BASE DOCUMENT OF THE

States Peer Review Mechanism

ABRIDGED VERSION

NIGERIA GOVERNORS' FORUM

Revised September 2015

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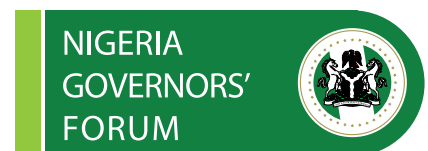
ABRIDGED VERSION

NIGERIA
GOVERNORS'
FORUM

Revised September 2015

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Acronyms

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

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

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

Section 1
Background

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

The strategic objectives of the NGF are to:

- To establish a respected setting where issues of national importance are discussed and consensus can be reached;

- To become the main source for peer learning, reflections and sharing of experience on sub-national issues;

- To enhance our communication with the Nigerian public and other stakeholders;

- To strengthen the effectiveness and efficiency of the NGF Secretariat as a policy hub and one–stop shop on matters of relevance to State governments.

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

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

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

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

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

- The need to shorten the SPRM process in States and make the results more useful to an incumbent administration without losing the technical depth and credibility of the exercise;

- The need to deepen the involvement of civil servants and civil society organisations in the review process;

- The need to mainstream the State Programme of Action (SPoA) within existing State governance processes and to actually implement it;

- Issues relating to the staffing of the SPRM unit and its sustainability;

- The need to reduce the 276 indicators and re-examine the ten assessment areas.

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

Purpose and Objectives

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

- Encouraging and facilitating cooperation among States;

- Promoting good governance through the enhancement of transparency, accountability, participation, inclusiveness and communication;

- Achieving better service delivery (timeliness, quality and public access) through the progressive improvement of policies, planning, budgeting and public service reform on the one hand, and service areas such as education, health, roads and agriculture on the other;

- Enhancing Federal-State cooperation and collaboration through the participation of national/federal organisations in the SPRM process and the sharing of the review reports with relevant national/federal institutions, particularly the NEC and NPC.

Section 3

Scope of the SPRM

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

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

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

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

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

Section 4
SPRM PROCESS

4.1 The Process

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

4.2 Assessment Instrument

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

4.3 Guiding Principles

I.   Every review undertaken must be socially inclusive, credible, politically non-threatening, and professionally competent. It should inspire confidence in and ownership of the process among all stakeholders;

II.   To achieve these goals, the State Self-Assessment Report (SSAR) shall be prepared by each participating State using the assessment instrument adopted by the NGF. After due consultation with the NGF Secretariat, the State may engage;

III.   To avoid becoming embroiled in partisan politics, the peer review assessment should not be initiated within the six months preceding an election. To ensure an optimal effect, it should be carried out after an election, as this will enable the assessment to become a diagnostic of the achievements, shortcomings and commendable practices of the State;

IV.   The MoU signed by States will guarantee the transparency and openness of the process. It requires the State being reviewed to provide all of the documents, records and statistical data necessary to conduct the review. Each State is also required to facilitate access to all government officials and other stakeholders whose participation in the review is vital to its success, such as the private sector, civil society groups, traditional rulers, leaders of religious groups and women and youth groups.

4.4 Methodology

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

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

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

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

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

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

4.5 Stages in the Process

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

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

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

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

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

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

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

Figure 1: SPRM process Map

Stage 1: Meeting with Expanded Executive Council and Non State Actors

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Stage 2: Preparation of the SSAR and submission to the National SPRM Secretariat

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Stage 3: Technical Review Mission - Validation of SSAR and preparation of State Peer Review Report

