector- 1: Governance System

<b>1.1 Overall Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Existing Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
1.1.1. (a) Decision making process of Assembly (LGOA-19)	Members are given special written information about discussion and decision-making issues before seven days of Assembly meeting.	Members are not informed about the topic of discussion and decisions prior to the assembly meeting	0.1	0.4
1.1.1. (b) Decision making process of Executive Board (LGOA-19)	Decisions are made on overall consensus build through open discussion process.	Majority based decisions are taken only after completion of topic wise discussion on the proposed topic	0.4	0.4
1.1.2. Local laws (rules, regulations, directives, guidelines, standers and decisions) formulated and approved by LG Assembly/executive board have been made public	Practice of making public approved local laws/acts (rules, regulations, directives, guidelines, standers and decisions) in local gazette and uploading other decision in website, notice board and other communication medias.	Practice of making public approved local laws/acts (rules, regulations, directives, guidelines, standers and decisions) only in local gazette but other decisions are made public through notice board.	0.6	0.8
		<b>Total</b>	<b>1.1</b>	<b>1.6</b>
<b>1.2 Process Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
1.2.1 Operational procedure/guidelines related to LG assembly/ Executive Board committee/sub-committee.	Guidelines/procedures are prepared for organizing meeting of committee/ sub-committee of Executive Board and are under implementation as provisioned in the LGOA.	Guidelines/procedures has been prepared for organizing meeting of committee/sub-committee of Executive Board as provisioned in the LGOA but not implemented yet.	0.4	0.7
1.2.2 Executive Board Meeting	Executive Board Meeting (call for meeting, final dates, vane, prior information about work schedule, majority count, signing in minute book, note of decent etc) has been implemented as per the set operational procedures.	Operational procedures for Executive Board Meeting (call for meeting, final dates, venue, prior information about work schedule, majority counts, signing in minute book, note of decent etc) has been set but practiced partially.	0.4	0.7
1.2.3. Internal Control System (LGOA-78.5)	A policy arrangement has been made to manage internal control system and has been implemented accordingly and also ascertained regular monitoring and feedback.	There is no policy arrangement to manage the internal control system of the LG.	0.2	0.7

1.2.4. Property details of local level elected representatives and employees	All Local level elected representatives and employees have submitted their property details as per the laws	All Local level elected representatives and employees have submitted their property details as per the laws	0.7	0.7
		<b>Total</b>	<b>1.7</b>	<b>2.8</b>
<b>1.3. Quantitative Scenario</b>				
<b>Indicators</b>	<b>Expected condition</b>	<b>Obtained condition</b>	<b>Obtained score</b>	<b>Full Marks</b>
1.3.1 Number of Executive Board meeting conducted within assessment period	At least one meeting including need-based meeting events were organized in every month.	At least one meeting including need-based meeting events were organized in every month.	1.8	1.8
1.3.2. Technology use in accounting system	Online accounting system is under implementation.	Online accounting system is under implementation.	1.8	1.8
		<b>Total</b>	<b>3.6</b>	<b>3.6</b>
	<b>Total Obtained Score of Sector- 1: Governance System</b>		<b>6.4</b>	
	<b>Full Marks of Sector- 1: Governance System</b>		<b>8.0</b>	

### Sector- 2: Organization & Administration

<b>2.1. Overall Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
2.1.1. (a) Capacity Development of Municipality /Rural Municipality ( <b>Local Governance Operation Act Clause...</b> )	CD Plan prepared and fully implemented	CD Plan not yet prepared, and no budget has been allocated for CD.	0.1	0.4
2.1.1. (b) Policy & provisions on personnel management (Act, Rule, By Laws, Guideline etc) ( <b>Local Governance Operation Act Clause 11.2.</b> )	Policy provisions on personal administration has been made and fully implemented.	No any policy arrangement made on personnel administration and staffing arrangement being made under Ad Hoc basis.	0.1	0.4
2.1.2. Reporting & Information Dissemination ( <b>Local Governance Operation Act Clause 76, 32</b> )	Report and information submitted to federal and provincial government on regular and timely basis and uploaded in the website.	Report and information have been submitted to federal and provincial government but set deadlines not met.	0.4	0.8
		<b>Total</b>	<b>0.6</b>	<b>1.6</b>
<b>2.2 Process Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>

2.2.1. Detail Terms of Reference (ToR) of Sectoral Division /Section/ Unit	ToR prepared / developed and implemented	ToR prepared / developed but not yet implemented	0.57	0.93
2.2.2. Staff contracted out in the place of outlawed permanent position (Local Gov Opt Act Clause 83's 8 and 9)	Staff recruited in contract and the Terms of Reference (ToR) clearly specifies the period, salary and other benefits.	Staff recruited in contract and the Terms of Reference (ToR) clearly specifies the period, salary and other benefits.	0.93	0.93
2.2.3. Performance Contract with staff member	Performance contract signed between Mayor /Chair and CAO, CAO and Division/ Section Head	Performance contract signed between the Mayor /Chair and CAO	0.29	0.93
		<b>Total</b>	<b>1.51</b>	<b>2.79</b>
<b>2.3. Quantitative Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
2.3.1. Investment on HR Development and CD	Above 1.5 % of recurrent capital	0.5% of recurrent capital	0.36	1.2
2.3.2. Attendance of CAO (including official work within the work area)	Present above than 75 % days.	Present 50 -75 % days as specified by Ministry	.72	1.2
2.3.3. Capacity Development Programme for LG's officials and staff member	Above 60% within the assessment period	40- 60% till the assessment period	0.72	1.2
		<b>Total</b>	<b>1.8</b>	<b>3.6</b>
	<b>Total Value of Sector- 2: Organization &amp; Administration</b>		<b>4.19</b>	
	<b>Full Marks of Sector- 2: Organization &amp; Administration</b>		<b>8.00</b>	

### Sector- 3: Budget and Plan Formulation

<b>3.1. Overall Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
3.1.1. Annual Plan, Budget and Formulation of Periodic Plan	Annual plans and budget have been closely tied up with the periodic plan	Annual Plan and budget and Periodic plan have been prepared.	0.852	1.1
3.1.2. Coordination and cooperation between concerned committees in relation to programming and budgeting. <b>Clause 65 and 66 Local Governance Operation Act</b>	All three Committees (Local Revenue Review Committee and Resource Projection and Budget Ceiling Fixing Committee are functional.	All activities are being performed jointly by Local Revenue Review Committee and Resource Projection and Budget Ceiling Fixing Committee.	0.852	1.1
		<b>Total</b>	<b>1.65</b>	<b>2.2</b>
<b>3.2 Process Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>

3.2.1. Localization of Sustainable Development Goals	Detailed Policy have been formulated for localizing SDG and implemented.	Initiations have been taken to prepare required policy toward localizing SDGs	0.578	0.963
3.2.2. Sector Budget Ceiling Prepared /determined	Priority based sector budget ceiling prepared /determined	Sector Budget Ceiling not prepared	0.289	0.963
3.2.3. Budget prepared and approved within deadline	Budget proposed within June 25 and approved within July 15 after adequate consultation.	Budget proposed within June 25 and approved within July 15 after adequate consultation.	0.963	0.963
3.2.3. NGOs got their budget approval from the assembly (Rural Municipality / Municipality Assembly) ( <b>Local Gov. Operation Act Clause 25.2</b> )	Programme and budget of NGOs have been well incorporated in LG's plan.	LG not aware of NGOs programme and budget	0.289	0.963
		Total	<b>2.119</b>	<b>3.852</b>
<b>3.3. Quantitative Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
3.3.1. Portion of internal income in annual budget	Above 20 %	Up to 10 %	0.297	0.99
3.3.2. Portion of total budget invested for below 5 Lakh worth project	Below 30 %	Below 30 %	0.99	0.99
3.3.3. Annual internal revenue increment compared to last year	Above 5 %	Above 5 %	0.99	0.99
3.3.4. Cost contribution in project implemented by User's Committee and NGOs. <b>Local Governance Opt Act 24.3. (Gha)</b>	Above 15 % Cost contribution /partnering	5-15 % (Cost contribution /partnering)	0.594	0.99
3.3.5. Allocated budget for matching fund to implement joint partnering programme /projects	More than 20 % cost sharing	More than 20 % cost sharing	0.99	0.99
			<b>3.861</b>	<b>4.95</b>
<b>Total Value of Sector- 3: Annual Budget and Plan Formulation</b>			<b>7.373</b>	
<b>Full Marks of Sector- 3: Annual Budget and Plan Formulation</b>			<b>11.00</b>	

#### Sector-4: Financial and Economic Management

<b>4.1 Overall Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>



4.1.1 Internal revenue	Study on rate and range of internal revenue carried out and the feedback/suggestion fully implemented as mentioned in the study	Study on rate and range of internal revenue carried out and suggestion partially implemented	0.825	1.10
4.1.2 Financial Discipline	Final audit pointed out less than 1% arrears of total expenditure	Final audit pointed out 3- 5% arrears of total expenditure.	0.275	1.10
		<b>Total</b>	<b>1.1</b>	<b>2.20</b>
<b>4.2 Process Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
4.2.1 Applied the classification and accounting of income and expenditure as set by government method and structure	Fully applied	Fully applied	0.96	0.96
4.2.2 Publicized income and expenditure details	Publicized on monthly basis within the deadline	Not publicized	0.58	0.96
4.2.3 Preparation of procurement Master Plan and Annual Procurement Plan as per prevailing law	Both Procurement Master Plan and annual procurement plan are prepared and under implementation	Procurement Maser Plan and annual procurement plan NOT prepared	0.29	0.96
4.2.4 Programme approval and implementation	Expenditure made as per approval of assembly	Expenditure made as per approval of assembly	0.96	0.96
		<b>Total</b>	<b>2.79</b>	<b>3.84</b>
<b>4.3. Quantitative Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
4.3.1 Budget Transfer	Budget transferred within the assigned limitation and budget head	Budget transferred within the assigned limitation and budget head	0.99	0.99
4.3.2 Administrative Expenditure	Administrative expenditure made as prescribed in the conditional grant and within the budget head of internal income and royalty and also invested in capital programme	Administrative expenditure made as prescribed in the conditional grant and within the budget head of internal income and royalty and also invested in capital programme	0.99	0.99

4.3.3 Capital Expenditure	Expenditure made more than 80% of capital budget	Expenditure made more than 80% of capital budget	0.99	0.99
4.3.4 Revenue collection	Revenue collected more than 90% of estimation	Revenue collected less than 70% of estimation	0.30	0.99
4.3.5. Expenditure authority delegation	Mayor/Chairperson delegated the expenditure authority to CAO within 7- day	Mayor/Chairperson delegated the expenditure authority to CAO within 7- day	0.99	0.99
		<b>Total</b>	<b>4.26</b>	<b>4.95</b>
	<b>Total Value of Sector- 4: Financial and Economic Management</b>		<b>8.15</b>	
	<b>Full Marks of Sector- 4: Financial and Economic Management</b>		<b>11.00</b>	

### Sector-5: Service Delivery

<b>5.1 Overall Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
5.1.1(A). Service delivery	Having necessary institutional arrangements, and implemented them, for the service delivery according to law.	Having necessary Institutional arrangements for the service delivery according to law.	0.56	0.75
5.1.1 (B). Services to be provided by ward	Service delivery is done by all wad offices as provisioned in the law.	Ward offices are established in all wards and services are being provided partially,	0.56	0.75
5.1.2. Satisfaction on service delivery	Beneficiaries are fully satisfied by service delivery.	Beneficiaries are partially satisfied	0.75	1.5
		<b>Total</b>	<b>1.87</b>	<b>3.00</b>
<b>5.2 Process Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
5.2.1. Service delivery based on technology	Technology used in every service delivery.	Very few technologies used in service delivery.	0.78	1.3
5.2.2 Criteria on Service delivery (SOP)	Criteria on service delivery prepared and implemented.	Criteria not prepared regarding service delivery provided by office.	0.39	1.3
5.2.3. Delivery through Banking system	All the official payments done through banking system and implementation of e-payment system.	All the official payments done through banking system only.	0.78	1.3
5.2.4. Alternative arrangement of services in ward	In absence of ward chairperson, alternative arrangement of services is effective in all ward offices.	In absence of ward chairperson, alternative arrangement for the services at ward level is not implemented,	0.39	1.3
		<b>Total</b>	<b>2.34</b>	<b>5.2</b>

<b>5.3. Quantitative Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
5.3.1. Grievances Settlement	Out of total, more than 80% grievances addressed by the municipality during assessment period	Out of total, less than 40% grievances addressed by the municipality during assessment period.	0.23	0.76
5.3.2. Delivery of social security allowance through bank	More than 2/3 <sup>rd</sup> out of total recipients.	Up to 1/3 <sup>rd</sup> out of total recipients	0.23	0.76
5.3.3. Birth registration within 35 days of birth	More than 90%	Less than 70%	0.23	0.76
5.3.4. Public hearing	Public hearing is done on each trimester during the assessment period.	Not yet public hearing conducted during the assessment period.	0.23	0.76
5.3.5. Innovative approach is used on service delivery	Online service approaches are implemented and mobile camp at ward level is conducted based on needs.	At least one-time mobile camp is conducted in order to make services reachable; technology-based approaches is used in some area of service delivery.	0.45	0.76
5.3.6. Access on education by all children	Student enrolment rate is more than 90% during assessment period and school dropout is reduced by more than 50%.	Student enrolment rate is more or less 80-90% during assessment period and school dropout rate is reduced by 50% in comparison to last year	0.45	0.76
5.3.7. Citizen access to health services	Human resources, equipment and medicine are delivered as per need at the Health Institutions that are established and conducted in accordance to Government law, rules and regulation. Mandatory vaccination is obtained by more than 90% of children.	Human resources, equipment and medicine are delivered as per need at the Health Institutions that are established and conducted in accordance to Government law, rules and regulation. Mandatory vaccination is obtained by more than 90% of children.	0.76	0.76
5.3.8. Veterinary and Agriculture Service	There is full flagged human resource and technical services available; meeting local demands in all established veterinary and agriculture service centres.	There is no human resource and technical service as per demand in established veterinary and agriculture service centres.	0.23	0.76

5.3.9. Promotion of local products and market.	There is policy and program for the promotion of local product and marketing with proper market management aspects.	There is no any policy and program on promotion of local product and market management.	0.23	0.76
		<b>Total</b>	<b>3.04</b>	<b>6.84</b>
		<b>Total Value of Sector- 5: Service Delivery</b>	<b>7.25</b>	
		<b>Full Marks of Sector- 5: Service Delivery</b>	<b>15.00</b>	

## Sector - 6: Judicial Work Performance

<b>6.1 Overall Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
6.1.1 Justice deliberation	Judicial committee formed, guideline prepared, and the justice deliberated according to the guideline.	Judicial committee formed and guideline prepared but not followed all provisions.	0.8	0.8
6.1.2 The satisfaction of the service recipients with the performance of judicial committee	Service recipients are completely satisfied with the work of judicial committee.	The level of service course is satisfactory.	0.6	0.8
		<b>Total</b>	<b>1.4</b>	<b>1.6</b>
<b>6.2 Process Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
6.2.1 Provision of Mediators	Judicial committee mobilizes only registered Mediators for mediation process.	Mediators are not registered.	0.56	0.933
6.2.2 Decision making process of the Judicial committee	The judicial committee has made decisions on unanimous basis.	Coordinator makes decision	0.28	0.933
6.2.3 Reporting system of Judicial committee	The report was submitted and discussed in the council meeting.	No practice of submitting the report.	0.28	0.933
		<b>Total</b>	<b>1.12</b>	<b>2.799</b>
<b>6.3. Quantitative Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
6.3.1 Settlement of Complaints.	More than 70% complaints settled during the assessment period.	50-70% complaints have been settled during the assessment period	0.72	1.2

6.3.2 Appellate on the decision of the judicial committee	Less than 10% of the total complaints settled have undergone for appellation process.	Less than 10% of the total complaints settled have undergone for appellation process.	1.2	1.2
6.3.3 Establishment of Mediation Centre	Mediation centres formed and operational in all Wards.	No mediation centres established in any Wards.	0.36	1.2
		<b>Total</b>	<b>2.28</b>	<b>3.6</b>
	<b>Total Value of Sector- 6: Judicial Work Performance</b>		<b>4.8</b>	
	<b>Full Marks of Sector- 6: Judicial Work Performance</b>		<b>8.00</b>	

### Sector - 7: Physical Infrastructure Development

<b>7.1 Overall Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
7.1.1 Physical Infrastructure (Road, Electricity, Drinking Water, Communication)	Physical status of infrastructure is good. (In case of RM/Mun)	Physical status of infrastructure is just ok.	0.55	1.1
7.1.2 Public-Private Partnership Policy (PPP) (Local Government Operation Act-074 Article 24.8)	PPP policy prepared and partnership programme implemented in entire sectors of the policy to contribute to physical infrastructure development	No any PPP prepared to contribute to physical infrastructure development	0.275	1.1
		<b>Total</b>	<b>1.1</b>	<b>2.2</b>
<b>7.2 Process Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
7.2.1 Child friendly and Disable friendly public infrastructure policy	Policy prepared and fully implemented.	Policy not prepared yet	0.289	0.963
7.2.2 Utilization and sustainable management of infrastructure	Maintenance and Repair Fund has been established in participation of beneficiaries and the fund is being utilized through approved annual plan.	No any policy and programmatic arrangements made for infrastructure repair and maintenance.	0.289	0.963
7.2.3 Environmental studies of Project	IEE/EIA of entire projects have been carried out following respective laws.	IEE/EIA of few projects has been carried following respective laws.	0.578	0.963
7.2.4 National Building Code and standards	Fully followed National Building Code and Local Building construction standards,	National Building Code and local building standards not followed	0.289	0.963

		<b>Total</b>	<b>1.445</b>	<b>3.852</b>
<b>7.3. Quantitative Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
7.3.1 Road Expansion	During the assessment period, more than 25% road expanded compared to last year	During the assessment period, 10-25% road expanded compared to last year.	0.594	0.99
7.3.2 Road Improvement	During the assessment period, more than 15% road improved compared to last year	During the assessment period, 5-15% road improved compared to last year	0.594	0.99
7.3.3 Drinking Water Service Coverage	During the assessment period, drinking Water coverage increment is 25% HHs compared to last year	During the assessment period, drinking Water coverage increment is 10-25% HHs compared to last year	0.594	0.99
7.3.4 Annual plan implementation status	Of the total approved annual projects, more than 80% physical infrastructure completed during the assessment period	Of the total approved annual projects, less than 50% physical infrastructure completed during the assessment period	0.594	0.99
7.3.5 Waste Management	Waste management policy is in place and has managed waste in an integrated manner.	Waste management policy is not prepared, and waste being collected in public places in unmanaged way.	0.297	0.99
		<b>Total</b>	<b>2.673</b>	<b>4.95</b>
	<b>Total Value of Sector- 7: Physical Infrastructure Development</b>		<b>4.943</b>	
	<b>Full Marks of Sector- 7: Physical Infrastructure Development</b>		<b>11.00</b>	

### Sector - 8: Social Inclusion

<b>8.1 Overall Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
8.1.1 (a) Social Inclusion (Women, Dalit, Janajati, Madhesi, Disabled, Muslim and minority)	The number in the constituent posts is proportional as the number set by the law; and the local level policy has been prepared and practiced ensuring proportional and inclusive representation in different committees/sub-committees working groups formed based on local	Participation only in by law prescribed elected positions; local inclusion policy not yet prepared.	0.125	0.5

	government Act 2074 and implemented accordingly.			
8.1.1 (b) Social Discrimination	The incidents of untouchability, social evils, superstitions, gender discrimination and violence are significantly reduced; and exists firm base for equitable society.	Action plan is prepared and implemented in accordance with local policy for reduction of incidents of untouchability, social evils, superstitions, gender discrimination and violence.	0.250	0.5
8.1.2 Engagement in the decision-making process	There is a meaningful participation in the decision-making process, including the proportional representation of all groups.	Numerical presence subsists as set by the law in the local level decision-making process; decisions have been made in proportionate participation of the anticipated beneficiary group.	0.75	1.0
		<b>Total</b>	<b>1.125</b>	<b>2.00</b>
<b>8.2 Process Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
8.2.1 Social Security and Social Protection	Children's rehabilitation Centre, senior citizen care centre, disables care centres has been established based on the set policies and programme and are operational with easily access to the targeted groups.	No works done towards establishment and operation of children rehabilitation centres, shelter for senior citizen and disabled care centres	0.263	0.875
8.2.2 Debates, advocacy and awareness campaigns for the End of domestic Violence,	Debates, advocacy and awareness programs related to ending domestic violence are effectively and adequately organized.	Debates, advocacy and awareness programs related to ending domestic violence are not adequate and effective.	0.525	0.875
8.2.3 Child labour, Child marriage, dowry, vaccine related works	Policies and programs are prepared for the control of child labour, child marriage, widow marriage, dowry etc and implemented.	No policies and programs for the control of child labour, child marriage, widow marriage, dowry etc.	0.263	0.875
8.2.4 Gender Responsive Budget Audit	Plan and programs prepared on the basis on GESI Audit report.	No Gender Responsive Budget Audit conducted.	0.263	0.875
		<b>Total</b>	<b>1.314</b>	<b>3.5</b>
<b>8.3. Quantitative Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>

8.3.1 Decrease in incidents of domestic violence against women (In comparison to previous year).	Decreased by more than 20%	Not decreased	0.338	1.125
8.3.2 Investments made for the programs in reducing ill traditions like child labour, child marriages, Dowry, (Budget out of conditional grant)	More than 0.5%	less than 0.2%	0.338	1.125
8.3.3 The percentage of User committees having the coordinator/Chairperson from Women/Dalit and Disable (From total user committees formed) people.	More than 30%	10%	0.338	1.125
8.3.4 Investments made for the betterment of socially and economically excluded women, children, <i>Dalits</i> , disabled people, senior citizens, minority, marginalized communities (Outside the conditional grant budget head)	More than 10%	2% to 10%	0.675	1.125
		<b>Total</b>	<b>1.689</b>	<b>4.5</b>
	<b>Total Value of Sector- 8: Social Inclusion</b>		<b>4.128</b>	
	<b>Full Marks of Sector- 8: Social Inclusion</b>		<b>10.00</b>	

### Sector - 9: Environment Protection and Disaster Management

<b>9.1 Overall Scenario</b>				
<b>Indicators</b>	<b>Expected condition</b>	<b>Obtained condition</b>	<b>Obtained score</b>	<b>Full Marks</b>
9.1.1 Environment Protection	Environment protection policy and institutional set up is in place and environment protection works are being effectively implemented accordingly.	No environment protection policy and institutional set up in place.	0.275	1.1
9.1.2 Disaster Management	Disaster management policy and institutional set up is in place and environment protection works are being effectively implemented accordingly.	No any environment protection policy and institutional set up in place.	0.275	1.1
		<b>Total</b>	<b>0.55</b>	<b>2.2</b>
<b>9.2 Process Scenario</b>				



Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
9.2.1 Environmental Pollution Control (Water, Land, Sound, Air and Food)	Executed Environment Pollution control programs effectively	No programme set for Environment pollution control	0.385	1.283
9.2.2 Capacity Development of Local representatives, staffs, volunteers, and communities on Disaster management	Effectively executed the capacity development programs to the representatives, staffs, volunteers and community people on local disaster management	No programme for enhancing the capacity of representatives, staffs, volunteers and community people on disaster management	0.385	1.283
9.2.3 Identification and Mapping of Disaster sectors	Planned and executed programs and activities based on the Identification and Mapping of Disaster sectors	Completed identification and Mapping of Disaster sectors but not reflected in the plans and programs	0.77	1.283
		<b>Total</b>	<b>1.54</b>	<b>3.849</b>
<b>9.3. Quantitative Scenario</b>				
Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
9.3.1 Budget allocation to promote environment protection	Greater than 3% of budget from equalization grant has been allocated for the development of Children Park/expansion of open greenery place etc.	Less than 1% of budget from equalization grant has been allocated for the development of Children Park/expansion of open greenery place etc.	0.248	0.825
9.3.2 Participation of Private Sectors/ Civil Societies and Citizen in environment protection	Participation from private sectors, civil societies and citizen in more than 50% of environment protection works	Participation from private sectors, civil societies and citizen in less than 50% of environment protection works	0.495	0.825
9.3.3 LG's investment in environment pollution control (Equalization Grant)	Greater than 0.3 %	Less than 0.1 %	0.248	0.825
9.3.4 Annual Budget allocation to Disaster Management Fund	Greater than 0.2% of the total capital Budget	Greater than 0.2% of the total capital Budget	0.825	0.825
9.3.5 Formation and functioning of Tole Lane Organizations (TLOs)	Tole Lane Organization formulation policy formulated and, on its basis, more than 80% HHs have organized and functional in the TLOs	No policy to formulate Tole Lane Organization and not yet formulated any TLOs	0.248	0.825
9.3.6 Availability of Emergency services like Ambulance, Fire Control	Access to more than 50% population to emergency services like Ambulance, Fire Control	Unavailability of emergency services like Ambulance, Fire Control	0.248	0.825
		<b>Total</b>	<b>2.312</b>	<b>4.95</b>

	<b>Total Value of Sector- 9: Environment Protection and Disaster Management</b>	<b>4.402</b>	
	<b>Full Marks of Sector- 9: Environment Protection and Disaster Management</b>	<b>11.00</b>	

### Sector - 10: Co-operation and Coordination

<b>10.1 Overall Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
10.1.1 Co-operation and Coordination among federal, province & local governments	LGs have information about the program to be implemented in cooperation and coordination with federal and provincial governments and there is fully functional coordination with the federal and provincial governance while formulating policy and programs.	LGs have information about the program to be implemented in cooperation and coordination with federal and provincial governments but there is limited functional coordination with the federal and provincial governance while formulating policy and programs	0.525	0.7
10.1.2 Inter LGs Co-operation and Coordination (conservation of natural resources, industry, infrastructure development, environment conservation and waste management, Emergency service management and revenue collection etc.)	The policy and institutional structure for co-operation and coordination in common areas have been prepared and implemented successfully in respective LGs	The common areas of cooperation and coordination has been identified but no initiation has been taken to prepare policy and structure	0.175	0.7
		<b>Total</b>	<b>0.7</b>	<b>1.4</b>
<b>10.2 Process Scenario</b>				
<b>Indicators</b>	<b>Expected Condition</b>	<b>Obtained Condition</b>	<b>Obtained Score</b>	<b>Full Marks</b>
10.2.1 Formation and operation of inter-LGs committee (more than two) mechanism to address common interests.	The committees of inter-LGs have been formed to address common interest and the committee is functional	No formation an inter-LGs committee mechanism to address common interests and made functional.	0.37	1.23
10.2.2 Cooperation and Coordination with non-governmental organizations and private sector	The policy to collaborate /coordinate with local NGOs and private sector has been prepared and fully implemented.	No policy and programs to collaborate/coordinate with local NGOs and private sector.	0.37	1.23
		<b>Total</b>	<b>0.78</b>	<b>2.46</b>
<b>10.3. Quantitative Scenario</b>				

Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
10.3.1 Inter-government coordination and facilitation	LGs have information about coordination, facilitation and support mechanisms to be established with federal and provincial governments for the implementation of programme and mechanisms are functional.	LGs have information about coordination, facilitation and support mechanisms to be established with federal and provincial governments for the implementation of programme but non-functional	0.63	1.05
10.3.2 Inter LGs partnership	More than one program has been implemented in joint venture with other LG aiming to reduce cost, maximize the resources and effective services	No any initiations have been taken for the joint venture management with other LGs aiming to reduce cost, maximize the resources and effective services.	0.32	1.05
10.3.3 Coordination with DCC	Discussions are held in LGs executive level on the suggestions and feedbacks received from DCC to facilitate the development works and decision made and acted upon.	Discussions are held in LGs executive level on the suggestions and feedbacks received from DCC to facilitate the development works and decision made and acted upon.	0.63	1.05
		Total	1.05	3.15
	<b>Total Value of Sector- 10: Co-operation and Coordination</b>		<b>2</b>	
	<b>Full Marks of Sector- 10: Co-operation and Coordination</b>		<b>3.44</b>	

### 3.7.2 Assessment Result of Additional Indicators of INSA

In addition to the LISA, INSA was also used as complementary tool, which covered the left functions and practices of LISA. To assess the capacity of the local government 10 thematic areas 50 indicators and 4 conditions (from worst to best) were identified additional indicators. A comprehensive assessment result of INSA has given below.

**Table No 4: Assessment Result of Additional Indicators**

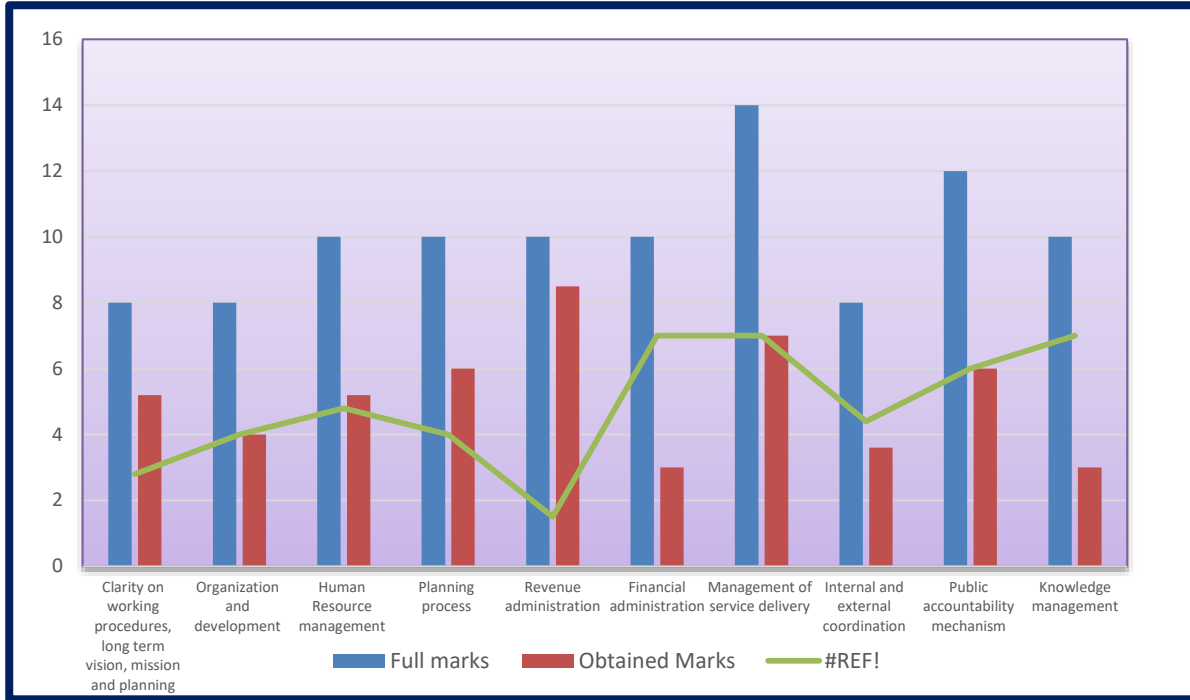
Thematic Areas	Full marks	Obtained Marks	Percentage	Total Gap	Percentage of the Gap	Overall Status
Clarity on working procedures, long term vision, mission and planning	8	5.2	65	2.8	35	Good
Organization and development	8	4	50	4	50	Weak
Human Resource management	10	5.2	52	4.8	48	Weak
Planning process	10	6	60	4	40	Good
Revenue administration	10	8.5	85	1.5	15	Outstanding
Financial administration	10	3	30	7	70	Very Weak
Management of service delivery	14	7	50	7	50	Weak
Internal and external coordination	8	3.6	45	4.4	55	Weak
Public accountability mechanism	12	6	50	6	50	Weak
Knowledge management	10	3	30	7	70	Very Weak
<b>Total</b>	<b>100</b>	<b>51.5</b>	<b>51.5</b>	<b>48.5</b>	<b>48.5</b>	<b>Weak</b>

*Note: Scoring:*

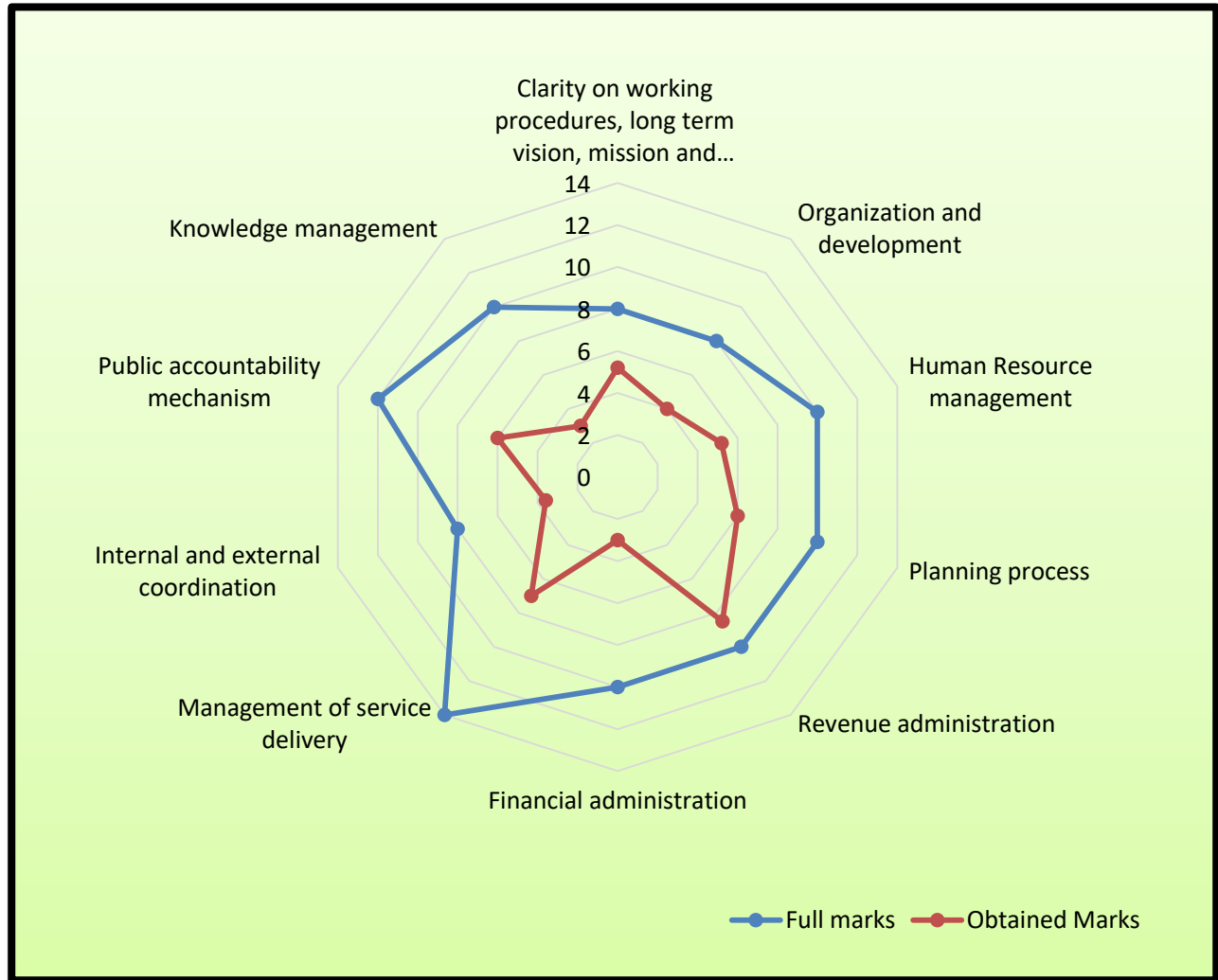
*Very weak: Less than 40; Weak: 41 – 59; Good: 60 – 79; Outstanding: 80 – 100:*

Findings indicates that the overall performance under additionally identified indicators was 'Weak condition whereby RM secured 51.5 score out of the 100. According to the result, Clarity on working procedures, long term vision, mission and planning; Planning process; Revenue administration found comparatively higher however, while analyse the other indicators RM seemed to put more efforts in minimising the gaps. The consolidate results of INSA assessment can be shown on the spider diagram, which shows the thematic areas, desired condition and current situation in a comparative manner.

**Map/Chart No 4: Result of Additional Indicators (Expected, Obtained and Gap score)**



**Map/Chart No 5: Result of INSA through Spider Diagram**



### Sector - 1: Clarity on working procedures, long term vision, mission and planning

Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
Clarity on individual job responsibility	Chief, Deputy Chief, ward chairmen, committee coordinators, chief administrative officer and all other section heads were clear about their work responsible to cooperate each other	Chief, Deputy Chief, and chief administrative officer were clear about their work responsibilities.	0.8	1.6
Long-term vision and mission	Long-term vision, goals and objectives were determined, by the inclusive discussions among the elected representatives, staff, and other stakeholders	Long-term vision, goals and objectives were determined, by the inclusive discussions among the elected representatives, staff, and other stakeholders	1.6	1.6
Long-term sectoral plans	Long-term sectoral plans were developed on inclusive basis; the discussions were made intensively with broad stakeholders. Plans are in implementation.	No long-term sectoral plans were developed, but discussions were made among the elected representatives, staff, and other stakeholders to meet the Long-term among the vision, goals and objectives	0.8	1.6
Periodic plan	periodic plan has been prepared inclusively with intensive discussions of chair, vice chair, CAO few staff, civil society, DAG groups, and all stakeholders. All of them have equal understanding about periodic plan	Periodic plan has been prepared, however there was nobody clear about periodic plan, except chair, vice chair, CAO and few staff	1.2	1.6
Pride projects and project bank	The local pride projects are identified, and the detail projects report are prepared for all and project bank has been prepared	Some local pride projects are identified but detail projects report is not prepared	0.8	1.6
<b>Total</b>			<b>5.2</b>	<b>8</b>

### Sector - 2: Organization and development

Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
Organization structure	In order to prepare the working structure, all officials, staff and other stakeholders including the present structure have been approved and implemented.	Implemented the organization structure (Organogram) provided by the Ministry.	0.8	1.6
Creation of Job positions, recruitment and posting	The O&M was completed, and organisation structure was also approved by the palika. To fulfil the positions permanently, request was made to the Public Service Commission. Currently, the service delivery	Only the staffs, who came from employee adjustment process under the mandate of ministry's approved OHM structure were inadequate to deliver the services. So far, request was made to the Public Service	1.2	1.6

	was continued through contract based technical and non-technical staff	Commission to fulfill the positions. However, the service delivery was continued through contract based technical and non-technical staff.		
Institutional norms, values and working environment	A written code of conduct was approved, and adopted as well as implemented by the participation of elected representatives, employees and other stakeholders and all concerned shall abide by it.	The code of conduct is being prepared with involvements of representatives and staff.	0.4	1.6
Work division between elected	The work division and, Performance appraisal regulations were approved. Based on that, all works, and functions were implemented by the concerned representatives and sections	The work division and, Performance appraisal regulations were approved, nonetheless chair bypassed the board and took all decisions. At the end decisions were tabled to the upper level for approval	1.2	1.6
Internal communication	The copy of the decisions of the unalike board, ward committees, and staff meetings were provided to all board members, the concerned sections and units, and staffs. And publicize regularly through website	The copy of the decisions of the gaunpalika board and ward committees were not provided to the concerned sections and units.	0.4	1.6
		<b>Total</b>	<b>4.0</b>	<b>8.0</b>

### Sector - 3: Human Resource management

Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
Job Description	The Job Description of all sectoral units, ward offices, including committees and staff were already prepared on participatory manner, which was approved and effectively implemented	The Job Description of all sectoral units, ward offices, including committees and staff were already prepared, and approved, but yet to be implemented	1.5	2.0
Leadership style of the elected	The executive board meeting, ward committee meetings, and staff meetings were conducted regularly in scheduled time and interactions with concerned stakeholders were done for policy-based decisions.	The schedule of regular meeting for the executive board, ward committees, and staff was decided, however, the meetings were not taking place	1.0	2.0
Carrier Development opportunity of the staff	Job carrier opportunities plan was prepared and approved, which was informed to all staff and adequate budget was allocated	No job carrier opportunities plan for staff to keep the morale of the employee's high	0.5	2.0
Training to the staff	More than 50 percent of the employed employees received both trainings either entry level and in-	More than 75 percent of the employed employees did not receive any trainings related to entry level or in-service training	0.5	2.0



	service training or completed foreign study, exposure trainings			
Orientation to the elected representative	The Chairman, vice chairman all executive members, and all elected members were participated in the orientation program organized not only by the Government of Nepal and other supporting agencies, but also organized by oneself	The Chairman, Vice chairman and all executive members were participated in the orientation program organized by the Government of Nepal and other supporting agencies	1.0	2.0
		<b>Total</b>	<b>4.5</b>	<b>10.0</b>

#### Sector - 4: Planning process

Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
Annual Planning process	Following the participatory planning process, the annual plan was formulated. In the annual plan, the topics were included guided by the periodic plan. There was time bound with responsibility matrix was prepared and implemented	Following the participatory planning process, the annual plan was formulated. In the annual plan, the topics were included guided by the periodic plan, but there was no time bound with responsibility matrix was prepared	1.5	2.0
Link between sectoral plan, Periodic plan and annual plan	The goals, objectives, strategies and activities set out by the Periodic Plan were followed by the Annual Plan and also prepared in the medium -term expenditure framework	The periodic plan has been formulated, which is strictly integrated, and follow in the annual plan. However, the medium -term expenditure framework was not prepared.	1.5	2.0
Annual policy & budget allocation	Annual policies and programs have been prepared and approved after intensive discussions and the annual budget is formulated based on the approved policy and program.	Efforts to co-ordinate between annual policies and programs and budget allocations, however, both are presented together that does not make much sense.	1.5	2.0
Approved budget implementation plan	An implementation action plan with timeline, and responsibility was prepared that directed to implement the programme and budget, so far expected results are achieved in time manner.	Timely actions for implementing budget policies and programs are set out, but responsibilities are not determined	0.5	2.0
Monitoring, Evaluation and Quality Assurance	Indicator based monitoring, evaluation and quality control procedures or action plans have been approved and implemented. Also, the action has been taken by the Executive Board based on monitoring report.	One of the procedures or annual action plan related to monitoring and evaluation of the plan was prepared but not implemented	1.0	2.0
		<b>Total</b>	<b>6.0</b>	<b>10.0</b>

### Sector - 5: Revenue administration

Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
Utilization of Federal budget and grant	The budget amount which is received by the federal and provincial government in the form of revenue sharing is included in the annual budget, and some percentage of the revenue sharing budget is expended for development work.	The budget amount which is received by the federal and provincial government in the form of revenue sharing is included in the annual budget, and some percentage of the revenue sharing budget is expended for development work.	2.0	2.0
Utilization of Provincial budget and grant	Revenue Sharing and Royalty are included in the budget. The received amount from revenue distribution has been used few percentages for administrative expenses, and larger volume expended for development works.	Not budget allocation for the matching fund and special grants available by province, no proposals are submitted on time and did not return the remaining amount of conditional grants on time.	0.5	2.0
Revenue sharing and use of royalty	All potential sources of internal revenue have been identified and mobilized. Tax rates have been made progressive, revenue reform action plans have been approved and implemented for internal revenue mobilization. The Revenue Advisory Committee is active in all these matters.	Revenue Sharing and Royalty are included in the budget. The received amount from revenue distribution has been used few percentages for administrative expenses, and larger volume expended for development works.	2.0	2.0
Status of the internal revenue mobilization	A separate revenue section has been established and staffed are positioned according to the organisation norms. Also, various training, equipment, software, and work procedures have been provided to the staff	All potential sources of internal revenue have been identified and mobilized. Tax rates have been made progressive, revenue reform action plans have been approved and implemented for internal revenue mobilization. The Revenue Advisory Committee is active in all these matters.	2.0	2.0
Status of the revenue administration	The budget amount which is received by the federal and provincial government in the form of revenue sharing is included in the annual budget, and some percentage of the revenue sharing budget is expended for development work.	A separate revenue section has been established and staffed are positioned according to the organisation norms. Also, various training, equipment, software, and work procedures have been provided to the staff	2.0	2.0
		<b>Total</b>	<b>8.5</b>	<b>10.0</b>

### Sector - 6: Financial administration

Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
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Public Procurement management	A master plan for procurement was prepared and approved. Based on that goods and services are procured. And, a separate public procurement regulation is approved	There is no annual procurement plan prepared and no separate public procurement regulation is existed	0.5	2.0
Property verification, handover and protection	Regular inspection of store section was done, and action has been taken based on inspection report. All representatives and staff are handed over the property, which they used. Also keep the track record of public land property	No inspection has been done to store section annually, but only a few people follow the handover process, but no record is maintained on the leasing, land and other property	0.5	2.0
Expenditure accounting and reporting system	The expenditure accounting software (SUTRA) was implemented, monthly, quarterly, and annual reports are prepared and forwarded to the executive board meetings, federal government, provincial government and other concerned agencies. Also, publicized through website	The expenditure accounting software (SUTRA) was implemented, and the expenditure report was tabled to the executive board meeting	1	2.0
Internal audit	Internal audit section was established, and staff has been recruited. And regular internal audits are completed	There is no internal audit section, and no internal audit was done	0.5	2.0
Final audit	The pointed audit arrear by final audit has been forwarded to FCGO within time and audit arrear data has been updated regularly.	No timely response to audit arrear, as indicated by the final audit. And not submitted any evidences timely to update it.	0.5	2.0
<b>Total</b>			<b>3.0</b>	<b>10.0</b>

### Sector - 7: Management of service delivery

Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
Service Delivery of Economic sector services	Out of the total development investment of the last 2 years, more than three percent has been invested in the areas of economic development (agriculture, industry, trade, commerce, employment, etc.).	Out of the total development cost of the last 2 years, less than five percent has been invested in the areas of economic development (agriculture, industry, trade, commerce, employment, etc.).	1.4	2.8
Service Delivery of Social sector services	Based on poverty mapping the social sector services were delivered to women, Dalits, endangered indigenous peoples, persons with disabilities, children and senior citizens.	The social sector services to some extent are operated by targeting women, Dalits, endangered indigenous peoples, persons with disabilities, children and senior citizens and the poor.	1.4	2.8
Infrastructure Service Delivery	In order to achieve the goals of Infrastructure Services, ward level demands, thematic sectoral demands, approved transport master plans, energy,	Based on the recommendation of the <i>Gaunpalika</i> Chairperson, ward chairperson, and executive board	1.4	2.8

	and other, building construction projects, and periodic plan, the commitment has been made to operate newly identified and past regular projects	member, as well as the commitment to complete the past continuous planning, Services were operated.		
Institutional Service Delivery	Local government recommendations including Institutional development and other services are delivered based on standard operation guidelines and use of ICT. If not that, mobile camps were organised palika, and ward to provide the services at the doorsteps of the citizen	Local government recommendations including Institutional development and other services are delivered based on standard operation guidelines, and use of ICT	2.1	2.8
Service Quality management	To manage the quality of services according to the approved service standard, the consumer surveys, laboratory tests, inspections, monitoring and reviewing and improvement work plan were implemented. Based on the results, improvement plan was prepared and implemented	No activities were organized to manage the service quality	0.7	2.8
<b>Total</b>			<b>7.0</b>	<b>14</b>