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Stage 4: Peer Review by the Governors and Public Launch of the SPRR
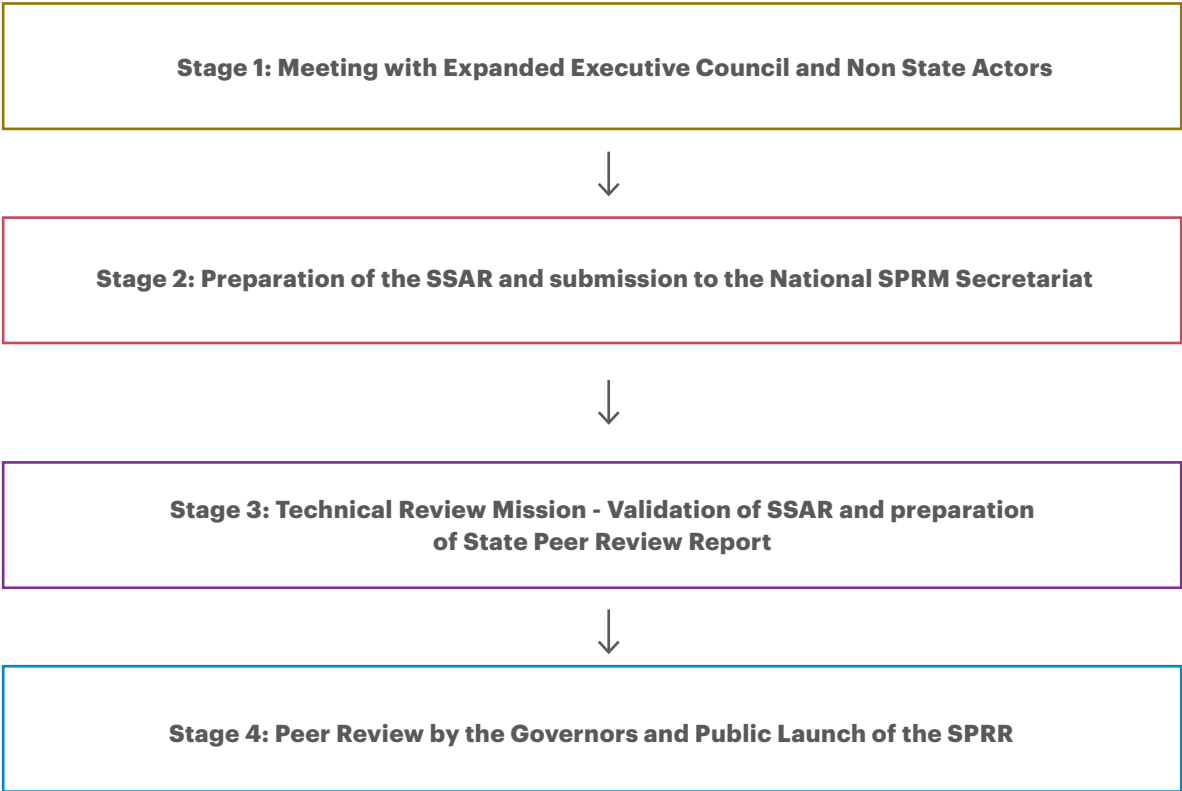
4.6 Publication/Disclosure

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

4.7 Output of the Review Process

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

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

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

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

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

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

4.8 Types of Review and Periodicity

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

Comprehensive State Peer Review (SPR)

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

NGF Initiated Issue-based Assessment

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

Self-Requested

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

Compendium of Innovative Practices in States

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

Leadership and Management

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

5.1 Political Leadership

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

5.2 SPRM Steering Committee

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

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

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

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

5.3 SPRM Secretariat

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

5.4 Technical Review Panel

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

5.5 State-level Leadership and Management Structure

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

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

Figure 2: SPRM Leadership and Management Structure
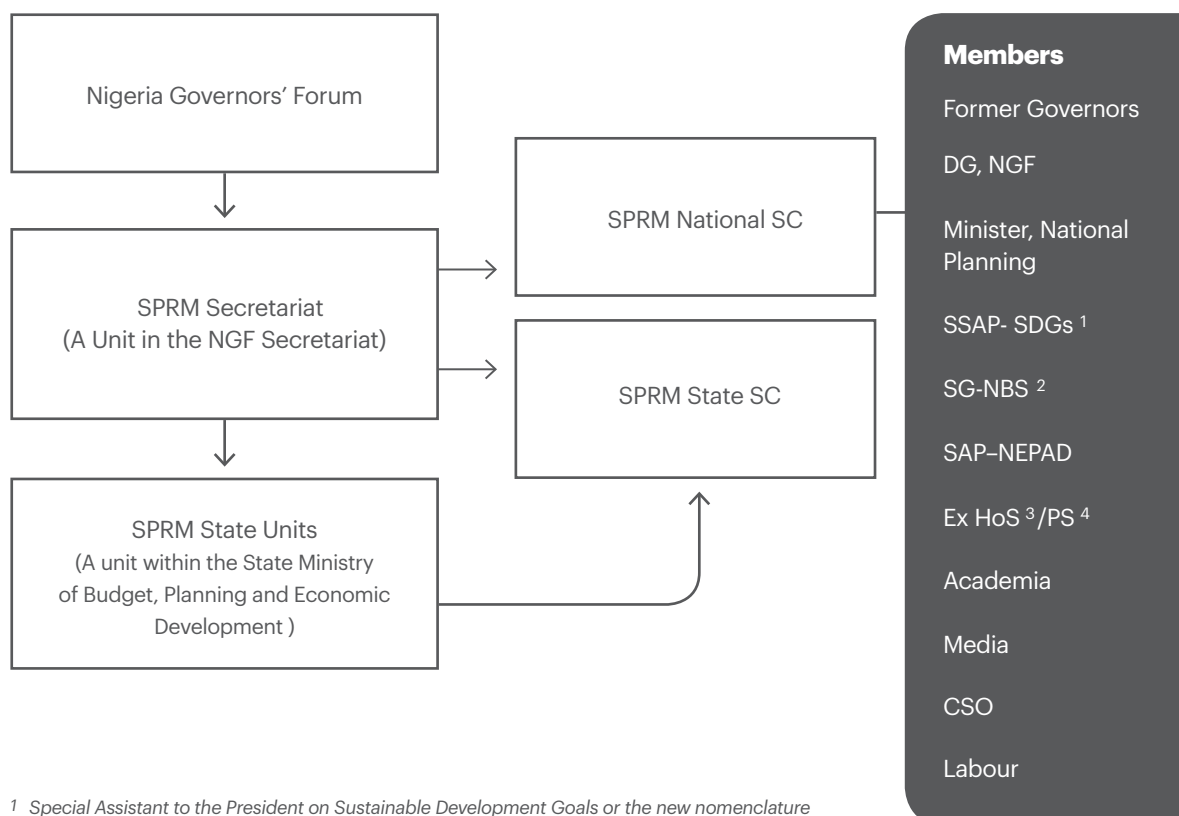
1 *Special Assistant to the President on Sustainable Development Goals or the new nomenclature*
2 *Statistician General, National Bureau of Statistics*
3 *Ex-Head of Service*
4 *Permanent Secretary*