### Sector - 8: Internal and external coordination

Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
Inter-relationships with Federal institutions	The working relationships was established with the District Administration Office, Police Office, Courts and Educational Knowledge Centre, and other complementary and nurturing relationships were maintained to implement the projects and programmes	The working relationships was established with the District Administration Office, Police Office, Courts and Educational Knowledge Centre, and programmes were implemented	1.2	1.6
Inter-relationships with Provincial institutions	The working relationships was established with the provincial Division Offices, provincial planning commission, provincial ministries, and other complementary and nurturing relationships were maintained to implement the projects and programmes	Established working relationships with the provincial Division Offices, provincial planning commission, provincial ministries, and tried to streamline programs and services in the absence of duplication	1.2	1.6
Inter local government coordination	Establish working relationships with other Gaunpalikas/ municipalities by establishing working relationships on development, service delivery, revenue mobilisation, capacity development and so on, and conducting programs in a collaborative manner through a joint committee.	The working relationship has not been established with other Gaunpalikas/ municipalities located in the nearby or in remote areas.	0.4	1.6
Coordination with NGOs	Inviting all non-governmental organizations operating within Gaunpalika to participate in the activities through interaction and co-	Non-functional coordination with NGOs operating within Gaunpalika	0.4	1.6

	ordinate to avoid duplications. Also, included the budget plan and program of the NGO in Gaunpalika plan and programme, and conducted Gaunpalika's programme through NGOs.			
Coordination with Private sector	In coordination with the private sector, in addition to revenue mobilisation, establishment of industrial villages, industrial infrastructure construction, agriculture product collection and refine, employment creation including social responsibility; an agreement was made with private sector, including the Commerce and Industry Association, to follow and implement the creative and innovative models developed by the private sector	No working relationships were made with the private sector.	0.4	1.6
		<b>Total</b>	<b>3.6</b>	<b>8.0</b>

### Sector - 9: Public accountability mechanism

Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
Interaction with Citizens on public concerned issues	Consultations were made with civil society and other stakeholders including women, children, youth, professional organizations, endangered and marginalized communities on issues of civic concern while formulating plans and its implementation and delivery of services, incorporating the suggestions received in the policy, strategy and programs and periodically revising it.	Consultations were made with women, children, youth, professional organizations, endangered and marginalized communities, civil society and other stakeholders in the issues of citizen concern, while formulating plans, implementation and delivery of services	1.2	2.4
Publicize of executive board decisions and other executive major decisions	All approved Acts, regulations, procedures, and directories by the executive board were made public through Gazette and website. Further, the details of the important decisions of the Executive board, the expenditure details, audit report and other important documents, including arrear, are made public on the website and information is made public for all concerned stakeholders.	Only the Acts, regulations, procedures, and directories approved by executive board were made public through Gazette, except these, other decisions were not made public	1.2	2.4
Documentation and apply of constitutional bodies' direction and instruction	Following the directions given by the Constitutional Bodies, including the FCGO and the Commission for Investigation of Abuse of Authority, and prepare the different files and data base of each body, send periodic replies and keep up to date with constant contact.	Following the directions given by the Constitutional Bodies, including the FCGO and the Commission for Investigation of Abuse of Authority, and prepare the files and data of each instruction and send periodic respond	1.8	2.4
Relationships with Media	Interactions and discussions were made with available local media, FM. Radio and television channels about the effectiveness of the service delivery. Also, a systematic	Interactions and discussions were made with few of the local media, FM. Radio and	1.2	2.4

	record keeping system was maintained about the comments on media regarding the effectiveness of the service for further improvements.	television channels about the effectiveness of the service delivery		
Use / Implementation of the public accountability tools	Most of the tools of public accountability, such as service satisfaction surveys, public audit, public hearings, social audit, regular media meetings, third-party monitoring and information publication, were adopted periodically and results made public. To improve the service delivery, a systematic action plan was prepared and implemented	Only one of two tools of public accountability, such as service satisfaction surveys, public audit, public hearings, social audit, regular media meetings, third-party monitoring and information publication, was adopted.	0.6	2.4
		<b>Total</b>	<b>6</b>	<b>12</b>

### Sector - 10: Knowledge management

Indicators	Expected Condition	Obtained Condition	Obtained Score	Full Marks
Documentation and publication of the Acts and Legal documents	Every law passed by the assembly were coded and recorded are published for public information. Additionally, it has been accessed to website and available in palkia's library	Every law, passed by the assembly were coded and recorded	1.0	2.0
Documentation of learning	As of the local government, decisions were made to form a task force team to collect the major learnings and published the records. Additionally, it has accessed on website and available in library	As of the local government, the learnings are not codifying and recorded at the palika	0.5	2.0
Documentation of the major achievements	Records were maintained of the significant achievements mainly cost of construction, builders, construction period, and the age of construction of infrastructure, economic, social and physical sectors. Additionally, it has accessed on website and copies were available in library	Significant achievements are not recorded mainly in the infrastructure, economic, social and physical sectors	0.5	2.0
Documentation of the best practices	Record and other of the best practices were made and published it to inform other local level and upper level governments. Additionally, it has accessed on website and available in library	Unable to record and codify the best practices	0.5	2.0
Management of the Library and Information Centre	Resources was managed to establish the library and information centre, whereby information, books and newspaper are available. Through this, website was managed, and information were updated	Unable to manage and establish the library and information centre	0.5	2.0
		<b>Total</b>	<b>3</b>	<b>10.0</b>

### 3.8 Action Plan

Based on LISA tools and additional indicators, which were derived from INSA backed by SWOT analysis; A strategic action plan of *Khaniyabas* Rural Municipality was developed by RM with the facilitation of consulting team under 12 thematic areas. In the strategic action plan, several activities, responsibilities and budget need to be approved by executive board following by assembly.

**Table No 5: Strategic Action Plan of the RM**

SN	Proposed activities for improvement of the status	Major Responsibility				Timeline	Liabilities		Means of Verification
		Initiators	Decision makers	Implementers	Monitors		Liabilities (Estimated How Much in thousands)	No Liabilities	
<b>1</b>	<b>Governance System</b>								
1.1	Update the exiting meeting operational and management guideline with the clear provision of sharing the agendas before the meeting and the share the decisions with ward committee and sections of RM	RM Chief, CAO	Executive board and Council	CAO	Deputy Chief	Jul-20		√	Approved guideline, shared of decision
1.2	All the decisions of the Assembly and the Executive will be made public on RM web page, and information board.	CAO		CAO	Deputy Chief	Aug-20		√	
1.3	In order to organize internal control system, the guidelines of the internal control system will be prepared and implemented, and regular monitoring and feedback will be provided.	Chief and CAO	policy committee and executive board	Chief, Deputy chief CAO and section heads, ward chair and ward secretary	Chair, Deputy Chief, CAO	May 2020 onwards		√	
1.4	A clear role and responsibilities will be provided to sectoral committee and committee coordinator	Chief and CAO	Executive board and Council	Chief, Deputy chief, sectoral committee and section head	Chief, Deputy chief	May 2020 onwards		√	

1.5	Organized biweekly meeting between CAO and section head	Chief and CAO	Executive board and Council	Chief, Deputy chief, sectoral committee and section head	Chief, Deputy chief	May 2020 onwards		√	
1.6	Organize monthly meeting with RM Chief, Deputy Chief, CAO and section head	Chief and CAO	Executive board and Council	Chief, Deputy chief, sectoral committee and section head	Chief, Deputy chief	May 2020 onwards		√	
1.7	Organize Trimester meeting with RM Chief, Deputy Chief, CAO, sectoral committee and section heads	Chief and CAO	Executive board and Council	Chief, Deputy chief, sectoral committee and section head	Chief, Deputy chief	May 2020 onwards		√	
<b>2</b>	<b>Organization and administration</b>								
2.1	Prepare policy provisions for staff administrative (Prepare Draft Acts, Regulations, By-laws, and Guidelines)	CAO	Chair	CAO	Deputy Chair	End of the Arshad 2077		√	Approved guideline
2.2	Complete the performance agreement contract between Chairperson and CAO	CAO	Chairperson	Administration section	Vice chairperson	From Srawan 2077		√	Performance agreement
2.3	Prepare, Approve and Implement the O&M survey and report to create a deliverable RM	CAO	Chair	CAO	Deputy Chair	End of the Ashad 2077	5 Lakhs Partner organizations		Organizational structure
2.4	Develop carrier development and capacity development Plan of municipal staff	CAO	Chair	CAO	Deputy Chair	End of the Ashad 2077	10 Lakhs Partner organizations		Records
2.5	Prepare job distribution and responsibility guideline. Initiate performance contract between Chief an CAO and CAO and section head	Chief and CAO	Executive board and Council	Administration section	Deputy Chair	End of the Ashad 2078		√	Approved guideline and contract
2.6	Share the decisions of council and executive meeting to wards, and section and public through website within 7 days	Chief and CAO	Executive board	Chief and CAO	Deputy Chair	Current FY		√	web page
2.7	Develop code of conducts for elected members and staff	Chief and CAO	Executive board	Chief and CAO	Deputy Chair	Current FY		√	Approved code of conducts
<b>3</b>	<b>Annual budget and plan formulation management</b>								
3.1	Active the sectoral committees	Chief and CAO	Executive board	Chief and CAO	Deputy Chair	Current FY		√	Meeting minute



3.2	Strictly follow the participatory planning process, prepare annual plan, budget and and implementation action plan based on the provision of Local Level Annual Plan and Budget Formulations Guideline 2074 of MoFAGA and guideline of National Planning Commission.	CAO	Chair	CAO	Chair	Budget FY 2077/078		√	record and minutes
3.3	Prepare Periodic Plan with covering of the sustainable development goals	CAO	Chair	CAO	Deputy Chair	End of the Poush 2077	30 Lakhs Partner organizations		Long term Plan
3.4	Prepare annual plan, budget and programs, based on periodic development plans	CAO	Chair	CAO	Deputy Chair	Budget FY 2077/078		√	Records of projects
3.5	Sectoral plan with implementation action plan	Chief and CAO	Executive board	Section chief	CAO and Monitoring committee	Budget FY 2077/079		√	Approved action plan
3.6	Formulation and implementation of procedures and action plans related to indicator monitoring and evaluation and quality control	CAO	Chair	CAO	Chair	Budget FY 2077/078		√	Approved action plan
3.7	Develop a clear policy to localize SDG	CAO	Chair	CAO	Chair	Budget FY 2077/079			Approved policy
<b>4</b>	<b>Financial management</b>								
4.1	Publish the monthly income and expenditure on prescribed form on official website and information board	CAO		Account and information section	Chair, Deputy chair and CAO	From March on wards		√	Updated web page
4.2	Prepare Procurement Master Plan and Annual plan and implement it effectively	CAO	Chair	Section Head	CAO	End of the Ashad 2077		√	Master plan
4.3	Create a separate section and staff for internal audit and payments will be done on the approval of internal auditor	CAO	Chair	Account section and administration section	Deputy Chair	April 2021		√	Job description of staff and approved payments
4.4	Regular observation and tracking of store section and comply the handover of properties	CAO	CAO	CAO	CAO	End of the Ashad 2077		√	Record
<b>5</b>	<b>Service delivery</b>								
5.1	Citizen's chartered will be placed in RM and ward office and noddle officer	Chair and CAO	Executive board	Ward secretary and	Deputy and monitoring committee	End of Chaitra 2077		√	Citizen charter

5.2	Prepare and implement the standards operating procedures (SOP) related to services provided by the municipal offices and wards	CAO	Chair	CAO	Chair	End of Chaitra 2077		√	Approved SOP guideline
5.3	Manage the complaint collection and redressal mechanism	CAO	CAO	CAO	Chair	End of Baishak 2078	1 lakh		Records of grievance management
5.4	Organize trimester meeting between executive board, section heads and ward secretary to review the effectiveness of service delivery system	CAO	CAO	CAO	Chair	End of Baishak 2079	40 thousand		Review meeting minute
5.5	E-payment of the social security fund	CAO	Chair	Account section	Chair	July 2020 onwards		√	Report
5.6	Wide publicity for timely vital registration	Elected members	CAO	Ward secretary and	Chair	End of Baishak 2077	1 lakh		Report
5.7	Establish agriculture and vet center in each ward with required technical staff	Chair and CAO	Executive board	Section chief and ward	CAO	July 2020 onwards			List of technical staff
5.8	Feasibility study on the agricultural production and promotion for the market	Chief	Executive board and Council	Section head and ward chair	CAO	July 2020 onwards			List
5.9	Coordination for Ambulance for the effective health service	Chief	Executive board and Council	Section head and	CAO	July 2020 onwards	150 Lakhs		Ambulance
<b>6</b>	<b>Judiciary Function</b>								
6.1	Activate the judiciary committee and present biannual an annual report in executive board	CAO	Judiciary committee and executive board	Judiciary committee	Chief	From Feb meeting.		√	Records
6.2	Establish community mediation center with certified community mediators to judiciary function at ward level	deputy chief	Judiciary committee and executive board	Legal facilitator	Deputy chair	July 2020 onwards		√	Records
6.3	Establish and implement mediation desk in RM	deputy chief	Judiciary committee and executive board	Legal facilitator	Deputy chair	July 2020 onwards		√	Records
<b>7</b>	<b>Infrastructure Development</b>								
7.1	Develop a policy and guideline to work with the private agencies on infrastructure sector	Chief and CAO	Infrastructure development Committee, section and	CAO, account section and planning section	deputy chief and monitoring committee	July 2020 onwards	Rs 20,00000 fund.		Approved guideline

			executive board						
7.2	Establish maintained Fund (along with the contribution of users) for constructed infrastructure project with an operation guideline	Chief and CAO	executive board	CAO, account section and planning section	deputy chief and monitoring committee	July 2020 onwards	Rs 10,00000 fund.		Approved guideline
7.3	Orientation to users group on programme implementation, reporting and financial settlement	Planning chief	CAO	Planning and technical section	deputy chief and monitoring committee	April 2020 onwards		√	Reports
7.4	Prepare DRR for infrastructure projects and collected as project bank	Planning chief	Chief	Planning and technical section	CAO	till May 2020		√	Approved guideline
7.5	Prepare, approve and implement the Child friendly and disable friendly infrastructure policy	Chief and CAO	executive board	CAO, committee, section and ward committee	deputy chief	July 2020 onwards		√	Approved guideline
7.6	Develop Waste Management Working Procedure and implement it	Chief and CAO	executive board	CAO, committee, section and ward committee	deputy chief	July 2020 onwards			Approved guideline
7.7	Approve the National Building Code and implement it	Chief and CAO	executive board	CAO, committee, section and ward committee	deputy chief	July 2020 onwards		√	Approved guideline
<b>8</b>	<b>Social Inclusion</b>								
8.1	Undertake different consciousness raising activities such as advocacy, discussion etc. to abolish domestic violence, child labor, polygamy, dowry etc.	Chief and CAO	Social development Committee, section and executive board	Women and children section and ward	deputy chief	July 2020 onwards	Rs 1000000 from RM and seek other support		Reports
8.2	Undertake Gender Responsive Budget Audit	Chief and CAO	Committee, section and executive board	Women and children section and ward	deputy chief	July 2020 onwards	Rs 200000 from RM and seek other support	√	Approved guideline

8.3	Prepare a guideline on social inclusion strategy and implement	CAO	Chief	CAO	CAO	July 2020 onwards		√	
<b>9</b>	<b>Environment conversational and disaster management</b>								
9.1	Develop Environment Conservation Policy and implement it	CAO	Executive	Planning section and ward	deputy chief	July 2020 onwards		√	Approved guideline
9.2	Conduct disaster management activities effectively based on vulnerable areas mapping. Also formulate the policies and structural arrangements for disaster risk reduction	Chief and CAO	Committee, section and executive board	Planning section and ward	deputy chief	July 2020 onwards	Rs 1000000 from RM and seek other support		Budget
9.3	Form a task force of the elected representatives, staff, volunteers in each ward and develop capacity on o disaster management and conduct effective rescue and management programmes.	CAO	Chair	Technical Section Head	deputy chief	July 2020 onwards	Rs 1000000 from RM and seek other support		Reports
<b>10</b>	<b>Cooperation and coordination</b>								
10.1	Form and manage Tole Development Committee; update and approve the Tole Development Policy for public and community partnership	Chief and CAO	Chief and CAO	Ward Committee	Chief and deputy chief	July 2020 onwards	Rs 400000 from RM and seek other support		Approved guideline and other documents
10.2	Establish a focal desk to coordinate NGOs under women development section	Chief and CAO	Chief and CAO	CAO and all sections	Chief and deputy chief	July 2020 onwards		√	Focal desk
10.3	Coordinate with non-governmental organization to incorporate their plan and budget in RM annual budget with the approval of council	Chief and CAO	Chief and CAO	CAO and all sections	Chief and deputy chief	July 2020 onwards		√	Annual budget
10.4	Prepare policy and guideline on formation and management of TLO	Chief and CAO	Chief and CAO	CAO and all sections	Chief and deputy chief	Prepare guideline by July and implement	Approve by RM		Approved guideline
<b>11</b>	<b>Social Accountability Management</b>								

11.1	Adopt the social accountability tools such as service satisfaction surveys, public inspections, public hearings, social audit, regular journalist meetings, third party monitoring and information publication. The feedback and comments which collect from such tools are implemented through action plan	Chief and CAO	Chief and CAO	CAO and all sections	Chief and deputy chief	end of FY	Rs 200000.00 RM		Report
11.2	Organize RM with youth programme in every 6 months the implement the feedback and suggestion collected	Chief and CAO	Chief and CAO	CAO and all sections	Chief and deputy chief	Next FY	Rs 200000.00 RM		Report
<b>12</b>	<b>Knowledge Management</b>								
12.1	Update and public all policy, regulations, guidelines and other decision and reports through website.	Chief and CAO	Executive meeting	CAO and IT section and concerned section	Deputy chair	Next FY		√	
12.2	Document best practices and learning and update and public through website	Chief and CAO	Executive meeting	CAO and IT section and concerned section	Deputy chair	Next FY		√	

### **3.9 Budget Analysis (Expenditure Plan)**

As for the resource's mobilisation, *Khaniyabas* rural municipality mobilise its own budget, which received from various sources such as reserve fund, equalisation grant, conditional grant, royalty (revenue) sharing, and own source revenue. However, budget from other sources such as DPs fund, NGOs fund and other sectoral agencies fund would also be mobilised to implement the strategic action plan.

According to budget sources, figures indicate that the total budget for the fiscal year 2076/077 was projected 33 Caror 7 Lakhs and 53 thousand only. It was estimated Rs Eight Caror and 97 lakhs received from equalization grant, six caror from revenue sharing. Likewise, one caror twelve lakh and forty-five thousand estimated to receive from internal revenue. Rest of the budget was estimated to receive from conditional grant, grant from province, DCC, Road board and others.

Based on the received resources, RM had rough estimation of around Rs. 2 caror amounts for Strategic action plan investment. During the plan period, rural municipality would mobilise its budget as well as the nongovernment organisations and development partners' resources would be mobilised as well. However, regarding the budget no commitments were made during the workshop. A broader stakeholder consultation is required to collect and mobilise the resources collectively to achieve the target to be received from the prepared action plan.

### **3.10 Monitoring Framework and Follow-up Mechanism**

Regular monitoring, as well as bi-annual review would be helpful to check the effective implementation of identified activities. The executive board, sectoral committees, monitoring committee and joint monitoring committee should make intermittent and regular monitoring for the implementation of strategic action plan.

In addition, Civil and community monitoring mechanism can be adopted. This mechanism will check the operated activities according to the approved plan and budget and work plan and whether the outcome and achievement is attained or not from the projects and programs. The civil and community-based institutions will make facilitation and the concerned service providing institutions will provide information and technical support in such a monitoring work. Similarly, annual Review, and mid-term evaluation and final evaluation will be doing according to the project approach

In addition to that a structure of monitoring committee can be formed to follow up the activities, provide the feedbacks, and improve the outcomes.

## 4. CONCLUSIONS, RECOMMENDATIONS, AND WAY FORWARD

### 4.1 Conclusions

The realisation and internalisation of the current situation of the RM can be counted as the most important and crucial part of this self-assessment process. The ward chairman, members of executive board expressed that the process gave a full insight on their role as well as the desired function of RM which was not discussed in depth till the date. Hence, the process to be taken as a kind of training and orientation to improve their performance. This helped to retain their participation until the end of the process. It was also taken as the forum for the elected members and staff to discuss together on the issues and problems. The gaps were well identified and actions to minimise the gaps were discussed. The chair of RM and CAO expressed that they have full commitment in implementation of prepared action plan.

Local governments are the key players of grassroots level governance system as they are closest unit of the citizen in a representative governance. They are created for enabling environment to promote the democratic values and public participation in decision making process as they can address the real needs and demands of the citizen. Post-election, local government units are enriched by legal instruments such as local government operation Act 2017, and number of other Acts, in addition to constitutional power. These legal instruments empowered LGs to clarify the roles and responsibilities of both local representatives and employees, and encourage them improving capabilities, develop process and procedures, practices of teamwork, increase job satisfaction, and improving decision-making. In addition, the government of Nepal has also focused on the capacity development of elected officials, adjustment of the employees, implementation of exclusive and concurrent rights, execution of inter-governmental fiscal framework; and implement the infrastructure development as primary functions.

RM is trying to accelerate the service delivery and assured the service quality through effective governance. People are encouraged to be a part of the local governance system. This process not only brought the people within local government service mechanism, but also enhanced the peoples' capacity and enabled them to influence the local governments representatives for responsive governance. To institutionalise the local governance system, RM was able to formulate about 15 Acts and regulations, which enabled the RM to enforce the tax, formulate and implementation of development planning, regulate administration system, enactment of the work division between elected representatives and staff, and other several service delivery functions were completed.

However, Khaniyabas Rural Municipality remained weak in developing capacity to ensure efficient service delivery. The key reasons were the absence of human resources concerning theme based technical background as well as knowledge and experience of local governance. This shows some frustration and dissatisfaction at the citizen level. Additionally, delay happened on formulation of laws and regulations including tax collection, local legislation, social security, and so on. Nevertheless, rural municipality's effort to institute well-governing system to ensure the citizens to have access of the services to their doorsteps.

Based on the assessment of the Khaniyabas Rural Municipalities, the following observations were made:

- i. The performance of local government including elected representatives and staff seems good, even though they needed capacity development related packages individually, organizationally and institutionally.

- ii. RM was functioning satisfactorily even with the problems in office space, infrastructure, staff, legal, administrative and other technical expertise.
- iii. A strong inter-governmental relationship considers to Federal and Provincial Government needed to support the local governments with proper training and technical backstopping.
- iv. The assessment is contributory to bridge the gap among representatives of different political parties for better performance with collective effort.
- v. The assessment increases the feeling of responsibility and accountability of the local government towards the people.
- vi. Rural Municipality needs to record proper backup documents for every task performed.
- vii. The assessment could contribute to increases the competitiveness and support to promote the good governance system.
- viii. The need of people varies according to different geographical location, social and cultural reasons. To some extent the indicators need to be modified.
- ix. The Local governments shall be categorized as per resource availability, access to infrastructure etc. Perhaps "One size fits all" might not be functioning well.

#### **4.2 Recommendations**

- i. The elected members as well as the staff should have common understanding on the policy and law.
- ii. All assembly members including executive board and ward chairs need to enhance the capacity as they did not have equal capacity to operate the RM and ward functions.
- iii. Specially the women and marginalised members of executive committee as well as the ward should have in-depth capacity development activities.
- iv. O&M is required including job description of the committees, section, and individual. Performance appraisal system including performance contract system need to roll out. As the administrative arrangement functions have not been effectively materialized.
- v. A specific capacity development plan and packages addressing individual, organizational and institutional capacity needs is required which need periodic update.
- vi. Provide technical/advisory support to municipalities on selected topics (e.g. building byelaws regulations/permits, revenue improvement, gender responsive budgeting, organisational development, disaster preparedness/resilience, etc.) as a process advisor.
- vii. Lead support measures (e.g. training, peer-learning events, workshops, visits, etc.) and ensure their implementation in timely, systematic and cost-effective manner as outlined in the operational plan.
- viii. Coordinate with other programmes such as inter and intra local government relations in the other respective local governments for synergy effects.



- ix. The involvement of civil society in planning, implementation process and also in drafting different guideline will be fruitful to balance inadequate the competent staff.
- x. Regular monitoring and follow-up mechanism are required which provide regular feedback to the municipalities.
- xi. Regularly monitor results of the activities and provide information to the Chair, Vice Chair, Chief Administrative Officer and other responsible person on a regular basis.
- xii. Develop some strategy for local economic development (promotion of tourism, promote the herbal production, home stay, hydro power, agricultural and livestock farming)
- xiii. Promotion of urban rural linkage.

# ANNEXES

## *Annex 1: Terms of Reference for Study on Institutional Self-Assessment of Ten Rural Municipalities*

### 1. Background

#### 1.1 Introduction of Mott MacDonald Ltd.

Mott MacDonald Ltd. is an employee-owned management, development and engineering consultancy serving the public and private sector around the world, with more than 16,000 staff worldwide. Our International Development Services Unit, IDS, operates in the sectors of Water, Environment and Climate Change; Rural & Urban Development; Education; Health; and Social and Economic Development in over 40 countries mainly in South Asia and Sub-Saharan Africa. It implements and manages numerous projects in developing countries and emerging economies around the world, supporting national governments and municipalities in policy, planning, project design and delivery. We are committed to support the United Nations Sustainable Development Goals and to provide our expertise to improve the lives of people in need. (<https://www.mottmac.com>).

#### 1.2 Purnima: UK Support to Post Earthquake Recovery in Nepal

Mott MacDonald is currently implementing a DFID-funded Post-earthquake recovery project (*Purnima*) in Gorkha, Dhading, Nuwakot and Rasuwa Districts. The programme aims to create long-term positive change in the lives of people in earthquake-affected regions of Nepal. The five-year long programme (2017 to 2022) comprises following five output areas,

Output 1: Support and capacity building to Government at central, district and local level for reconstruction planning and implementation.

Output 2: Reconstruction of priority rural infrastructure, including water supply, foot trails, bridges, and schools.

Output 3: Analysis of, and interventions to address constraints to the private sector, including access to finance, supply of labour, local and imported materials, and transport for construction.

Output 4: Managing a Challenge Fund to leave no-one behind in the reconstruction effort, and to restore livelihoods and access to services for the most vulnerable.

Output 5: An evaluation and learning component.

#### 1.3 Output 1: Strengthening Systems in Rural municipalities

Through Output 1, Purnima works in close collaboration with **national level stakeholders** on local governance such as the Ministry of Federal Affairs and General Administration (Morag), Ministry of Urban Development (MoUD), National Association of Rural Municipalities in Nepal (NARMiN) private sector, banking institutions, consortium partners and National Reconstruction Authority (NRA).

The main **local stakeholders** include elected representatives of the GPs (Chairs, Deputy Chairs, and council members) as well as technical, administrative and other staff of the GPs (e.g. management, finance, and engineering). Purnima also works with the private sector, social leaders, and representatives of disadvantaged groups in local civil society.

These stakeholders will benefit from a combination of supply and demand-driven capacity development measures, to ensure better service delivery to the local population.

Purnima will directly strengthen the organisational capacity of GPs so that they can implement local government reforms in a way that they meet the needs of the local people, with attention to infrastructure, sustainable economic development, and social inclusion to ensure that no one is left behind. Attention will be given to promoting access for marginalised populations, such as women, the extreme poor, and disadvantaged castes and ethnic groups.

Responsibility for infrastructure, economic development and social inclusion is now held by the *rural municipalities*. This links output 1 to other outputs of Purnima: Output 2 (planning, implementation, management and monitoring of infrastructure; Output 3 (support for private sector); and Output 4 (meeting the needs of vulnerable citizens).

## 2. The Services

### 2.1 Purpose of the Assignment

Output 1 intends to conduct an **Institutional Needs Self-Assessment (INCA)** of five first phase and five second phase *rural municipalities*. This will assess the capacity of local governments to perform their responsibilities. The INCA is intended to be a social accountability tool and a development planning tool. Through a participatory modelling and a self-evaluation process, the tool translates the complexities of a specific local governance system into locally appropriate indicators and enables a clear assessment of that system’s strengths and weaknesses. The assessment is used to plan development priorities across sectors, measure their effectiveness and advocate for governance improvement. The INCA tool is also a highly effective instrument for planning and evaluating capacity development programmes for local governments. The tool generates information on the effectiveness and efficiency of training programmes, policies/measures, planning and implementing methods, and leads to practical insights in how to improve performance in a strategic manner.

The Constitution of Nepal has given legislative, executive and judicial authorities to local governments, so it is important to analyse their development as well as make them capable of performing their responsibilities in a timely manner. This analysis of their strengths and weaknesses will help Purnima to design capacity development interventions accordingly. Purnima will facilitate the assessment using a subset of the self-assessment system designed by Morag for local governments, Local Government Institutional Self-Assessment (LISA), to assess institutional strength and weaknesses, and to take necessary measures to improve the institutional capacity for effective service delivery. Purnima will expand a set of questionnaires to complement the LISA indicators for a deep dive into topics that are relevant to Purnima. The ten criteria developed for LISA include:

- Governance system
- Organization and Administration
- Annual Budget and Plan Formulation
- Financial Management
- Service Delivery
- Judiciary Function
- Physical Infrastructure
- Social Inclusion
- Environment Conservation and Disaster Management
- Cooperation and Coordination

The criteria allow comparative analysis across time and context, in this case after local governments were set up in 2017. While most are linked to the objectives of the project’s four output areas, others provide some additional perspective. This assessment will use LISA for consistency with MoFAGA, and particularly Provincial and Local Governance Support Programme [PLGSP], which will launch LISA across the country.

### 2.2 Rationale of the assignment

It is a year since Output 1 started supporting emerging rural municipalities to plan, monitor and deliver services through capacity development, formulation of legal provisions, and necessary backstopping to ensure inclusive sustainable development. The country has *de jure* transformed into a decentralised, devolved federal structure, which has major consequences for governance due to the capacity of new, and in many cases inexperienced government representatives particularly in the rural municipalities to deliver their new mandates. This includes those related to the completion of post-earthquake reconstruction. Output 1 is looking to document and understand the individual and organisational capacity needs in the rural municipalities and to provide adequate support that is targeted to specific needs as requested by the elected representatives and civil servants. The needs and requests will be assessed through the lens of Purnima's four outputs to boost Purnima's overall effectiveness.

Assessing attitudes, practices, policies, systems and structures of administrators and service providers is a necessary, effective and systematic way to plan. By applying the instrument in a participatory manner, it becomes an assessment and capacity building tool for local level democratic dialogue. The INCA will be an exercise that will be fully owned by the *rural municipalities* as almost all officials, both elected and civil employees, will be involved in it. Scope of the service

### **2.3 Scope of the services**

The INCA will assess key dimensions of governance including a questionnaire with questions that are pertinent to Purnima's work. The questionnaires, which will be conducted through Key Information Interviews (KII) will probe deeper on the degree of understanding that locally elected representatives and selected civil servants have on the work they are required to do, and to check whether systems and structures to support that work are in place.

The respondents of the study based on LISA will be heads of various sections in the rural municipalities including Chief Administrative Officers, Finance Officers, Procurement Officers, Planning Officers, Women Development Officers, WASH focal persons, Disaster and Climate Change focal persons, and section heads of other relevant sectors working inside the GP. A full institutional self-assessment would include responses from the community receiving the services provided by the rural municipalities. However, at this stage Purnima will engage with only the supply side of the governance structure as the systems and structures are not yet ready for a more detailed study involving citizens.

The study will have two formats: one will be quantitative multiple-choice questions based on LISA, while the other will be qualitative where the respondents will do a self-assessment of their capacity, and what is required to make them abler to perform their responsibilities. The needs for capacity development vary greatly from GP to GP and between individuals. Thus, the approach adopted by Purnima must be sustainable, flexible, cost-efficient and demand driven. To this end capacity development will involve human resource development and wider institutional change. Some standardisation of the contents of basic training will be necessary to ensure that the same message is relayed on essential issues. The assessment will provide a more nuanced picture of this.

This needs assessment can help point the way to allow the local government to put its underlying infrastructure in place for strengthening systems. The aim of the study will not be to 'solve the problem' at rural municipalities but to recognise gaps, and challenges, risks, solutions, and emerging options, identified by the respondents three years into federalisation. As such the study will investigate but not be limited to the following aspects:

Capacity needs self-assessment: A deep dive of self-perception in elected representatives, and civil servants, regarding their ability to do the job. The study will be a need identification exercise for their capacity development, where the respondents will be asked questions that will reveal their strengths, and areas for improvement.

**Understand how well elected representatives and civil servants know their roles and responsibilities (organisational and institutional capacity):** Examine how well elected representatives at local governments, civil servants working in local governments, and civil society understand the organisational, and institutional systems and structures established in rural municipalities post federalism and elections in 2017. Their perception is important as service delivery is affected by their understanding of their roles and responsibilities.

**Understanding the gaps and challenges in governance for more focused intervention by Output 1:** The study will look into guiding policies, rules and regulations, and provisions that the government has brought out in the last two years since local governments were established. The study will reveal how effective the functions of *rural municipalities*, village assembly, user-committees are due to legal regulations, what needs to be added, amended or revised.

**Learning:** Lessons from the study will be captured and documented in a report and shared with Purnima supported GPs. Analysis will be done on how capable the elected representatives and civil servants are regarding their jobs, how effective the current working modality is; how the respondents react to it, and if the system is not working, what exactly is stopping them, the challenges, risks, threats, along with strengths and opportunities. The self-assessment will look into whether there is a desire for change, and if so, what kind of changes will be required. It will help inform and share emerging options, solutions and challenges in rural municipalities, particularly within the DFID reconstruction and governance portfolio.

**Implications:** The study findings will be used to help the *rural municipalities* as they move forward and to help Purnima design future interventions, as well as provide a baseline for evaluation of the Output Area.

## 2.4 Approach/Methodology

The study will be conducted in ten rural municipalities as a pilot where Output 1 has embedded TA: five rural municipalities from each the first and second phase of the TA. The respondents will be the above-mentioned participants whose answers will illustrate gaps, weaknesses, opportunities and strengths in both demand and supply side of governance, as well as provide a self-assessment of their capacities.

Two types of tools will be used to assess the capacity. One will be the LISA questionnaire. This will be quantitative. A workshop method will be used where the study team will explain the questions and give the local officials space to get clarifications and discuss in more detail some of the existing gaps on the questionnaire collectively. The second method will be facilitated interviews, which will complement the quantitative data, and also understand an overview of existing capacity needs for the elected representatives. This will be for Purnimas' purposes, to be used for more effective interventions, where required. Key Informant Interviews (KIIs) or facilitated interviews will be asked to select key respondents. They will be chairpersons, vice chairpersons, chief administrative officers, finance officers, planning officers. It is anticipated that three days will be spent in each palika.

The indicators in the assessment tests out new ways of working, including arrangements for channelling and accounting for funds, performance incentives and performance auditing. This will help in the development of policies on accountability. Support for the assessment is thus consistent with, and complementary to, DFID's plans to support decentralisation through the PLGSP.

Once the study and interviews are done, the responses will be tabulated and analysed. Required interventions can be planned based on the results. To address gaps, and weaknesses that are associated to Purnima outputs, an Action Plan will be designed, which will be reviewed in six months. Remaining pertinent challenges will be tackled at that time. Based on the Action Plan, and permitting time and resource, the whole process will be

reassessed in a year. Further follow up might be required on demand. Purnima TA will provide support in the *rural municipalities* by facilitating the whole process.

## 2.5 Expected Results/Outputs

**Organizational level capacity needs self-assessment:** A picture of the organisational level capacity needs self-assessment will be developed identifying gaps, weaknesses, challenges and opportunities, which will guide future interventions of Output 1, as well as the other output areas.

**Individual needs capacity self-assessment:** It is expected that this method will highlight individual level requirements that focus upon strengthening and changing attitudes, behaviours and skills; areas where individuals feel that they are not confident in undertaking particular functional tasks, by imparting knowledge and developing skills through training.

**Priority areas for support:** A highlight of priority areas of training that the individual interviewees priorities, with observations as to what trainings would be useful.

## 2.6 Deliverables

Study manual, including: **Quantitative self-assessment questionnaire:** Review of LISA questionnaire and the relevant tool to use in the study.

**Qualitative interview questions and manual:** design of interview guides for the KIIs (described above), using digital tools if possible

**Work plan and methodology:** describing how the team will complete the data collecting, analysis and reporting, and showing when each activity will take place and when deliverables will be submitted

**Complete questionnaire data and interview notes:** systematically labelled, in Excel or Word or other editable digital format and sent via email.

**Dashboard:** A dashboard of the summarised findings that includes all researched areas and the scoring against each of them. The dashboards are a useful tool to measure organisational capacity, serve as a baseline against what to map, monitor, and compare progress over time as capacity development initiatives are implemented. It can also help prioritise support offered to the *rural municipalities* by Purnima.

**An Institutional Needs Self-Assessment Final Report in English and Nepali:** A consolidated report of ten palikas in English with qualitative narratives and quantitative findings. The report will contain a detailed section of Action Plans with work plan and timelines.

**Reports for each ten rural municipalities in Nepali and English:** A report including the findings of the study, identifying gaps, challenges, opportunities of each palika will be given to respective palikas.

## 2.7 Timeline

- Proposal submission: 25 October 2019
- Contract Duration: November 15, 2019 to July 30, 2020
- Finalisation of tools and methodology: December 1, 2019
- Self-Assessment Completion: January 31, 2020
- Report Submission: February 15, 2019
- Final assessment of Action Plan: July 31, 2020

### 3. The Proposal

#### 3.1 Proposal Requirements

Bidders are requested to submit, by 25<sup>th</sup> October, technical and financial proposals, including:

- Technical proposal
- CV of key experts
- Financial proposal
- Tax registration certificate

#### 3.2 Personnel inputs and qualifications

Indicative inputs are presented below, but bidders are invited to propose alternative levels of input to suit the details of their approach.

##### **Team Leader: 60 days over a period of six months**

- Sound knowledge and understanding of Federalism, Good Governance
- Knowledge and understanding of the functioning of Local Governments
- Experience of cultivating a high performing team
- Past experience of conducting Institutional Needs Self-Assessment
- Excellent analytical and report writing skills

##### **GESI Expert (Governance): 10 days over a period of six months**

- Good understanding of GESI issues in relation to local governments
- Experience of working in local governments to ensure that GESI topics are addressed

##### **Researchers (4): 35 days each over a period of six months**

- Knowledge of federalism and local governments
- Experience of conducting field-based research
- Skilled in data analysis
- At least two must be women

##### **Reporting and Documentation Expert: 20 days**

**3.3 Expenses / logistics:** The service provider will manage logistics including all field work. Purnima TA staff will provide support by assistance with setting up meetings with rural municipalities staff for the KIIs and LISA study.

## Annex 2: Schedule of the Event

Days	Discussion areas and possible participants
<b>Day 1:</b>	<ul style="list-style-type: none"> <li>a) Introductory meeting with Chair, Deputy Chair, CAO, section chiefs and available <i>Karyapalika</i> -executive committee members)</li> <li>b) Presentation and discussions about Local Government Self-Assessment (LISA) method, rationale, objective and modalities (Participants: Chair, Deputy Chair, CAO, section chiefs and available <i>Karyapalika</i> (executive committee members)</li> <li>c) Distribution of the information collection format about individual capacity development (Format distribution, and elaboration with representatives and staff)</li> <li>d) Facilitate local government to request MOFAGA/PLGSP about providing online access of LISA result entry, and User-ID</li> <li>e) Group discussions (Coordinators of Thematic committees, and executive members mainly Women/Dalit and ethnic representation)</li> </ul>
<b>Day 2:</b>	Group Discussions: Continue with representatives from civil society groups, Representatives from women networks, representatives from user committees, section chiefs of rural municipalities and ward secretaries)
<b>Day 3:</b>	<ul style="list-style-type: none"> <li>(a) Information collection from different sections and units</li> <li>(b) Local Government Self-Assessment workshop (Participants: Chair, Deputy Chair, CAO, section chiefs and available <i>Karyapalika</i> (executive committee members).</li> <li>(c) Information Collection about individual capacity development (Distributed formats with representatives and staff).</li> <li>(d) Collection of the information to minimise the gaps</li> </ul>
<b>Day 4:</b>	<ul style="list-style-type: none"> <li>(a) Collection of the information to minimise the gaps</li> <li>(b) Exercise for Strategic Action Plan (Conduct SWOT analysis, Participants: Chair, Deputy Chair, CAO, section chiefs and available <i>Karyapalika</i> (executive committee members)</li> <li>(c) Online entry of the rural municipality's LISA result</li> </ul>
<b>Day 5:</b>	<ul style="list-style-type: none"> <li>(a) Finalise of Strategic Action Plan (Participants: Chief, deputy chief including executive board members, CAO and section heads)</li> <li>(b) Completion of the online entry of the rural municipality's LISA result</li> <li>(c) Closing of the LISA process (Around 1:0 PM)</li> </ul>



### Annex 3: LISA Assessment and Details

#### Thematic Sector 1: Governance System

##### Overall Situation

Indicators	Condition -1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
1.1.1 (Ka)	0.1	0.2	0.3	0.4	0.1	1
1.1.1 (Kha)	0.1	0.2	0.3	0.4	0.4	4
1.1.2	0.2	0.4	0.6	0.8	0.6	3
<b>Total</b>					<b>1.1</b>	

##### Process Situation

Indicators	Condition -1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
1.2.1	0.2	0.4	0.7	0.4	2
1.2.2	0.2	0.4	0.7	0.4	2
1.2.3	0.2	0.4	0.7	0.2	1
1.2.4	0.2	0.4	0.7	0.7	3
<b>Total</b>				<b>1.7</b>	

##### Quantitative Situation

Indicators	Condition -1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
1.3.1	0.5	1.1	1.8	1.8	3
1.3.2	0.5	1.1	1.8	1.8	3
<b>Total</b>				<b>3.6</b>	
			<b>Total score of Governance System</b>	<b>6.4</b>	

#### Thematic Sector 2: Organisation and Administration

##### Overall Situation

Indicators	Condition -1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
2.1.1 (Ka)	0.1	0.2	0.3	0.4	0.1	1
2.1.1 (Kha)	0.1	0.2	0.3	0.4	0.1	1
2.1.2	0.2	0.4	0.6	0.8	0.4	2
<b>Total</b>					<b>0.6</b>	

##### Process Situation

Indicators	Condition -1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
2.2.1	0.29	0.57	0.93	0.57	2
2.2.2	0.29	0.57	0.93	0.93	3
2.2.3	0.29	0.57	0.93	0.29	1
<b>Total</b>				<b>1.79</b>	

### *Quantitative Situation*

Indicators	Condition -1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
2.3.1	0.36	0.72	1.2	0.36	1
2.3.2	0.36	0.72	1.2	0.72	2
2.3.3	0.36	0.72	1.2	0.72	2
<b>Total</b>				<b>1.8</b>	
		<b>Total score of Organisation and Administration system</b>		<b>4.19</b>	

### *Thematic Sector 3: Annual Budget and Plan Formulation*

#### *Overall Situation*

Indicators	Condition -1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
3.1.1	0.275	0.552	0.825	1.1	0.825	3
3.1.2	0.275	0.552	0.825	1.1	0.825	3
				<b>Total</b>	<b>1.65</b>	

#### *Process Situation*

Indicators	Condition -1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
3.2.1	0.289	0.578	0.963	0.578	2
3.2.2	0.289	0.578	0.963	0.289	1
3.2.3	0.289	0.578	0.963	0.963	3
3.2.4	0.289	0.578	0.963	0.289	1
			<b>Total</b>	<b>2.119</b>	

### *Quantitative Situation*

Indicators	Condition -1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
3.3.1	0.297	0.594	0.99	0.297	1
3.3.2	0.297	0.594	0.99	0.99	3
3.3.3	0.297	0.594	0.99	0.99	3
3.3.4	0.297	0.594	0.99	0.594	2
3.3.5	0.297	0.594	0.99	0.99	3
<b>Total</b>				<b>3.861</b>	
	<b>Total score of Annual Budget and Plan Formulation</b>			<b>7.63</b>	

### *Thematic Sector 4: Fiscal and Financial Management*

#### *Overall Situation*

Indicators	Condition -1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
4.1.1	0.275	0.552	0.825	1.1	0.825	3
4.1.2	0.275	0.552	0.825	1.1	0.275	1

<b>Total</b>					<b>1.1</b>	
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**Process Situation**

Indicators	Condition - 1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
4.2.1	0.29	0.58	0.96	0.96	3
4.2.2	0.29	0.58	0.96	0.58	2
4.2.3	0.29	0.58	0.96	0.29	1
4.2.4	0.29	0.58	0.96	0.96	3
<b>Total</b>				<b>2.79</b>	

**Quantitative Situation**

Indicators	Condition - 1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
4.3.1	0.3	0.59	0.99	0.99	3
4.3.2	0.3	0.59	0.99	0.99	3
4.3.3	0.3	0.59	0.99	0.99	3
4.3.4	0.3	0.59	0.99	0.30	1
4.3.5	0.3	0.59	0.99	0.99	3
<b>Total</b>				<b>4.26</b>	
<b>Total score of Fiscal and Financial Management</b>				<b>8.15</b>	

**Thematic Sector 5: Service Delivery**

**Overall Situation**

Indicators	Condition - 1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
5.1.1 (a)	0.19	0.38	0.56	0.75	0.56	3
5.1.1 (b)	0.19	0.38	0.56	0.75	0.56	3
5.1.2	0.38	0.75	1.13	1.5	0.75	2
<b>Total</b>					<b>1.87</b>	

**Process Situation**

Indicators	Condition - 1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
5.2.1	0.39	0.78	1.3	0.78	2
5.2.2	0.39	0.78	1.3	0.39	1
5.2.3	0.39	0.78	1.3	0.78	2
5.2.4	0.39	0.78	1.3	0.39	1
<b>Total</b>				<b>2.34</b>	

**Quantitative Situation**

Indicators	Condition - 1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
5.3.1	0.23	0.45	0.76	0.23	1
5.3.2	0.23	0.45	0.76	0.23	1
5.3.3	0.23	0.45	0.76	0.23	1
5.3.4	0.23	0.45	0.76	0.23	1
5.3.5	0.23	0.45	0.76	0.45	2
5.3.6	0.23	0.45	0.76	0.45	2
5.3.7	0.23	0.45	0.76	0.76	3
5.3.8	0.23	0.45	0.76	0.23	1
5.3.9	0.23	0.45	0.76	0.45	1
<b>Total</b>				<b>3.04</b>	

Total score of Service Delivery	7.25	
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### *Thematic Sector 6: Judiciary Functions*

#### *Overall Situation*

Indicators	Condition - 1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
6.1.1	0.2	0.4	0.6	0.8	0.8	4
6.1.2	0.2	0.4	0.6	0.8	0.6	3
<b>Total</b>					<b>1.4</b>	

#### *Process Situation*

Indicators	Condition - 1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
6.2.1	0.28	0.56	0.933	0.56	2
6.2.2	0.28	0.56	0.933	0.28	1
6.2.3	0.28	0.56	0.933	0.28	1
<b>Total</b>				<b>1.12</b>	

#### *Quantitative Situation*

Indicators	Condition - 1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
6.3.1	0.36	0.72	1.2	0.72	2
6.3.2	0.36	0.72	1.2	1.2	3
6.3.3	0.36	0.72	1.2	0.36	1
<b>Total</b>				<b>2.28</b>	
<b>Total score of Judiciary functions</b>				<b>4.8</b>	

### *Thematic Sector 7: Physical Infrastructure*

#### *Overall Situation*

Indicators	Condition - 1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
7.1.1	0.275	0.55	0.825	1.1	0.55	2
7.1.2	0.275	0.55	0.825	1.1	0.275	1
<b>Total</b>					<b>0.825</b>	

#### *Process Situation*

Indicators	Condition - 1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
7.2.1	0.289	0.578	0.963	0.289	1
7.2.2	0.289	0.578	0.963	0.289	1
7.2.3	0.289	0.578	0.963	0.578	2
7.2.4	0.289	0.578	0.963	0.289	2
<b>Total</b>				<b>1.445</b>	

#### *Quantitative Situation*

Indicators	Condition - 1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
7.3.1	0.297	0.594	0.99	0.594	2
7.3.2	0.297	0.594	0.99	0.594	2
7.3.3	0.297	0.594	0.99	0.594	2
7.3.4	0.297	0.594	0.99	0.594	2
7.3.5	0.297	0.594	0.99	0.297	1
<b>Total</b>				<b>2.673</b>	

<b>Total score of Physical Infrastructure</b>	<b>4.943</b>
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### ***Thematic Sector 8: Social Inclusion***

#### ***Overall Situation***

<b>Indicators</b>	<b>Condition -1</b>	<b>Condition - 2</b>	<b>Condition - 3</b>	<b>Condition - 4</b>	<b>Obtained Marks</b>	<b>Existing condition of RM under Indicators</b>
8.1.1 (a)	0.125	0.25	0.375	0.5	0.13	1
8.1.1 (b)	0.125	0.25	0.375	0.5	0.5	2
8.1.2	0.25	0.5	0.75	1.0	0.75	3
<b>Total</b>					<b>0.76</b>	

#### ***Process Situation***

<b>Indicators</b>	<b>Condition - 1</b>	<b>Condition - 2</b>	<b>Condition - 3</b>	<b>Obtained Marks</b>	<b>Existing condition of RM under Indicators</b>
8.2.1	0.263	0.525	0.875	0.263	1
8.2.2	0.263	0.525	0.875	0.525	2
8.2.3	0.263	0.525	0.875	0.263	1
8.2.4	0.263	0.525	0.875	0.263	1
<b>Total</b>				<b>1.314</b>	

#### ***Quantitative Situation***

<b>Indicators</b>	<b>Condition - 1</b>	<b>Condition - 2</b>	<b>Condition - 3</b>	<b>Obtained Marks</b>	<b>Existing condition of RM under Indicators</b>
8.3.1	0.338	0.675	1.125	0.34	1
8.3.2	0.338	0.675	1.125	0.34	1
8.3.3	0.338	0.675	1.125	0.34	1
8.3.4	0.338	0.675	1.125	0.68	2
<b>Total</b>				<b>1.7</b>	
<b>Total score of Social Inclusion</b>				<b>3.77</b>	

### ***Thematic Sector 9: Environment Conservation and Disaster Management***

#### ***Overall Situation***

<b>Indicators</b>	<b>Condition -1</b>	<b>Condition - 2</b>	<b>Condition - 3</b>	<b>Condition - 4</b>	<b>Obtained Marks</b>	<b>Existing condition of RM under Indicators</b>
9.1.1	0.275	0.55	0.825	1.1	0.275	1
9.1.2	0.275	0.55	0.825	1.1	0.275	1
<b>Total</b>					<b>0.55</b>	

#### ***Process Situation***

<b>Indicators</b>	<b>Condition - 1</b>	<b>Condition - 2</b>	<b>Condition - 3</b>	<b>Obtained Marks</b>	<b>Existing condition of RM under Indicators</b>
9.2.1	0.385	0.77	1.283	0.385	1
9.2.2	0.385	0.77	1.283	0.385	1
9.2.3	0.385	0.77	1.283	0.77	2
<b>Total</b>				<b>1.54</b>	

#### ***Quantitative Situation***

<b>Indicators</b>	<b>Condition -1</b>	<b>Condition - 2</b>	<b>Condition - 3</b>	<b>Obtained Marks</b>	<b>Existing condition of RM under Indicators</b>
9.3.1	0.248	0.495	0.825	0.248	1

9.3.2	0.248	0.495	0.825	0.495	2
9.3.3	0.248	0.495	0.825	0.248	1
9.3.4	0.248	0.495	0.825	0.825	3
9.3.5	0.248	0.495	0.825	0.248	1
9.3.6	0.248	0.495	0.825	0.248	1
<b>Total</b>				<b>2.312</b>	
<b>Total score of Environment Conservation and Disaster Management</b>				<b>4.402</b>	

## Thematic Sector 10: Cooperation and Coordination

### Overall Situation

Indicators	Condition - 1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
10.1.1	0.175	0.35	0.525	0.7	0.525	3
10.1.2	0.175	0.35	0.525	0.7	0.175	1
<b>Total</b>					<b>0.7</b>	

### Process Situation

Indicators	Condition - 1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
10.2.1	0.37	0.74	1.23	0.37	1
10.2.2	0.37	0.74	1.23	0.37	1
<b>Total</b>				<b>0.74</b>	

### Quantitative Situation

Indicators	Condition - 1	Condition - 2	Condition - 3	Obtained Marks	Existing condition of RM under Indicators
10.3.1	0.32	0.63	1.05	0.63	2
10.3.2	0.32	0.63	1.05	0.32	1
10.3.3	0.32	0.63	1.05	1.05	3
<b>Total</b>				<b>2</b>	
<b>Total score of Cooperation and Coordination</b>				<b>3.44</b>	

## Annex 4: Assessment Results of Additional Indicators

### Thematic Sector 1: Clarity on working procedures, long term vision, mission and planning

Indicators	Condition - 1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
1.1	0.4	0.8	1.2	1.6	0.8	2
1.2	0.4	0.8	1.2	1.6	0.8	4
1.3	0.4	0.8	1.2	1.6	0.8	2
1.4	0.4	0.8	1.2	1.6	0.8	3
1.5	0.4	0.8	1.2	1.6	0.4	2
<b>Total</b>	2.0	4.0	6.0	8.0	3.6	
<b>Total score of Clarity on working procedures, long term vision, mission and planning</b>					8	

### Thematic Sector 2: Organization and development

Indicators	Condition - 1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
2.1	0.4	0.8	1.2	1.6	0.4	2
2.2	0.4	0.8	1.2	1.6	1.2	3
2.3	0.4	0.8	1.2	1.6	1.2	1
2.4	0.4	0.8	1.2	1.6	1.6	3
2.5	0.4	0.8	1.2	1.6	1.2	1
<b>Total</b>	2.0	4.0	6.0	8.0	5.6	
<b>Total score of Organization and development</b>					8	

### Thematic Sector 3: Human Resource management

Indicators	Condition - 1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
3.1	0.5	1.0	1.5	2.0	0.5	3
3.2	0.5	1.0	1.5	2.0	1.5	2
3.3	0.5	1.0	1.5	2.0	0.5	1
3.4	0.5	1.0	1.5	2.0	0.5	1
3.5	0.5	1.0	1.5	2.0	1.0	2
<b>Total</b>	2.5	5.0	7.5	10.0	4.0	
<b>Total score of Human Resource management</b>					10	

### Thematic Sector 5: Planning process

Indicators	Condition - 1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
4.1	0.5	1.0	1.5	2.0	1.0	3
4.2	0.5	1.0	1.5	2.0	0.5	3

4.3	0.5	1.0	1.5	2.0	1.5	3
4.4	0.5	1.0	1.5	2.0	1.0	1
4.5	0.5	1.0	1.5	2.0	0.5	2
<b>Total</b>	2.5	5.0	7.5	10.0	4.5	
<b>Total score of Planning process</b>					<b>10</b>	

#### Thematic Sector 5: Revenue administration

Indicators	Condition -1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
5.1	0.5	1.0	1.5	2.0	1.5	1
5.2	0.5	1.0	1.5	2.0	1.5	4
5.3	0.5	1.0	1.5	2.0	1.5	4
5.4	0.5	1.0	1.5	2.0	0.5	4
5.5	0.5	1.0	1.5	2.0	0.5	4
<b>Total</b>	2.5	5.0	7.5	10.0	5.5	
<b>Total score of</b>				10		

#### Thematic Sector 6: Financial administration

Indicators	Condition -1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
6.1	0.5	1.0	1.5	2.0	1	1
6.2	0.5	1.0	1.5	2.0	0.5	1
6.3	0.5	1.0	1.5	2.0	1.5	2
6.4	0.5	1.0	1.5	2.0	0.5	1
6.5	0.5	1.0	1.5	2.0	2	1
<b>Total</b>	2.5	5.0	7.5	10.0	5.5	
<b>Total score of Financial administration</b>					<b>10</b>	

#### Thematic Sector 7: Management of service delivery

Indicators	Condition -1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
7.1	0.7	1.4	2.1	2.8	0.7	2
7.2	0.7	1.4	2.1	2.8	0.7	2
7.3	0.7	1.4	2.1	2.8	1.4	2
7.4	0.7	1.4	2.1	2.8	2.1	3
7.5	0.7	1.4	2.1	2.8	0.7	1
<b>Total</b>	3.5	7	10.5	14	5.6	
<b>Total score of</b>					14	

#### Thematic Sector 8: Internal and external coordination

Indicators	Condition -1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
8.1	0.4	0.8	1.2	1.6	0.8	3
8.2	0.4	0.8	1.2	1.6	0.4	3



8.3	0.4	0.8	1.2	1.6	0.4	1
8.4	0.4	0.8	1.2	1.6	0.4	1
8.5	0.4	0.8	1.2	1.6	0.8	1
<b>Total</b>	2.0	4.0	6.0	8.0	2.8	
<b>Total score of Internal and external coordination</b>					<b>8</b>	

#### Thematic Sector 9: Public accountability mechanism

Indicators	Condition -1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
9.1	0.6	1.2	1.8	2.4	1.2	2
9.2	0.6	1.2	1.8	2.4	1.2	2
9.3	0.6	1.2	1.8	2.4	1.8	3
9.4	0.6	1.2	1.8	2.4	1.2	2
9.5	0.6	1.2	1.8	2.4	0.6	1
<b>Total</b>	3	6	9	12	6	
<b>Total score of Public accountability mechanism</b>					<b>12</b>	

#### Thematic Sector 10: Knowledge management

Indicators	Condition -1	Condition - 2	Condition - 3	Condition - 4	Obtained Marks	Existing condition of RM under Indicators
10.1	0.5	1.0	1.5	2.0	0.5	2
10.2	0.5	1.0	1.5	2.0	0.5	1
10.3	0.5	1.0	1.5	2.0	0.5	1
10.4	0.5	1.0	1.5	2.0	1	1
10.5	0.5	1.0	1.5	2.0	0.5	1
<b>Total</b>	2.5	5.0	7.5	10.0	3	
<b>Total score of Knowledge management</b>					<b>10</b>	

## Annex 5: Local Government Institutional Self-Assessment System (LISA) Tool

### Sector- 1: Governance System

#### 1.1 Overall Scenario:

Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
1.1.1. (a) Decision making process of Assembly (LGOA-19)	Members are not informed about the topic of discussion and decisions prior to the assembly meeting. ✓	Occasionally members are given clear written information about discussion and decision before the assembly meeting.	Members are informed about discussion topics and decisions prior to the assembly meeting.	Members are given special written information about discussion and decision-making issues before seven days of Assembly meeting.	Copy of the letter provided to the assembly members Attendance and decisions document/ book
1.1.1. (b) Decision making process of Executive Board (LGOA-19)	Discussion agenda of meeting and its decisions have been taken as instructed by LG's chief.	The topic of discussions and its decisions in the meeting has been made as per the proposal of Executive Board of LG.	Majority based decisions are taken only after completion of topic wise discussion on the proposed topic ✓	Decisions are made on overall consensus build through open discussion process.	Attendance and Decisions document/ book. If there is view of opposition during the assembly meeting, then must be documented in the decision book.
1.1.2. Local laws (rules, regulations, directives, guidelines, standers and decisions) formulated and approved by LG Assembly/executive board have been made public	Practice of making public local laws (rules, regulations, directives, guidelines, standers and decisions) formulated and approved by LG Assembly/executive board.	Practice of making public approved local laws/acts (rules, regulations, directives, guidelines, standers) and other decisions in local gazette but no practice of publicizing other decisions.	Practice of making public approved local laws/acts (rules, regulations, directives, guidelines, standers and decisions) only in local gazette but other decisions are made public through notice board.	Practice of making public approved local laws/acts (rules, regulations, directives, guidelines, standers and decisions) in local gazette and uploading other decision in website, notice board and other communication medias. ✓	Copy of the local level gazette, letter, official website, copy of newspaper, video or audio recording.

#### Additional Indicators for Governance System

Indicators	Condition -1	Condition -2	Condition -2	Condition -4	Means of Verification
Clarity on individual job responsibility	Chief, Deputy Chief, ward chairmen, committee coordinators and chief administrative officer were not clear	Chief, Deputy Chief, and chief administrative officer were clear about their work responsibilities. ✓	Chief, Deputy Chief, ward chairmen, committee coordinators, chief administrative officer and all others were	Chief, Deputy Chief, ward chairmen, committee coordinators, chief administrative officer and all other section heads were clear about their	Work Division Regulation and Work performance documentation of the elected representatives

	about their work responsibilities.		clear about their work responsibilities.	work responsible to cooperate each other	
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### 1.2 Process Scenario:

Thematic Indicators	Weak	Satisfactory	Good	Means of Verification
1.2.1 Operational procedure/guidelines related to LG assembly/ Executive Board committee/sub-committee.	No guidelines/procedures have been prepared for organizing meeting of committee/sub- committee of Executive Board as provisioned in the LGOA.	Guidelines/procedures has been prepared for organizing meeting of committee/sub- committee of Executive Board as provisioned in the LGOA but not implemented yet. ✓	Guidelines/procedures are prepared for organizing meeting of committee/ sub-committee of Executive Board and are under implementation as provisioned in the LGOA.	Copy of work plan Committee and subcommittee decisions book.
1.2.2 Executive Board Meeting	Operational procedures for organizing Executive Board Meeting (call for meeting, final dates, venue, prior information about work schedule, majority count, signing in minute book, note of decent etc) has not been determined/established.	Operational procedures for Executive Board Meeting (call for meeting, final dates, venue, prior information about work schedule, majority counts, signing in minute book, note of decent etc) has been set but practiced partially. ✓	Executive Board Meeting (call for meeting, final dates, vane, prior information about work schedule, majority count, signing in minute book, note of decent etc) has been implemented as per the set operational procedures.	Copy of decisions book. Meeting endorsement letter.
1.2.3. Internal Control System (LGOA-78.5)	There is no policy arrangement to manage the internal control system of the LG. ✓	Policy arrangements have been made to manage internal control system but not under implementation.	A policy arrangement has been made to manage internal control system and has been implemented accordingly and also ascertained regular monitoring and feedback.	Internal control system directives.
1.2.4. Property details of local level elected representatives and employees	Local level elected representatives and employees have not submitted their property details as per the laws.	Some of the local level elected representatives and employees have submitted their property details as per the law.	All Local level elected representatives and employees have submitted their property details as per the laws ✓	Entry book for the local level properties details, copy of provincial governance property details

### 1.3. Quantitative Scenario:

Indicators	Weak	Satisfactory	Good	Means of Verification
1.3.1 Number of Executive Board meeting conducted within assessment period	No regular monthly meeting conducted	Generally, one meeting organized in a monthly.	At least one meeting including need-based meeting events were organized in every month. ✓	Meeting decisions book
1.3.2. Technology use in accounting system	Limited only to the manual accounting system.	Under preparation of implementing online accounting system.	Online accounting system is under implementation. ✓	Accounting reports, website

## Sector- 2: Organization & Administration

### 2.1. Overall Scenario:

Indicators	Condition -1	Condition -2	Condition -3	Condition o-4	Means of Verification
2.1.1. (a) Capacity Development of Municipality /Rural Municipality <b>(Local Governance Operation Act Clause...)</b>	CD Plan not yet prepared, and no budget has been allocated for CD. ✓	CD Plan has been prepared but not implemented yet.	CD Plan prepared and partially implemented	CD Plan prepared and fully implemented	Capacity development planning copy Staff capacity development training record
2.1.1. (b) Policy & provisions on personnel management (Act, Rule, By Laws, Guideline etc) <b>(Local Governance Operation Act Clause 11.2.)</b>	No any policy arrangement made on personnel administration and staffing arrangement being made under Ad Hoc basis. ✓	A policy provision on personal administration has been made but policy is yet to be implemented.	Policy provisions on personal administration has been made and partially implemented.	Policy provisions on personal administration has been made and fully implemented.	Publication of Staff related model
2.1.2. Reporting & Information Dissemination <b>(Local Governance Operation Act Clause 76 ,32)</b>	No report and information have been submitted to federal and provincial government	Report and information have been submitted to federal and provincial government but set deadlines not met. ✓	Report and information submitted to federal and provincial government on regular and on time.	Report and information submitted to federal and provincial government on regular and timely basis and uploaded in the website.	Copy of official report, Dispatch book

### Additional Indicators of Organization & Administration

Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
Organisation structure	Implemented the organisation structure (Organogram) provided by the Ministry. ✓	A review and discussions were made to review the organization structure provided the	In order to prepare the working structure, all officials, staff and other stakeholders including the	In order to prepare the working structure, all officials, staff and other stakeholders including the	Organogram, approved by Gaunpalika

		Ministry; however, the preparation is yet to complete	present structure have been reviewed but not implemented.	present structure have been approved and implemented.	
Creation of Job positions, recruitment and posting	In addition to exceed the number of staffs come from adjustment process rather than ministry's approved O&M structure, and other contract based technical and non-technical staff were also working	All the staffs, who came from employee adjustment process were adjusted within the mandate of ministry's approved O&M structure, and other contract based technical and non-technical staff were also engaged at palika. No any request was made to the Public Service Commission for essential staff.	Only the staffs, who came from employee adjustment process under the mandate of ministry's approved O&M structure were inadequate to deliver the services. So far, request was made to the Public Service Commission to fulfil the positions. However, the service delivery was continued through contract based technical and non-technical staff. ✓	The O&M was completed, and organisation structure was also approved by the palika. To fulfil the positions permanently, request was made to the Public Service Commission. Currently, the service delivery was continued through contract based technical and non-technical staff.	Personal Record of the Staff and request letter to the Public Service Commission
Institutional norms, values and working environment	No code of conduct was prepared to address the issues of institutional norms, value or morality of elected representatives.	The code of conduct is being prepared with involvements of representatives and staff. ✓	A written code of conduct was prepared and with involvements of representatives, staff, and other stakeholders, and approved it	A written code of conduct was approved, and adopted as well as implemented by the participation of elected representatives, employees and other stakeholders and all concerned shall abide by it.	Documents of organizational code of conduct, and Reward and punishment records
Work division between elected	Not approved by executive board about Work division and, Performance appraisal regulations	The work division and, Performance appraisal regulations were approved, nonetheless daily based administrative functions are completed by elected representatives	The work division and, Performance appraisal regulations were approved, nonetheless chair bypassed the board and took all decisions. At the end decisions were tabled to the upper level for approval ✓	The work division and, Performance appraisal regulations were approved. Based on that, all works, and functions were implemented by the concerned representatives and sections	The work division and, Performance appraisal regulations
Internal communication	The copy of the decisions of the gaunpalika board and ward committees were not provided to the concerned sections and units. ✓	The copy of the decisions of the gaunpalika board and ward committees were provided to the concerned sections and units.	The copy of the decisions of the gaunpalika board, ward committees, and staff meetings were provided to all board members, the concerned sections and units, and staffs.	The copy of the decisions of the gaunpalika board, ward committees, and staff meetings were provided to all board members, the concerned sections and units, and staffs. And	The copy of the decisions

				publicize regularly through website	
<b>Additional Indicators for Human Resource Management</b>					
<b>Indicators</b>	<b>Condition -1</b>	<b>Condition -2</b>	<b>Condition -3</b>	<b>Condition -4</b>	<b>Means of Verification</b>
Job Description	The Job Description of all sectoral units, ward offices, including committees and staff were not prepared	The Job Description of all sectoral units, ward offices, including committees and staff were already prepared, but yet to be approved	The Job Description of all sectoral units, ward offices, including committees and staff were already prepared, and approved, but yet to be implemented√	The Job Description of all sectoral units, ward offices, including committees and staff were already prepared on participatory manner, which was approved and effectively implemented	Individual file with description
Leadership style of the elected	The regular meeting of the executive board, ward committees, and staff were not taking place, and the schedule of meeting were also not decided	The schedule of regular meeting for the executive board, ward committees, and staff was decided, however, the meetings were not taking place√	The executive board meeting, ward committee meetings, and staff meetings were conducted regularly in scheduled time	The executive board meeting, ward committee meetings, and staff meetings were conducted regularly in scheduled time and interactions with concerned stakeholders were done for policy-based decisions.	Meeting minutes of the Gaunpalika executive board, ward committees and staff meetings
Carrier Development opportunity of the staff	No job carrier opportunities plan for staff to keep the morale of the employees high√	Job carrier opportunities plan was developed for staff to keep the morale of the employees high; it was not approved for implementation	Job carrier opportunities plan was prepared and approved, which was informed to all staff	Job carrier opportunities plan was prepared and approved, which was informed to all staff and adequate budget was allocated	Document of Job carrier opportunities plan
Training to the staff	More than 75 percent of the employed employees did not receive any trainings related to entry level or in-service training√	More than 50 percent of the employed employees received at least one training either entry level or in-service training	More than 50 percent of the employed employees received both trainings either entry level or in-service training	More than 50 percent of the employed employees received both trainings either entry level and in-service training or completed foreign study, exposure trainings	Record of the staff trainings
Orientation to the elected representative	The Chairman, and Vice chairman were participated in the orientation program organized by the Government of Nepal and other supporting agencies	The Chairman, Vice chairman and all executive members were participated in the orientation program organized by the Government of Nepal and other supporting agencies√	The Chairman, vice chairman all executive members, and all elected members were participated in the orientation program organized by the Government of Nepal and other supporting agencies	The Chairman, vice chairman all executive members, and all elected members were participated in the orientation program organized not only by the Government of Nepal and other supporting agencies, but also organized by oneself	Records and document of the participation in the trainings

## 2.2. Procedural Scenario:

Thematic Indicators	Weak	Satisfactory	Good	Means of Verification
2.2.1. Detail Terms of Reference (ToR) of Sectoral Division /Section/ Unit	No ToR prepared / developed	ToR prepared / developed but not yet implemented ✓	ToR prepared / developed and implemented	Work details roaster Website where work details are posted.
2.2.2. Staff contracted out in the place of outlawed permanent position (Local Gov Opt Act Clause 83's 8 and 9)	Outlawed permanent positions have been fulfilled even after the enactment of LG Operation Act	Staff recruited under contract but the Terms of Reference (ToR) does not specify the period, salary and other benefits.	Staff recruited in contract and the Terms of Reference (ToR) clearly specifies the period, salary and other benefits. ✓	Details of staffs who are contracted and their letter of agreement  Details of staffs posting.
2.2.3. Performance Contract with staff member	No performance contract signed in between the CAO and section head	Performance contract signed between the Mayor /Chair and CAO ✓	Performance contract signed between Mayor /Chair and CAO, CAO and Division/ Section Head	Draft of work completion document The book that includes work completion details.

## 2.3. Quantitative Scenario:

Indicator	Weak	Satisfactory	Good	Means of Verification
2.3.1. Investment on HR Development and CD	0.5% of recurrent capital ✓	0.5- 1.5 % of recurrent capital	Above 1.5 % of recurrent capital	Yearly budget and programme
2.3.2. Attendance of CAO (including official work within the work area)	Present below than 50 % days as specified by Ministry	Present 50 -75 % days as specified by Ministry ✓	Present above than 75 % days.	Attendance Register or e- attendance
2.3.3. Capacity Development Programme for LG's officials and staff member	Below to 40 % till the assessment period	40- 60% till the assessment period ✓	Above 60% within the assessment period	Evaluation Report Attendance Register.

## Sector- 3: Annual Budget and Plan Formulation

### 3.1. Overall Scenario:

Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
3.1.1. Annual Plan, Budget and	Annual plan, budget and periodic plan have not been prepared.	Only annual plan and budget prepared.	Annual Plan and budget and Periodic plan have been prepared. ✓	Annual plans and budget have been closely tied up with the periodic plan	Periodic Plan Document Annual Program Copy.

Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
Formulation of Periodic Plan					
3.1.2. Coordination and cooperation between concerned committees in relation to programming and budgeting. <b>Clause 65,66 Local Governance Operation Act</b>	Revenue Review Committee, Resource Projection /Budget Ceiling Committee and Budget and programming Committee not yet formed.	All activities are being performed solely by the Resource Projection and Budget Ceiling Fixing Committee.	All activities are being performed jointly by Local Revenue Review Committee and Resource Projection and Budget Ceiling Fixing Committee. √	All three Committees (Local Revenue Review Committee and Resource Projection and Budget Ceiling Fixing Committee are functional.	Committee formation decision book Committee meeting and decision book.
<b>Annual Budget and Plan Formulation Management related Additional Indicators</b>					
Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
Long-term vision and mission	Long-term vision, goals and objectives were not being determined so far and there has been no discussion in this regard.	Long-term vision, goals and objectives were not being determined so far, but the discussions were made among the elected representatives	Long-term vision, goals and objectives were determined, but the discussions were not done among the elected representatives, staff, and other stakeholders	Long-term vision, goals and objectives were determined, by the inclusive discussions among the elected representatives, staff, and other stakeholders√	Concerned authorized documents and records
Long-term sectoral plans	No long-term sectoral plans were developed, and discussions were made to meet the Long-term vision, goals and objectives	No long-term sectoral plans were developed, but discussions were made among the elected representatives, staff, and other stakeholders to meet the Long-term among the vision, goals and objectives√	Long-term sectoral plans were developed, only Chairman, Vice chairman, CAO and a few elected members are oriented and clear about this	Long-term sectoral plans were developed on inclusive basis; the discussions were made intensively with broad stakeholders. Plans are in implementation.	Documentations of the sectoral plans
Periodic plan	No periodic plan has been prepared and till now there has been no discussions in the Gaunpalika board on this issue.	No periodic plan has been prepared and till now, but there have been discussions among the representatives, staff, civil society, and other stakeholders made in the	Periodic plan has been prepared, however there was nobody clear about periodic plan, except chair, vice chair, CAO and few staff√	periodic plan has been prepared inclusively with intensive discussions of chair, vice chair, CAO few staff, civil society, DAG groups, and all stakeholders. All of them	Document of the Periodic plan and record of discussions



Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
		Gaunpalika board on this issue.		have equal understanding about periodic plan	
Pride projects and project bank	No identification of local pride projects and preparation of project bank	Some local pride projects are identified but detail projects report is not prepared√	The local pride projects are identified, and the detail projects report are prepared for all and integrate into annual plan	The local pride projects are identified, and the detail projects report are prepared for all and project bank has been prepared	The list of project bank and pride projects
<b>Additional indicators for project management</b>					
Annual Planning process	In formulating the Annual Plan, the participatory planning process did not literally follow the guidelines	The participatory planning process was partially followed to formulate the plan but did not include the topics provided by the periodic plan in the annual plan.	Following the participatory planning process, the annual plan was formulated. In the annual plan, the topics were included guided by the periodic plan, but there was no time bound with responsibility matrix was prepared√	Following the participatory planning process, the annual plan was formulated. In the annual plan, the topics were included guided by the periodic plan. There was time bound with responsibility matrix was prepared and implemented	Completion of project implementation report
Link between sectoral plan, Periodic plan and annual plan	No Periodic plan was formulated	The formulation process of periodic plan is going on. The long-term vision has been taken into consideration while formulating the annual plan.	The periodic plan has been formulated, which is strictly integrated, and follow in the annual plan. However, the medium - term expenditure framework was not prepared. √	The goals, objectives, strategies and activities set out by the Periodic Plan were followed by the Annual Plan and also prepared in the medium - term expenditure framework	Documents of Periodic plan, Annual Development plan, Mid-term Expenditure Framework
Annual policy & budget allocation	While formulating the annual budget, clear policies and programs have not been prepared in line with long-term goals, objectives and development priorities.	While formulating the annual budget, the policies and programs have been prepared, however, there is no synergy between policy programs and budget allocations.	Efforts to co-ordinate between annual policies and programs and budget allocations, however, both are presented together that does not make much sense. √	Annual policies and programs have been prepared and approved after intensive discussions and the annual budget is formulated based on the approved policy and program.	Annual policies and programmes, Discussions minuetts and Annual plan

Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
Approved budget implementation plan	Timely actions and responsibilities for implementing budget policies and programs are not set out	Timely actions for implementing budget policies and programs are set out, but responsibilities are not determined√	An implementation plan with timely activities and responsibilities has been prepared but it has not been followed in a literal way.	An implementation action plan with timeline, and responsibility was prepared that directed to implement the programme and budget, so far expected results are achieved in time manner.	Documents and minuts of implementation plan of Annual Development Plan
Monitoring, Evaluation and Quality Assurance	There are no plans related to monitoring, evaluation, and quality control for the implemented project	One of the procedures or annual action plan related to monitoring and evaluation of the plan was prepared but not implemented√	Project monitoring and evaluation related procedures are followed to monitor the project but did not submit the regular report and discuss it with the executive.	Indicator based monitoring, evaluation and quality control procedures or action plans have been approved and implemented. Also, the action has been taken by the Executive Board based on monitoring report.	Executive board meeting, meeting agenda and decisions for monitoring, evaluation and quality control procedures

### 3.2. Procedural Scenario:

Thematic Indicators	Weak	Satisfactory	Good	Means of Verification
3.2.1. Localization of Sustainable Development Goals	No any initiations taken toward localizing SDGs	Initiations have been taken to prepare required policy toward localizing SDGs √	Detailed Policy have been formulated for localizing SDG and implemented.	Periodic plan document, annual budget, sustainable development goals, localization related policies
3.2.2. Sector Budget Ceiling Prepared /determined	Sector Budget Ceiling not prepared√	Sector Budget Ceiling Prepared /determined	Priority based sector budget ceiling prepared /determined	Budget Ceiling policy exercise book. Prioritization of planning decisions.
3.2.3. Budget prepared and approved within deadline	No budget proposed within June 25 and approved within July 15.	Budget approved within July 15	Budget proposed within June 25 and approved within July 15 after adequate consultation. √	Record for Council budget. Committee meeting, attendance, decisions book.
3.2.3. NGOs got their budget approval from the assembly (Rural Municipality / Municipality Assembly) <b>(Local Gov. Operation Act Clause 25.2)</b>	LG not aware of NGOs programme and budget √	NGOs maintaining coordination with LG while implementing their programs.	Programme and budget of NGOs have been well incorporated in LG's plan.	Copy of Yearly plan, Coordination meeting, minuting.

### 3.3. Quantitative Scenario:

Indicator	Weak	Satisfactory	Good	Means of Verification
3.3.1. Portion of internal income in annual budget	Up to 10 % ✓	10-20 %	Above 20 %	Annual Budget programme
3.3.2. Portion of total budget invested for below 5 Lakh worth project	Above 50 %	50-30 %	Below 30 % ✓	Annual budget and programme copy
3.3.3. Annual internal revenue increment compared to last year	Static or below	up to 5 %	Above 5 % ✓	Internal Revenue Record
3.3.4. Cost contribution in project implemented by User's Committee and NGOs. <i>Local Governance Opt Act 24.3. (Gha)</i>	Below than 5 % (Cost contribution /partnering)	5-15 % (Cost contribution /partnering) ✓	Above 15 % Cost contribution /partnering	Annual budget and programme copy Partnership related decisions book.
3.3.5. Allocated budget for matching fund to implement joint partnering programme /projects	No budget allocated for matching fund/cost sharing	Up to 20 % cost sharing	More than 20 % cost sharing ✓	Annual Budget and Programme Copy.

### Sector-4: Financial and Economic Management

#### 4.1 Overall Scenario:

Indicator	Condition -1	Condition -2	Condition -3	Condition -4	
4.1.1 Internal revenue	No any study carried out from the last two years about internal revenue rate and range that are under the jurisdiction of Local Government	Study carried out about internal revenue rate and range, but no implementation of feedback as provided in the study	Study on rate and range of internal revenue carried out ✓and suggestion partially implemented	Study on rate and range of internal revenue carried out and the feedback/suggestion fully implemented as mentioned in the study	Revenue Consultation Committee Report.  Revenue rate
4.1.2 Financial Discipline	Final audit pointed out more than 5% arrears of total expenditure	Final audit pointed out 3- 5% arrears of total expenditure. ✓	Final audit pointed out 1-3% arrears of total expenditure	Final audit pointed out less than 1% arrears of total expenditure	Report of Financial Audit
<b>Fiscal management (Additional Indicators)</b>					
Utilisation of Provincial budget and grant	Not budget allocation for the matching fund and special grants available by province,	Budget allocation for the matching fund available by province, proposals are submitted on time,	Budget allocation for the matching fund available by province, proposals are	The budget amount which is received by the federal and provincial government in the form	Reports of Budget income and expenditure

	no proposals are submitted on time and did not return the remaining amount of conditional grants on time. ✓	but did not return the remaining amount of conditional grants on time.	submitted on time, and returned the remaining amount of conditional grants on time.	of revenue sharing is included in the annual budget, and some percentage of the revenue sharing budget is expended for development work.	
Revenue sharing and use of royalty	Revenue Sharing and Royalty are not included in the budget. The received amount from revenue distribution has been used for administrative expenses.	Revenue Sharing and Royalty which are received from federal and provincial government are included in the budget, and the received amount from revenue distribution has been used for administrative expenses.	Revenue Sharing and Royalty which are received from federal and provincial government are included in the budget, and some percentage of the received amount from revenue distribution has been expended for development works.	Revenue Sharing and Royalty are included in the budget. The received amount from revenue distribution has been used few percentages for administrative expenses, and larger volume expended for development works. ✓	Reports of Budget income and expenditure
Status of the internal revenue mobilization	Internal sources of revenue, taxes, service charges, customs, sales, rent and cost participation, are not been sufficiently utilized	Most of the potential internal resources are mobilised, and the Revenue Advisory Committee analyses the potentiality of internal revenue and submits reports.	All potential sources of internal revenue identified and mobilised, the Revenue Advisory Committee has made intensive discussions with stakeholders on tax and non-tax rate, scope and revenue policy matters.	All potential sources of internal revenue have been identified and mobilized. Tax rates have been made progressive, revenue reform action plans have been approved and implemented for internal revenue mobilization. The Revenue Advisory Committee is active in all these matters. ✓	Revenue Advisory Committee Decision minuet, Economic Act and approved Revenue Reform Action Plan
Status of the revenue administration	A separate revenue section has not been established and staffed are not positioned according to the organisation norms	A separate revenue section has been established and staffed are positioned according to the organisation norms	A separate revenue section has been established and staffed are positioned according to the organisation norms. Also, various training is provided to the staff	A separate revenue section has been established and staffed are positioned according to the organisation norms. Also, various training, equipment, software, and work procedures have been provided to the staff ✓	Revenue section organisation structure, physical condition of the section and capacity development records of the staff
<b>Additional Indicators: Fiscal Administration, and Fiscal Management</b>					

Public Procurement management	There is no annual procurement plan prepared and no separate public procurement regulation is existed√	Annual procurement plan was prepared and approved. Based on that goods and services are procured. However, no separate public procurement regulation is existed	Annual procurement plan was prepared and approved. Based on that goods and services are procured. And, a separate public procurement regulation is approved	A master plan for procurement was prepared and approved. Based on that goods and services are procured. And, a separate public procurement regulation is approved	Public Procurement regulation, Procurement master plan, Annual Procurement plan and procurement related documents
Property verification, handover and protection	No inspection has been done to store section annually, but only a few people follow the handover process, but no record is maintained on the leasing, land and other property√	Even though store section was inspected annually, the report does not take action. Most employees use to handover the property when they leave, only these records are used to maintain	Regular inspection of store section was done, and action has been taken partially based on inspection report. Most of the representatives and staff are handed over the property, which they used	Regular inspection of store section was done, and action has been taken based on inspection report. All representatives and staff are handed over the property, which they used. Also keep the track record of public land property	Store section inspection report and copies of the proceedings taken on it, records of property and property
Expenditure accounting and reporting system	The expenditure accounting software (SUTRA) was not implemented, and the expenditure report was not tabled to the executive board meeting and the concerned agencies.	The expenditure accounting software (SUTRA) was implemented, and the expenditure report was tabled to the executive board meeting √	The expenditure accounting software (SUTRA) was implemented, monthly reports are prepared and forwarded to the executive board meetings and concerned agencies	The expenditure accounting software (SUTRA) was implemented, monthly, quarterly, and annual reports are prepared and forwarded to the executive board meetings, federal government, provincial government and other concerned agencies. Also, publicized through website	Monthly, quarterly, and annual reports produced through SUTRA software, and copies of the letter
Internal audit	There is no internal audit section, and no internal audit was done√	There is no internal audit section, however internal audit has been done of District Treasury Controller Office	Internal audit section was established, and staff has been recruited. And complete all internal audits before the final audit	Internal audit section was established, and staff has been recruited. And regular internal audits are completed	Report of the Internal audit and final audit
Final audit	No timely response to audit arrear, as indicated by the final audit. And not submitted any evidences timely to update it. √	The pointed audit arrear by final audit has been forwarded to FCGO within 35 days and audit arrear data has been updated.	The pointed audit arrear by final audit has been forwarded to FCGO within 35 days, but the audit arrear data has not been updated.	The pointed audit arrear by final audit has been forwarded to FCGO within time and audit arrear data has been updated regularly.	Documents of FCGO, and Final audit report and update records

#### 4.2. Procedural Scenario:

Thematic indicators	Weak	Satisfactory	Good	Means of Verification
4.2.1 Applied the classification and accounting of income and expenditure as set by government method and structure	Not applied	Partially applied	Fully applied√	Forms that is used for keeping accounting details.
4.2.2 Publicized income and expenditure details	Not publicized√	Not publicized on monthly basis	Publicized on monthly basis within the deadline	Income and loss periodic details Timely published record.
4.2.3 Preparation of procurement Master Plan and Annual Procurement Plan as per prevailing law	Procurement Maser Plan and annual procurement plan NOT prepared√	Only annual procurement plan prepared	Both Procurement Master Plan and annual procurement plan are prepared and under implementation	Procurement Master Plan, Annual Procurement Plan Copy.
4.2.4 Programme approval and implementation	Expenditures made without approval of annual budget and programme by assembly	Expenditure made on other areas other than the programme approved by assembly	Expenditure made as per approval of assembly√	Council Approved Programme, Expenses details

#### 4.3 Quantitative Scenario:

Indicators	Weak	Satisfactory	Good	Means of Verification
4.3.1 Budget Transfer	Budget transferred to other areas that are out of assigned limitation and or budget head	Budget transferred only on program areas that are approved by assembly	Budget transferred within the assigned limitation and budget head √	Consolidated Annual Programme, Expenses details.
4.3.2 Administrative Expenditure	Administrative expenditure made from other budget heads including internal income and royalty	Administrative expenditure made as prescribed in conditional grant and within the budget head of internal income and royalty	Administrative expenditure made as prescribed in the conditional grant and within the budget head of internal income and royalty and also invested in capital programme√	Annual program, Expenses details.
4.3.3 Capital Expenditure	Expenditure made less than 60% of capital budget	Expenditure made 60-80% of capital budget	Expenditure made more than 80% of capital budget√	Expenses details Internal Financial Assessment.
4.3.4 Revenue collection	Revenue collected less than 70% of estimation√	Revenue collected 70-90% of estimation	Revenue collected more than 90% of estimation	Internal Revenue Test Revenue Goals
4.3.5. Expenditure	Mayor/Chairperson not delegated the expenditure authority to the chief	Mayor/Chairperson delegated the expenditure	Mayor/Chairperson delegated the expenditure	Copy of Authorization.

Indicators	Weak	Satisfactory	Good	Means of Verification
authority delegation	administrative officer (CAO)	authority to CAO after the deadline	authority to CAO within 7-day√	

#### Sector-5: Service Delivery

#### 5.1 Overall Scenario:

Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
5.1.1(A). Service delivery	Executive committee is not aware of service delivery to be provided to the citizen according to law.	No Institutional capacity of Executive Committee for the service delivery to be provided to the citizen according to law.	Having necessary Institutional arrangements for the service delivery according to law. √	Having necessary institutional arrangements, and implemented them, for the service delivery according to law.	Copy of Mayor of Rural Municipality and Municipality roles, Copy of staff details, Citizen vendetta, Complaint hearing.
5.1.1 (B). Services to be provided by ward	Services to be delivered through ward is not yet delivered according to law	Services delivered by joint ward office.	Ward offices are established in all wards and services are being provided partially, √	Service delivery is done by all wad offices as provisioned in the law.	Copy of ward chairperson duties, service delivery guideline, copy of staff's work plan, citizen vendetta, complaint hearing etc.
5.1.2. Satisfaction on service delivery	Beneficiaries are not satisfied by service delivery.	Beneficiaries are partially satisfied √	Level of service delivery is satisfactory on service delivery provided by office.	Beneficiaries are fully satisfied by service delivery.	Complaint and queries number and decisions, customers survey public interactive media.

Additional Indicators for Service Delivery					
Indicator	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
Service Delivery of Economic sector services	Out of the total development cost of the last 2 years, less than three percent has been invested in the areas of economic development (agriculture, industry, trade, commerce, employment, etc.).	Out of the total development cost of the last 2 years, less than five percent has been invested in the areas of economic development (agriculture, industry, trade, commerce, employment, etc.). √	Out of the total development investment of the last 2 years, less than ten percent has been invested in the areas of economic development (agriculture, industry, trade, commerce, employment, etc.).	Out of the total development investment of the last 2 years, more than three percent has been invested in the areas of economic development (agriculture, industry, trade, commerce, employment, etc.).	Records of development expenditures made in the last 2 years in the financial sector and a comparison document with the annual budget
Service Delivery of Social sector services	The social sector services could not be operated by targeting women, Dalits,	The social sector services to some extent are operated by targeting women, Dalits,	The targeted programs were launched through clustering of social services to women,	Based on poverty mapping the social sector services were delivered to women, Dalits, endangered indigenous peoples, persons with	Poverty mapping documents, annual development program, and

	endangered indigenous peoples, persons with disabilities, children and senior citizens and the poor.	endangered indigenous peoples, persons with disabilities, children and senior citizens and the poor. ✓	Dalits, endangered indigenous peoples, persons with disabilities, children and senior citizens and the poor.	disabilities, children and senior citizens.	investment document
Infrastructure Service Delivery	Infrastructure Services were operated on the recommendation of the Gaunpalika Chairperson and ward chairperson	Based on the recommendation of the Gaunpalika Chairperson, ward chairperson, and executive board member, as well as the commitment to complete the past continuous planning, Services were operated. ✓	In order to achieve the goals of Infrastructure Services, thematic sectoral demands, approved transport master plans, the commitment has been made to operate newly identified and past regular projects	In order to achieve the goals of Infrastructure Services, ward level demands, thematic sectoral demands, approved transport master plans, energy, and other, building construction projects, and periodic plan, the commitment has been made to operate newly identified and past regular projects	Periodic and annual planning documents, infrastructure services demand and delivery related document and its implementation and review progress document
Institutional Service Delivery	Local government recommendations including Institutional development and other services are delivered on the recommendation of the Gaunpalika chair, and ward chair.	Local government recommendations including Institutional development and other services are delivered through use of ICT on the recommendation of the Gaunpalika chair, and ward chair, and executive board members.	Local government recommendations including Institutional development and other services are delivered based on standard operation guidelines, and use of ICT ✓	Local government recommendations including Institutional development and other services are delivered based on standard operation guidelines and use of ICT. If not that, mobile camps were organised palika, and ward to provide the services at the doorsteps of the citizen	Approved Standard guidelines and working procedure documents
Service Quality management	No activities were organised to manage the service quality ✓	To maintain the quality of services, inspections and monitoring were implemented from time to time	To manage the quality of services, periodically inspection and review were implemented	To manage the quality of services according to the approved service standard, the consumer surveys, laboratory tests, inspections, monitoring and reviewing and improvement work plan were implemented. Based on the results, improvement plan was prepared and implemented	Inspection, and Monitoring reports

### 5.2 Procedural Scenario:

Indicators	Weak	Satisfactory	Good	
5.2.1. Service delivery based on technology	No technology used in service delivery.	Very few technologies used in service delivery. ✓	Technology used in every service delivery.	Time taken for service delivery, used information technology



Indicators	Weak	Satisfactory	Good	
5.2.2 Criteria on Service delivery (SOP)	Criteria not prepared regarding service delivery provided by office. ✓	Criteria on service delivery prepared but not implemented.	Criteria on service delivery prepared and implemented.	Indicators and conditions indicated services indicators implementation monitoring.
5.2.3. Delivery through Banking system	Official payments through banking system as well as cash.	All the official payments done through banking system only. ✓	All the official payments done through banking system and implementation of e-payment system.	Payment System
5.2.4. Alternative arrangement of services in ward	In absence of ward chairperson, alternative arrangement for the services at ward level is not implemented, ✓	In absence of ward chairperson, alternative arrangements for services at ward level is less effective or only effective in few ward offices.	In absence of ward chairperson, alternative arrangement of services is effective in all ward offices.	Copy of letter of responsibilities, Copy of the rights delegated.

### 5.3 Quantitative Scenario:

Indicators	Weak	Satisfactory	Good	Means of Verification
5.3.1. Grievances Settlement	Out of total, less than 40% grievances addressed by the municipality during assessment period. ✓	Out of total, 40% -80% grievances addressed by the municipality during assessment period.	Out of total, more than 80% grievances addressed by the municipality during assessment period	Complaint book, solved Complaint numbers,
5.3.2. Delivery of social security allowance through bank	Up to 1/3 <sup>rd</sup> out of total recipients ✓	1/3 <sup>rd</sup> to 2/3 <sup>rd</sup> out of total recipients	More than 2/3 <sup>rd</sup> out of total recipients.	Reimbursement record, bank statement (if the service is available)
5.3.3. Birth registration within 35 days of birth	Less than 70% ✓	In between 70% to 90%	More than 90%	Incident registration book.
5.3.4. Public hearing	Not yet public hearing conducted during the assessment period. ✓	Public hearing is done 2 times during the assessment period.	Public hearing is done on each trimester during the assessment period.	public hearing record, public hearing attendance record
5.3.5. Innovative approach is used on service delivery	Traditional approach on service delivery remains; services are delivered being stationed at the office premise.	At least one-time mobile camp is conducted in order to make services reachable; technology-based approaches is used in some area of service delivery. ✓	Online service approaches are implemented and mobile camp at ward level is conducted based on needs.	Online service technology uses for service delivery and its status, Rotation service record book
5.3.6. Access on education by all children	Student Enrolment rate is less than 80% during assessment period and school dropout rate is	Student enrolment rate is more or less 80-90% during assessment period and school	Student enrolment rate is more than 90% during assessment	Students admission record, their attendance records.

Indicators	Weak	Satisfactory	Good	Means of Verification
	not reduced in comparison to last year.	dropout rate is reduced by 50% in comparison to last year. ✓	period and school dropout is reduced by more than 50%.	
5.3.7. Citizen access to health services	Human resources, equipment and medicine are not adequate at Health Institutions that are established and conducted in accordance to Government law, rules and regulation. Less than 80% of children obtained mandatory vaccination	Human resources, equipment and medicine are delivered as required at the Health Institutions that are established in accordance to Government law, rules and regulation. Mandatory vaccination is obtained by 80-90% of children.	Human resources, equipment and medicine are delivered as per need at the Health Institutions that are established and conducted in accordance to Government law, rules and regulation. Mandatory vaccination is obtained by more than 90% of children. ✓	Health institution and service details, job post in the health institutions, regular staffs' number, health instruments and medicine accessibility, birthing service, children record and the vaccination record.
5.3.8. Veterinary and Agriculture Service	There is no human resource and technical service as per demand in established veterinary and agriculture service centres. ✓	There is few human resource and technical service available to meet service demands in established veterinary and agriculture service centres.	There is full flagged human resource and technical services available; meeting local demands in all established veterinary and agriculture service centres.	Numbers of agriculture service centre, copy of area agriculture centres covers, number of animal care centres, copy of the animal centres service, service criteria for the agriculture and animal centres.
5.3.9. Promotion of local products and market.	There is no any policy and program on promotion of local product and market management. ✓	There is the policy and program to promoting local product and marketing; however, marketing aspect is not properly managed.	There is policy and program for the promotion of local product and marketing with proper market management aspects.	Rules and program, institutional management, market management

## Sector - 6: Judicial Work Performance

### 6.1 Overall Scenario:

Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
6.1.1 Justice deliberation	Judicial committee not yet formed, and guideline not prepared to perform the work.	Judicial committee formed and performing the work without guideline.	Judicial committee formed and guideline prepared but not followed all provisions.	Judicial committee formed, guideline prepared, and the justice deliberated according to the guideline. ✓	Decision on Judicial committee formation, judicial implementation report, copy of judicial implementation work procedure
6.1.2 The satisfaction of the service recipients	People are not satisfied with the performance of judicial committee.	Some people are satisfied with the performance of the judicial committee.	The level of service course is satisfactory. ✓	Service recipients are completely satisfied with	Number of appeals, total appeals that had hearing.

with the performance of judicial committee				the work of judicial committee.	
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## 6.2 Procedural Scenario:

Thematic Indicators	Weak	Satisfactory	Good	Means of Verification
6.2.1 Provision of Mediators	No provision of Mediators	Mediators are not registered. ✓	Judicial committee mobilizes only registered Mediators for mediation process.	Community mediation lists, copy of community mediator appointment, copy of community mediation decisions.
6.2.2 Decision making process of the Judicial committee	Coordinator makes decision. ✓	The judicial committee formed, and decisions have been made on the majority basis.	The judicial committee has made decisions on unanimous basis.	Judicial committee decisions record.
6.2.3 Reporting system of Judicial committee	No practice of submitting the report. ✓	The report was submitted but not discussed in council meetings.	The report was submitted and discussed in the council meeting.	Record book that has information on the report that is submitted by chairperson, assembly discussion and decisions book.

## 6.3 Quantitative Scenario

Indicators	Weak	Satisfactory	Good	Means of Verification
6.3.1 Settlement of Complaints.	The complaints settlement rate is less than 50% during the assessment period.	50-70% complaints have been settled during the assessment period ✓	More than 70% complaints settled during the assessment period.	Queries record book, Resolved queries book
6.3.2 Appellate on the decision of the judicial committee	More than 50% of the total settled complaints have undergone for appellation process	10-50% of the total complaints settled have undergone for appellation process.	Less than 10% of the total complaints settled have undergone for appellation process. ✓	Number of queries resolved Queries that were in appeal
6.3.3 Establishment of Mediation Centre	No mediation centres established in any Wards. ✓	Mediation centres established and operational in some Wards.	Mediation centres formed and operational in all Wards.	community medication decisions book, minute of the community mediation work conduction that is in all wards.

## Sector-7: Physical Infrastructure Development

### 7.1 Overall Scenario

Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
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7.1.1 Physical Infrastructure (Road, Electricity, Drinking Water, Communication)	Physical status of infrastructure is very poor (In case of RM/Mun)	Physical status of infrastructure is just ok. (In case of RM/Mun) ✓	Physical status of infrastructure is satisfactory (In case of RM/Mun)	Physical status of infrastructure is good. (In case of RM/Mun)	Annual expenses on repair and maintenance, status of the fixed indicators, public hearing, public testing records, citizen's committee and media interaction.
	Minimum Physical Infrastructure situation is poor (In case of Sub- Metro PC/Metro PC)	Minimum Physical Infrastructure situation- Normal/General (In case of Sub- Metro PC/Metro PC)	Minimum Physical Infrastructure situation- Satisfactory (In case of Sub- Metro PC/Metro PC)	Minimum Physical Infrastructure situation- Good/well managed (In case of Sub- Metro PC/Metro PC)	field visit, technical evaluation, road development plan format, indicators, building qualitative.
7.1.2 Public-Private Partnership Policy (PPP)  (Local Government Operation Act-074 Article 24.8)	No any PPP prepared to contribute to physical infrastructure development ✓	PPP policy prepared but not implemented to contribute to physical infrastructure development	PPP policy prepared and partially implemented to contribute to physical infrastructure development	PPP policy prepared and partnership programme implemented in entire sectors of the policy to contribute to physical infrastructure development	copy of partnership rules, rules implementation status, partnerships types and areas, private and public areas partnerships expenses

## 7.2 Procedural Scenario

Indicators	Weak	Average	Good	Means of Verification
7.2.1 Child friendly and Disable friendly public infrastructure policy	Policy not prepared yet ✓	Policy prepared but not fully implemented	Policy prepared and fully implemented.	Copy of rules, Annual budget and progress report.
7.2.2 Utilization and sustainable management of infrastructure	No any policy and programmatic arrangements made for infrastructure repair and maintenance. ✓	Provision of budget and programme for repair and maintenance of infrastructure, but lacks policy for the management	Maintenance and Repair Fund has been established in participation of beneficiaries and the fund is being utilized through approved annual plan.	maintenance fund creation, decisions made by assembly on the markings of fund, maintenance fund and total fund in it, profit contribution part, fund utilizations and funds management
7.2.3 Environmental studies of Project	IEE/EIA activities of the project not carried out following respective laws	IEE/EIA of few projects has been carried out following respective laws. ✓	IEE/EIA of entire projects have been carried out following respective laws.	Projects as per the IEE and EIA report.
7.2.4 National Building Code and standards	National Building Code and local building standards not followed ✓	Partially followed National Building Code and local building standards	Fully followed National Building Code and Local Building construction standards,	copy of local building, maps that has approval of building creation, creation and new house model testing

### 7.3 Quantitative Results Scenario:

Indicator	Weak	Satisfactory	Good	Means of verification
7.3.1 Road Expansion	During the assessment period, less than 10% road expanded compared to last year	During the assessment period, 10-25% road expanded compared to last year. ✓	During the assessment period, more than 25% road expanded compared to last year	Annual progress report, extension of road visit
7.3.2 Road Improvement	During the assessment period, less than 5% road improved compared to last year.	During the assessment period, 5-15% road improved compared to last year ✓	During the assessment period, more than 15% road improved compared to last year	Annual progress report, road condition supervision.
7.3.3 Drinking Water Service Coverage	During the assessment period, drinking Water coverage increment is less than 10% HHs compared to last year.	During the assessment period, drinking Water coverage increment is 10-25% HHs compared to last year ✓	During the assessment period, drinking Water coverage increment is 25% HHs compared to last year	Annual progress report, extended area overview
7.3.4 Annual plan implementation status	Of the total approved annual projects, less than 50% physical infrastructure completed during the assessment period ✓	Of the total approved annual projects, 50-80% physical infrastructure completed during the assessment period	Of the total approved annual projects, more than 80% physical infrastructure completed during the assessment period	Annual progress report
7.3.5 Waste Management	No waste management policy in place and waste being collected in public places in unmanaged way. ✓	Waste management policy is in place and initiated to manage waste.	Waste management policy is in place and has managed waste in an integrated manner.	Copy of waste management rules, waste immersion centre.

### Sector - 8: Social Inclusion

#### 8.1 Overall Scenario

Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
8.1.1 (a) Social Inclusion (Women, Dalit, Janajati, Madhesi, Disabled, Muslim and minority)	Participation only in by law prescribed elected positions; local inclusion policy not yet prepared. ✓	The number in the constituent posts is proportional as minimum number set by the law; and the local level policy has been prepared to make proportional representation in different committees/sub-committees working groups formed based on local government Act 2074 but not implemented. ✓	The number in the constituent posts is proportional as minimum number set by the law; and the local level policy has been prepared to make representation in different committees/sub-committees working groups formed based on local government Act 2074 and implemented accordingly.	The number in the constituent posts is proportional as the number set by the law; and the local level policy has been prepared and practiced ensuring proportional and inclusive representation in different committees/sub-committees working groups formed based on local government Act 2074 and implemented accordingly.	committee formation and social inclusive representation percent

Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
8.1.1 (b) Social Discrimination	Prevails untouchability, social evils, superstition and; gender and discrimination and related violence has not decreased in the society.	Local policy has been prepared for minimizing incidents of untouchability, social evils, superstitions, gender discrimination and violence.	Action plan is prepared and implemented in accordance with local policy for reduction of incidents of untouchability, social evils, superstitions, gender discrimination and violence. √	The incidents of untouchability, social evils, superstitions, gender discrimination and violence are significantly reduced; and exists firm base for equitable society.	Discrimination, social evils, superstitions, gender discrimination and violence related incidents, copy of social issues related rules.
8.1.2 Engagement in the decision-making process	Only numerical presence set by the law in the local level decision-making process	Numerical presence subsists as set by the law, but only certain representatives do influence the local level decision making process.	Numerical presence subsists as set by the law in the local level decision-making process; decisions have been made in proportionate participation of the anticipated beneficiary group. √	There is a meaningful participation in the decision-making process, including the proportional representation of all groups.	Committee and subcommittee meeting attendance and decisions book.

## 8.2 Procedural Scenario:

Thematic Indicators	Weak	Satisfactory	Good	Means of Verification
8.2.1 Social Security and Social Protection	No any works done towards establishment and operation of children rehabilitation centres, shelter for senior citizen and disabled care centres √	Policies and programs are already formulated for the establishment of child rehabilitation centre, senior citizen care centre, disabled care centre; and the policy is just begun to operationalize.	Children's rehabilitation Centre, senior citizen care centre, disables care centres has been established based on the set policies and programme and are operational with easily access to the targeted groups.	Children rehabilitation centre, senior citizen shelter centre, conduction of people with disability care centre, copy of programs and related rules.
8.2.2 Debates, advocacy and awareness campaigns for the End of domestic Violence,	No any debates, advocacy and awareness programs conducted for the end of domestic violence.	Debates, advocacy and awareness programs related to ending domestic violence are not adequate and effective. √	Debates, advocacy and awareness programs related to ending domestic violence are effectively and adequately organized.	annual programs, record of program implementation , domestic violence related queries.
8.2.3 Child labour, Child marriage, dowry, vaccine, <i>chaupadi</i> related works	No policies and programs for the control of child labour, child marriage, widow marriage, dowry, <i>Chaupadi</i> etc. √	Policies and programs are prepared for the control of practices related to child labour, child marriage, widow marriage, dowry, <i>Chaupadi</i> etc	Policies and programs are prepared for the control of child labour, child marriage, widow marriage, dowry, <i>Chaupadi</i> etc and implemented.	copy of programs and its rules, queries book.

8.2.4 Gender Responsive Budget Audit	Gender Responsive Budget Audit not conducted. ✓	GESI Audit conducted but there is no reflection in planning and programs.	Plan and programs prepared on the basis on GESI Audit report.	annual plans and programs
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### 8.3 Quantitative Scenario

Indicators	Weak	Satisfactory	Good	Means of Verification
8.3.1 Decrease in incidents of domestic violence against women (In comparison to previous year).	Not decreased ✓	Decreased by 20%	Decreased by more than 20%	Queries registration book
8.3.2 Investments made for the programs in reducing ill traditions like child labour, child marriages, Dowry, Chowpadi (Budget out of conditional grant)	less than 0.2% ✓	to 0.5 %	More than 0.5%	Copy of annual budget and programme
8.3.3 The percentage of User committees having the coordinator/Chairperson from Women/Dalit and Disable (From total user committees formed) people.	10% ✓	10% to 30%	More than 30%	Name list of all user committee's executive.
8.3.4 Investments made for the betterment of socially and economically excluded women, children, Dalits, disabled people, senior citizens, minority, marginalized communities (Outside the conditional grant budget head)	less than 2%	2% to 10% ✓	More than 10%	copy of annual budget and programme.

### Sector- 9: Environment Protection and Disaster Management

#### 9.1 Overall Scenario

Indicators	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
9.1.1 Environment Protection	No any environment protection policy and institutional set up in place. ✓	Exists environment protection policy and institutional set up but lacks effective implementation mechanism	Environment protection policy and institutional set up is in place and environment protection works are started accordingly	Environment protection policy and institutional set up is in place and environment protection works are being effectively implemented accordingly.	Copy of environment conservation rules, environment conservation institutional facility.
9.1.2 Disaster Management	No Disaster management policy and institutional set up in place but efforts are limited to nominal relief materials distribution during the time of disaster ✓	Disaster management policy formed but lacks effective institutional set up in place.	Disaster management policy and institutional set up is in place and environment protection works are started accordingly	Disaster management policy and institutional set up is in place and environment protection works are being effectively implemented accordingly.	Copy of disaster management rules and institutional management.

#### 9.2 Procedural Scenario

Thematic Indicators	Weak	Satisfactory	Good	Means of Verification
9.2.1 Environmental Pollution Control (Water, Land, Sound, Air and Food)	No programme set for Environment pollution control√	Ineffective Environment protection programme	Executed Environment Pollution control programs effectively	rules, annual budget and programme, pollution mapping (model)
9.2.2 Capacity Development of Local representatives, staffs, volunteers, and communities on Disaster management	No programme for enhancing the capacity of representatives, staffs, volunteers and community people on disaster management √	Programs conducted for enhancing the capacity of representatives, staffs, volunteers and community people on disaster management but remained ineffective	Effectively executed the capacity development programs to the representatives, staffs, volunteers and community people on local disaster management	Job positions, civil service, volunteer and community capacity building, training record book.
9.2.3 Identification and Mapping of Disaster sectors	No identification and Mapping of Disaster sectors	Completed identification and Mapping of Disaster sectors but not reflected in the plans and programs √	Planned and executed programs and activities based on the Identification and Mapping of Disaster sectors	risk zone maps, annual budget and programme

### 9.3 Quantitative Scenario

Indicators	Weak	Satisfactory	Good	Means of Verification
9.3.1 Budget allocation to promote environment protection	Less than 1% of budget from equalization grant has been allocated for the development of Children Park/expansion of open greenery place etc. √	1-3% of budget from equalization grant has been allocated for the development of Children Park/expansion of open greenery place etc.	Greater than 3% of budget from equalization grant has been allocated for the development of Children Park/expansion of open greenery place etc.	Annual budget and programmes
9.3.2 Participation of Private Sectors/ Civil Societies and Citizen in environment protection	No participation of private sectors/ civil societies and citizen in environment protection	Participation from private sectors, civil societies and citizen in less than 50% of environment protection works √	Participation from private sectors, civil societies and citizen in more than 50% of environment protection works	public and private sectors participant's percentage, citizen's participation rules
9.3.3 LG's investment in environment pollution control (Equalization Grant)	Less than 0.1 % √	0.1 % - 0.3 %	Greater than 0.3 %	participation at public and private programme
9.3.4 Annual Budget allocation to Disaster Management Fund	Not Specified	Less than 0.2% of the total capital budget	Greater than 0.2% of the total capital Budget√	annual budget and programmes, crisis management and fund collection



Indicators	Weak	Satisfactory	Good	Means of Verification
9.3.5 Formation and functioning of Tole Lane Organizations (TLOs)	No policy to formulate Tole Lane Organization and not yet formulated any TLOs√	Policy formed and TLOs have formed in some settlements	Tole Lane Organization formulation policy formulated and, on its basis, more than 80% HHs have organized and functional in the TLOs	Tole development organization formation and conduction and related rules, member's participant's tole development
9.3.6 Availability of Emergency services like Ambulance, Fire Control	Unavailability of emergency services like Ambulance, Fire Control√	Access to less than 50% population to Emergency services like Ambulance, Fire Control	Access more than 50% population to emergency services like Ambulance, Fire Control	Ambulance, Fire Bridget related services accessibility

## Sector- 10: Co-operation and Coordination

### 9.1 Overall Scenario:

Indicator	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
10.1.1 Co-operation and Coordination among federal, province & local governments	LGs have no information about the program to be implemented in cooperation and coordination with federal and provincial governments	LGs have information about the program to be implemented in cooperation and coordination with federal and provincial governments but there is not functional coordination with the federal and provincial governance while formulating policy and programs.	LGs have information about the program to be implemented in cooperation and coordination with federal and provincial governments but there is limited functional coordination with the federal and provincial governance while formulating policy and programs. √	LGs have information about the program to be implemented in cooperation and coordination with federal and provincial governments and there is fully functional coordination with the federal and provincial governance while formulating policy and programs.	internal governance coordination and related laws copy, Annual budget and program coordination and partnership.
10.1.2 Inter LGs Co-operation and Coordination (conservation of natural resources, industry, infrastructure development, environment conservation and waste management, Emergency service management and revenue collection etc.)	The common areas of cooperation and coordination has not been identified and also not taken any initiation	The common areas of cooperation and coordination has been identified but no initiation has been taken to prepare policy and structure√	The common areas of Cooperation and Coordination has been identified and prepared policy and institutional structure.	The policy and institutional structure for co-operation and coordination in common areas have been prepared and implemented successfully in respective LGs	Presence of related local level coordination meeting, their attendance and decisions, Coordination areas.

<b>Additional Indicators for Cooperation's and Coordination's</b>					
<b>Indicator</b>	<b>Condition -1</b>	<b>Condition -2</b>	<b>Condition -3</b>	<b>Condition -4</b>	<b>Means of Verification</b>
Inter-relationships with Federal institutions	No working relationship were made with any federal agencies	Attempts were made to establish working relationships with the District Administration Office, Police Office, Courts and Educational Knowledge Centre	The working relationships was established with the District Administration Office, Police Office, Courts and Educational Knowledge Centre, and programmes were implemented√	The working relationships was established with the District Administration Office, Police Office, Courts and Educational Knowledge Centre, and other complementary and nurturing relationships were maintained to implement the projects and programmes	Copy of the dispatched letter and meeting minuets
Inter-relationships with Provincial institutions	No working relationship were made with any provincial agencies	Attempts were made to establish working relationships with provincial sectoral division offices, provincial planning commission, provincial ministries	Established working relationships with the provincial Division Offices, provincial planning commission, provincial ministries, and tried to streamline programs and services in the absence of duplication. √	The working relationships was established with the provincial Division Offices, provincial planning commission, provincial ministries, and other complementary and nurturing relationships were maintained to implement the projects and programmes	Copy of the dispatched letter and meeting minuets
Inter local government coordination	The working relationship has not been established with other Gaunpalikas/ municipalities located in the nearby or in remote areas.	Attempts have been made to establish working relationships with other Gaunpalikas/ municipalities in development infrastructure, service delivery, revenue mobilisation and other functions. √	Attempts have been made to work with the joint committees by establishing working relationships with other Gaunpalikas/ municipalities in development infrastructure, service delivery, revenue mobilisation, capacity development and other functions.	Establish working relationships with other Gaunpalikas/ municipalities by establishing working relationships on development, service delivery, revenue mobilisation, capacity development and so on, and conducting programs in a collaborative manner through a joint committee.	Copy of the dispatched letter and meeting minuets
Coordination with NGOs	Non-functional coordination with NGOs operating within Gaunpalika√	Invite all NGOs operating within Gaunpalika to interact and share in each other's activities through interaction and co-	Inviting all non-governmental organizations operating within Gaunpalika to participate in the activities through interaction and co-ordinate to avoid duplications. Also,	Inviting all non-governmental organizations operating within Gaunpalika to participate in the activities through interaction and co-ordinate to avoid duplications. Also, included the budget plan and program of the NGO in	Copy of the dispatched letter and meeting minuets

		ordinate to avoid duplications.	included the budget plan and program of the NGO in Gaunpalika plan and programme.	Gaunpalika plan and programme, and conducted Gaunpalika's programme through NGOs.	
Coordination with Private sector	No working relationships were made with the private sector. ✓	Encourage the private sector to work jointly in revenue mobilisation, establishment of industrial villages and social responsibility	In coordination with the private sector, in addition to revenue mobilisation, establishment of industrial villages and social responsibility; an agreement was made with private sector, including the Commerce and Industry Association, to follow and implement the creative and innovative models developed by the private sector	In coordination with the private sector, in addition to revenue mobilisation, establishment of industrial villages, industrial infrastructure construction, agriculture product collection and refine, employment creation including social responsibility; an agreement was made with private sector, including the Commerce and Industry Association, to follow and implement the creative and innovative models developed by the private sector	Copy of the dispatched letter and meeting minutes

### 10.2 Procedural Scenario:

Indicators	Weak	Satisfactory	Good	Means of Verification
10.2.1 Formation and operation of inter-LGs committee (more than two) mechanism to address common interests.	No formation an inter-LGs committee mechanism to address common interests and made functional. ✓	The committees of inter-LGs have been formed to address common interests of LGs but not functional.	The committees of inter-LGs have been formed to address common interest and the committee is functional	Joint committee formation, attendance and decisions book Joint committee work areas and numbers of meeting
10.2.2 Cooperation and Coordination with non-governmental organizations and private sector	No policy and programs to collaborate/coordinate with local NGOs and private sector. ✓	The policy to collaborate /coordinate with local NGOs and private sector has been prepared but not yet implemented	The policy to collaborate /coordinate with local NGOs and private sector has been prepared and fully implemented.	Non-governmental institutions copy of private areas coordination rules Coordination meeting attendance and decisions book.

### 10.3 Quantitative Scenario

Indicators	Weak	Satisfactory	Good	Means of Verification
10.3.1 Inter-government coordination and facilitation	LGs have no information about coordination, facilitation and support mechanisms to be established with federal and provincial governments for the implementation of programme.	LGs have information about coordination, facilitation and support mechanisms to be established with federal and provincial governments for the implementation of programme but non-functional ✓	LGs have information about coordination, facilitation and support mechanisms to be established with federal and provincial governments for the	Conduction of coordination program between three local level governments, annual budget and program

			implementation of programme and mechanisms are functional.	
10.3.2 Inter LGs partnership	No any initiations have been taken for the joint venture management with other LGs aiming to reduce cost, maximize the resources and effective services. ✓	At least one program has been implemented in joint venture with other LG aiming to reduce cost, maximize the resources and effective services.	More than one program has been implemented in joint venture with other LG aiming to reduce cost, maximize the resources and effective services	Copy of annual development program partnership between local level and decisions book
10.3.3 Coordination with DCC	There is no discussion held in LGs executive level on the suggestions and feedbacks received from DCC to facilitate the development work.	Discussions are held in LGs executive level on the suggestions and feedbacks received from DCC to facilitate the development work, but no decision made on the agenda.	Discussions are held in LGs executive level on the suggestions and feedbacks received from DCC to facilitate the development works and decision made and acted upon. ✓	Background information from District Coordination Committee and monitoring and its report with suggestions, Local levels within districts coordination meeting and decisions book.

## 11. Public accountability mechanism

Indicator	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
Interaction with Citizens on public concerned issues	Consultations were made only with civil society and some stakeholders in the issues of citizen concern, while formulating plans, implementation other very of services	Consultations were made with women, children, youth, professional organizations, endangered and marginalised communities, civil society and other stakeholders in the issues of citizen concern, while formulating plans, implementation and delivery of services✓	Consultations were made with civil society and other stakeholders including women, children, youth, professional organizations, endangered and marginalized communities in formulation of the plan and its implementing as well as dissemination of the services, Also, received suggestions were included in the policy, strategy and programs	Consultations were made with civil society and other stakeholders including women, children, youth, professional organizations, endangered and marginalized communities on issues of civic concern while formulating plans and its implementation and delivery of services, incorporating the suggestions received in the policy, strategy and programs and periodically revising it.	Correspondence document and meeting minuets on planning and interactions meetings of executive committees and ward committees
Publicise of executive board decisions and other executive major decisions	No other main documents and decisions were made public through Gazette, except those Acts, which were passed by the assembly	Only the Acts, regulations, procedures, and directories approved by executive board were made public through Gazette, except these,	All approved Acts, regulations, procedures, and directories by the executive board were made public through Gazette and website. In addition, other important documents were	All approved Acts, regulations, procedures, and directories by the executive board were made public through Gazette and website. Further, the details of the important decisions of the Executive board, the expenditure	Published local gazettes, webpages and documents in the information centre

		other decisions were not made public√	also publicised for federal level concerned stakeholders	details, audit report and other important documents, including arrears, are made public on the website and information is made public for all concerned stakeholders.	
Documentation and apply of constitutional bodies' direction and instruction	Following the directions given by Constitutional Bodies, including the FCGO and the Commission for Investigation of Abuse of Authority, did not respond in a timely manner.	Following the directions given by Constitutional Bodies, including the FCGO and the Commission for Investigation of Abuse of Authority, and respond in a timely manner.	Following the directions given by the Constitutional Bodies, including the FCGO and the Commission for Investigation of Abuse of Authority, and prepare the files and data of each instruction and send periodic respond √	Following the directions given by the Constitutional Bodies, including the FCGO and the Commission for Investigation of Abuse of Authority, and prepare the different files and data base of each body, send periodic replies and keep up to date with constant contact.	Records of related to correspondence and files
Relationships with Media	No interactions and discussions were made with local media, FM. Radio and television channels about the effectiveness of the service delivery	Interactions and discussions were made with few of the local media, FM. Radio and television channels about the effectiveness of the service delivery√	Interactions and discussions were made with few of the local media, FM. Radio and television channels about the effectiveness of the service delivery. Also, a systematic record keeping system was maintained about the comments on media regarding the effectiveness of the service delivery	Interactions and discussions were made with available local media, FM. Radio and television channels about the effectiveness of the service delivery. Also, a systematic record keeping system was maintained about the comments on media regarding the effectiveness of the service for further improvements.	Records of related to correspondence and Meeting minuet Book of Palika Executive Board
Use / Implementation of the public accountability tools	Only one of two tools of public accountability, such as service satisfaction surveys, public audit, public hearings, social audit, regular media meetings, third-party monitoring and information	Most of the tools of public accountability, such as service satisfaction surveys, public audit, public hearings, social audit, regular media meetings, third-party monitoring and information publication, was adopted.	Most of the tools of public accountability, such as service satisfaction surveys, public audit, public hearings, social audit, regular media meetings, third-party monitoring and information publication, were adopted periodically and results made public.	Most of the tools of public accountability, such as service satisfaction surveys, public audit, public hearings, social audit, regular media meetings, third-party monitoring and information publication, were adopted periodically and results made public. To improve the service delivery, a systematic	Reports and records

	publication, was adopted. ✓			action plan was prepared and implemented	
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## 12. Knowledge management

Indicator	Condition -1	Condition -2	Condition -3	Condition -4	Means of Verification
Documentation and publication of the Acts and Legal documents	Only some of the laws, passed by the assembly in the past have been codified.	Every law, passed by the assembly were coded and recorded ✓	Every law, passed by the assembly were coded and recorded are published for public information	Every law passed by the assembly were coded and recorded are published for public information. Additionally, it has been accessed to website and available in palkia's library	Published local gazette, and palika's website
Documentation of learning	As of the local government, the learnings are not codifying and recorded at the palika ✓	As of the local government, decisions were made to codify and record the major learnings, but codification and recording yet to implement	As of the local government, decisions were made to form a task force team to collect the major learnings, and decided to publish the records	As of the local government, decisions were made to form a task force team to collect the major learnings and published the records. Additionally, it has accessed on website and available in library	Published books and record, Palika website
Documentation of the major achievements	Significant achievements are not recorded mainly in the infrastructure, economic, social and physical sectors ✓	Decisions were made to record the significant achievements mainly cost of construction, builders, construction period, and the age of construction of infrastructure, economic, social and physical sectors	Records were maintained of the significant achievements mainly cost of construction, builders, construction period, and the age of construction of infrastructure, economic, social and physical sectors	Records were maintained of the significant achievements mainly cost of construction, builders, construction period, and the age of construction of infrastructure, economic, social and physical sectors. Additionally, it has accessed on website and copies were available in library	Published books and record, Palika website
Documentation of the best practices	Unable to record and codify the best practices ✓	It has been decided to inform other local government as well as upper level governments by recording and codifying best practices.	Record and codification of the best practices were made and published it to inform other local level and upper level governments	Record and other of the best practices were made and published it to inform other local level and upper level governments. Additionally, it has accessed on website and available in library	Published books and record, Palika website
Management of the Library and Information Centre	Unable to manage and establish the library and information centre ✓	Decision was made to establish the library and information centre	Resources was managed to establish the library and information centre, whereby information, books and newspaper are available	Resources was managed to establish the library and information centre, whereby information, books and newspaper are available. Through this, website was managed, and information were updated	record, Palika website

## Annex 6: Incorporated LISA Indicators (12 Themes)

Criteria	LISA	INCA		Remarks
	Area of indicators	Criteria		Area of indicators
1: Governance System	1.1 Overall Scenario 1.1.1 Decision making process of Assembly and Decision-making process of Executive Board 1.1.2 Local laws formulated and made public 1.2 <b>Process Scenario</b> 1.2.1 Operational procedure/guidelines related to LG assembly/ Executive Board, committee/sub-committee. 1.2.2 Executive Board Meeting 1.2.3 Internal Control System 1.2.4 Property details of local level elected representatives and employees 1.3 <b>Quantitative Scenario</b> 1.3.1 Number of Executive Board meeting conducted within assessment period 1.3.2 Technology use in accounting system	Clarity on functional assignment of Rural municipalities, Vision & Plan	1. Clarity about the personal role and responsibilities related to functional assignments.	LISA & INCA indicators not contradicting but supplementing.  The areas of of indicators of INCA are mentioned in red and green colour letters. The red colour denotes the new dimension we have added, and green colours denoted it relate with LISA having different prospective.
2: Organization & Administration	<b>2.1 Overall Scenario</b> 2.1.1 Capacity Development of Municipality /Rural Municipality and Policy & provisions on personnel management (Act, Rule, By Laws, Guideline etc) 2.1.2 Reporting & Information Dissemination <b>2.2 Procedural Scenario</b> 2.2.1 Detail Terms of Reference (ToR) of Sectoral Division /Section/ Unit 2.2.2 Staff contracted out in the place of outlawed permanent position 2.2.3 Performance Contract with staff member <b>2.3 Quantitative Scenario</b> 2.3.1 Investment on HR Development and CD 2.3.2 Attendance of CAC 2.3.3 Capacity Development Programme for LG's officials and staff member	Organization & management	Organisation structure 2. Creation of Job positions, recruitment and posting 3. Institutional norms, values and working environment 4. Work division between elected representatives and staff 5. Internal communication	
		3. Human Resource Management	1. Job Description 2. Leadership style of the elected representatives and staff 3. Career Development opportunity of the staff 4. Training to the staff 5. Orientation to the elected representative	

Criteria	LISA	INCA	Remarks
	Area of indicators	Criteria	Area of indicators
3. Annual budget & plan management	<p>3.1 <b>Overall Scenario</b></p> <p>3.1.1 Annual Plan, Budget and Formulation of Periodic Plan</p> <p>3.1.2 Coordination and cooperation between concerned committees in relation to programming and budgeting.</p> <p>3.2 <b>Procedural Scenario</b></p> <p>3.2.1 Localization of Sustainable Development Goals</p> <p>3.2.2 Sector Budget Ceiling Prepared /determined</p> <p>3.2.3 Budget prepared and approved within deadline</p> <p>3.2.4 NGOs got their budget approval from the assembly</p> <p>3.3 <b>Quantitative Scenario</b></p> <p>3.3.1 Portion of internal income in annual budget</p> <p>3.3.2 Portion of total budget invested for below 5 Lakh worth project</p> <p>3.3.3 Annual internal revenue increment compared to last year</p> <p>3.3.4 Cost contribution in project implemented by User's Committee and NGOs.</p> <p>3.3.5 Allocated budget for matching fund to implement joint partnering programme/projects</p>	<p>4. Plan, program and Project Management</p> <p>1. Long-term vision and mission</p> <p>2. Long-term sectoral plans</p> <p>3. Periodic plan</p> <p>4. Pride projects and project bank</p> <p><b>Additional indicators for project management</b></p> <p>1. Annual Planning process</p> <p>2. Link between sectoral plan, Periodic plan and annual plan</p> <p>Annual policy &amp; budget allocation</p> <p>Approved budget implementation plan</p> <p>5. Monitoring, Evaluation and Quality Assurance</p>	



Criteria	LISA	INCA		Remarks
	Area of indicators	Criteria		Area of indicators
4. Fiscal & Financial Management	<b>4.1 Overall Scenario</b> 4.1.1. Internal revenue 4.1.2. Financial Discipline <b>4.2. Procedural Scenario</b> 4.2.1. Applied the classification and accounting of income and expenditure as set by government method and structure 4.2.2. Publicized income and expenditure details 4.2.3. Preparation of procurement Master Plan and Annual Procurement Plan as per prevailing law <b>4.3. Quantitative Scenario</b> 4.3.1. Budget Transfer 4.3.2. Administrative Expenditure 4.3.3. Capital Expenditure 4.3.4. Revenue collection 4.3.5. Expenditure authority delegation	5. Fiscal Management	Utilisation of Provincial budget and grant 2. Revenue sharing and use of royalty 3. Status of the internal revenue mobilization 4. Status of the revenue administration	
		6. Financial Administration	1. Public Procurement management 2. property verification, handover and protection 3. Expenditure accounting and reporting system 4. Internal audit 5. Final audit	
5. Service delivery	5. <b>Overall Scenario</b> 5.1.1 Service delivery and Services to be provided by ward 5.1.2 Satisfaction on service delivery 5.2 <b>Procedural Scenario</b> 5.2.1 Service delivery based on technology 5.2.2 SOP of Service delivery 5.2.3 Delivery through Banking system 5.2.4 Alternative arrangement of services in ward 5.3 <b>Quantitative Scenario</b> 5.3.1 Grievances settlement 5.3.2 Delivery of social security allowance through bank 5.3.3 Birth registration within 35 days 5.3.4 Public hearing 5.3.5 Innovative approach is used on service delivery 5.3.6 Access on education by all children 5.3.7 Citizen access to health services 5.3.8 Veterinary and Agriculture Service 5.3.9 Promotion of local products and market.	7. Service Delivery Management	1. Service Delivery of Economic sector services 2. Service Delivery of Social sector services 3. Infrastructure Service Delivery 4. Institutional Service Delivery 5. Service Quality management	

Criteria	LISA	INCA		Remarks
	Area of indicators	Criteria		Area of indicators
6. Judicial rights & performance	<b>5.4 Overall Scenario</b> <b>5.4.1</b> Justice deliberation <b>5.4.2</b> The satisfaction of the service recipients with the performance of judicial committee <b>5.5</b> Procedural Scenario <b>5.5.1</b> Provision of Mediators <b>5.5.2</b> Decision making process of the Judicial committee <b>5.5.3</b> Reporting system of Judicial committee <b>5.6</b> Quantitative Scenario <b>5.6.1</b> Settlement of Complaints. <b>5.6.2</b> Appellate on the decision of the judicial committee <b>5.6.3</b> Establishment of Mediation Centre			
7. Physical Infrastructure Development	<b>6 Overall scenario</b> <b>6.1.1</b> Physical Infrastructure (Road, Electricity, Drinking Water, Communication etc) <b>6.1.2</b> Public- Private Partnership Policy (PPP) <b>6.2</b> Procedural scenario <b>6.2.1</b> Child friendly and Disable friendly public infrastructure policy <b>6.2.2</b> Utilization and sustainable management of infrastructure <b>6.2.3</b> Environmental studies of Project <b>6.2.4</b> National Building Code and standards <b>6.3</b> Quantitative Result Scenario <b>6.3.1</b> Road Expansion <b>6.3.2</b> Road Improvement <b>6.3.3</b> Drinking Water Service Coverage <b>6.3.4</b> Implementation status of annual plan <b>6.3.5</b> Waste Management			
8. Social Inclusion	<b>7 Overall Scenario</b> <b>7.1.1</b> Social Inclusion <b>7.1.2</b> Social Discrimination <b>7.1.3</b> Engagement in the decision- making process <b>7.2</b> Procedural Scenario <b>7.2.1</b> Social Security and Social Protection <b>7.2.2</b> Debates, advocacy and awareness campaigns for the End of domestic violence <b>7.2.3</b> Child labour, Child marriage, dowry, vaccine, <i>chaupadi</i> related works <b>7.2.4</b> Gender responsive budget audit <b>7.3</b> QS <b>7.3.1</b> Decrease in incidents of domestic violence against women (In comparison to previous year).			

Criteria	LISA	INCA		Remarks
	Area of indicators	Criteria		Area of indicators
	<p>7.3.2 Investments made for the programs in reducing ill traditions like child labour, child marriages (Budget out of conditional grant)</p> <p>7.3.3 The percentage of User committees having the coordinator/Chairperson from Women/Dalit and Disable (From total user committees formed) people.</p> <p>7.3.4 Investments made for the betterment of socially and economically excluded women, children, Dalits, disabled people, senior citizens, minority, marginalized communities (Outside the conditional grant budget head)</p>			
9. Environment Protection and Disaster Management	<p><b>7.4 OS</b></p> <p>7.4.1 Environment Protection</p> <p>7.4.2 Disaster Management</p> <p>7.5 PS</p> <p>7.5.1 Environmental Pollution Control (Water, Land, Sound, Air and Food)</p> <p>7.5.2 Capacity Development of Local representatives, staffs, volunteers, and communities on Disaster management</p> <p>7.5.3 Identification and Mapping of Disaster sectors</p> <p>7.6 QS</p> <p>7.6.1 Budget allocation to promote environment protection</p> <p>7.6.2 Participation of Private Sectors/ Civil Societies and Citizen in environment protection</p> <p>7.6.3 LG's investment in environment pollution control (Equalization Grant)</p> <p>7.6.4 Annual Budget allocation to Disaster Management Fund</p> <p>7.6.5 Formation and functioning of Tole Lane Organizations (TLOs)</p> <p>7.6.6 Availability of Emergency services like Ambulance, Fire brigade</p>			
10. Co-operation and Coordination	<p><b>7.7 Co-operation and Coordination</b></p> <p>7.7.1 Co-operation and Coordination among federal, province &amp; local governments</p> <p>7.7.2 Inter LGs Co-operation and Coordination (conservation of natural resources, industry, infrastructure development, environment conservation and waste management, Emergency service management and revenue collection etc.)</p>	8. Internal and External Coordination	<p>1. Inter-relationships with Federal institutions</p> <p>2. Inter-relationships with Provincial institutions</p> <p>3. Inter local government coordination</p> <p>4. Coordination with NGOs</p> <p>5. Coordination with Private sector</p>	

Criteria	LISA		INCA		Remarks
	Area of indicators		Criteria		Area of indicators
	7.7.3	Formation and operation of inter-LGs committee (more than two) mechanism to address common interests.			
	7.7.4	Cooperation and Coordination with non-governmental organizations and private sector			
	7.7.5	Inter- government coordination and facilitation			
	7.7.6	Inter LGs partnership			
	7.7.7	Coordination with DCC			
			9. Public Accountability Management	<ul style="list-style-type: none"> <li>1. Interaction with Citizens on public concerned issues</li> <li>2. Publicise of executive board decisions and other executive decisions</li> <li>3. Documentation and apply of constitutional bodies' direction and instruction</li> <li>4. Relationships with Media</li> <li>5. Use / Implementation of the public accountability tools</li> </ul>	
			10. Knowledge Management	<ul style="list-style-type: none"> <li>1. Documentation and publication of the Acts and Legal documents</li> <li>2. Documentation of learning</li> <li>3. Documentation of the major achievements</li> <li>4. Documentation of the best practices</li> <li>5. Management of the Library and Information Centre</li> </ul>	

**Annex 7: List of participants of the Assessment Workshops**

उपरोक्त मिति २०६६ माघ १२ गते का दिन यस स्वतंत्रतावाच्य गा.पा. को आयोजना र पूर्णमा परिशेजनाको प्राविधिक सहयोगमा मिति २०६६/०१/१२ देखि १३ गतेसम्म हुने स्थानिय सरकारको संस्था स्वतंत्रतावाच्य (LISA) जोडि यस गा.पा.का अध्यक्ष श्री रतन बज्रपुर तामाङको अध्यक्षतामा तपासल बमोजिमको उपस्थितिमा सञ्चालन भयो।

उपस्थिति	पद / उपाध्य	हस्ताक्षर
१. श्री रतनबज्रपुर तामाङ	अध्यक्ष, स्वतंत्रतावाच्य गा.पा.	
२. श्री योगमाया तामाङ	उपाध्यक्ष	
३. श्री सुरबहादुर तामाङ	अध्यक्ष, नेपाल स्वतंत्रतावाच्य मिति	
४. हेमन्तबहादुर तामाङ	वडा नं. २ वडा अध्यक्ष	
५. बुधबहादुर तामाङ	" - २ " " "	
६. कुँड्रे तामाङ	वडा नं. १ " - "	
७. श्री हरे तामाङ	चडा नं. ३ चडा अध्यक्ष	
८. सन्तोष खड्का	कार्यवाहक, पूर्णमा	
९. सन्तोष शिपिरे	सहजकर्ता	
१०. कुँड्रे बहादुर नेपाल	सहजकर्ता	
११. विजया राजवंश	सहजकर्ता	
१२. जीवन सुब्बा	डीजिनियर, पूर्णमा	
१३. गोकुल बहादुर खत्री	प.ए. ई.का.डा.का.	
१४. जैपाल ञ्जुसा तामाङ	प.ए.ई.का.डा.का.	
१५. सुबला तामाङ	सब-इन्जिनियर स्वतंत्रतावाच्य गा.पा.	
१६. राजेश विजाल	IT-officer (स्वतंत्रता १-३०६६)	
१७. दिपक खड्का	के.ए.ए. / स्व. गा.पा.	
१८. गितामन तामाङ	इ.सहायक	
१९. विश्वरूप शिपिरे	BIM (BOK)	
२०. विनायक डकाल	Engineer (BM)	
२१. प्रमोद कुमार शिपिरे	Short-term Engineer (DCA-मिति)	
२२. विकास पन्थी	CDS, Purnima	
२३. राम कुमार शिपिरे	कार्यवाहक, स्वतंत्रतावाच्य गा.पा.	
२४. प्रेम बहादुर शिपिरे	न.स.गा.पा. सहायक	
२५. राज शर्मा शिपिरे	सहायक	
२६. नारायण शिपिरे		

2	हेमचंद्र भगत	DCM अहमदाबाद	वेम. 2002
21	सन्ताने भगत	नर्मदा 2 रावळ	वेम.
22	सूर्यभक्त भगत	" " रावळ	वेम.
30	जादव भगत	अहमदाबाद पुणे - अहमदाबाद	वेम.
34	अहमदाबाद भगत	अहमदाबाद	वेम.
35	सुखराज देवकी	विष्णू - अहमदाबाद	वेम.
36	कुमार लाल	पुणे/विष्णू C.P.R.	वेम.
38	जादव भगत	अहमदाबाद पुणे	वेम.
39	पंडे अहमदाबाद	अहमदाबाद पुणे	वेम.
36	दशरथ भगत	दादा लाल अहमदाबाद	वेम.
36	सुनिता दादाभाई	दादा लाल अहमदाबाद	वेम.
37	दादा लाल अहमदाबाद	अहमदाबाद	वेम.
38	अहमदाबाद	अहमदाबाद (अहमदाबाद)	वेम.
39	अहमदाबाद	अहमदाबाद	वेम.
40	अहमदाबाद	अहमदाबाद	वेम.
41	अहमदाबाद	अहमदाबाद	वेम.
42	अहमदाबाद	अहमदाबाद	वेम.
43	अहमदाबाद	अहमदाबाद	वेम.
44	अहमदाबाद	अहमदाबाद	वेम.
45	अहमदाबाद	अहमदाबाद	वेम.
46	अहमदाबाद	अहमदाबाद	वेम.

*Annex 8: Photographs and Activities*