Section 6

Peer Learning, Knowledge Management and Communications

6.1 Introduction

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

• Clarify their vision and strategy for State development;

• Inculcate stakeholder participation into policy-making and review processes;

• Share experiences about achievements and challenges in implementing policies and programmes.

6.2 NGF and Peer Learning

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

6.3 State Public Service and Peer Learning

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

• KM being integrated into the SPRM process at the outset;

• Designating key KM drivers (such as the DPRS) for the SPRM process;

• Integrating the SPRM into the planning process by linking it with sector strategies.

6.4 Role of the SPRM Steering Committee and SPRM Secretariat

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

• Maintaining and updating the SPRM indicators and Base Document, responding to feedback from the States as experience with the SPRM process grows and priorities mature;

• Receiving individual State submissions (SSAR and SPoA) and appointing experts to ensure that all the questions in the instrument have been answered according to the indicators, thereby preventing poor quality self-assessment or the entrenchment of sub-optimal standards;

- Assisting the technical review panel to externally review the State submission and produce the State peer review report (SPRR);

- Tabling the SPRR and SPoA through the Secretariat for discussion by the steering committee and the NGF;

- Launching the reports in the States;

- Periodic wide dissemination of the highpoints of the process, e.g. SSAR, SPRR, SPoA, commendable practices and outcomes in the mass media;

- Posting reports on websites and using other forms of dissemination to reach relevant stakeholders at federal and State levels as well as development partners;

- Encouraging the States to upload relevant documents including SPRM documents to the NGF content management system (CMS) and to update their websites regularly with same;

- Organising governance share fairs to promote peer learning among States;

- Compiling a compendium of commendable practices from time to time to deepen peer learning and enhance good governance in States.

6.5 Workshops, Seminars and Exchange Visits

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

- The SPRM launch where relevant stakeholders are enlightened on the details of the Process, with participants drawn from the main stakeholders, including the Governor, the Executive Council, House of Assembly members, the Judiciary and non-State actors;[5]

- Workshops for training external assessors (TRP);

- Initiation seminars for individual States that are beginning their self-assessment;

- Multi-State workshops for sharing experience and knowledge;

- Periodic workshops for State government officials and selected stakeholders (including relevant Committees of State House of Assembly (SHoA) with particular attention to the SPoA and the progress of implementation;

- Periodic briefing of the State executive committee and the SHoA on the implementation of the SPoA by the State SC;

- Periodic briefing of the State public service on the implementation of the SPoA by the State SC;

- Exchange of visits among Governors and senior officials.

6.6 Publication and Dissemination

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

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[5] This includes representatives of the private sector, women groups, youth groups, persons living with disabilities, etc.

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

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

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

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

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

Scope of Indicators

7.1 Introduction

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

7.2 Thematic Areas of Assessment

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

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

7.3 Service Delivery Sectors of Assessment

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

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

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

7.4 Key Elements of Assessment

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

Table 3: Elements of the SPRM assessment and their description

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

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

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

Indicator for Assesment

Table 4: Framework of Indicators

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

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

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

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

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

Areas of Assessment	Existence and application of law on mandate, regulation and policy framework	State government performance	Ensuring goals are being met	Capacity of the generated improvement to endure (sustainability)
(A)	(B)	(C)	(D)	(E)
Perfomance Criteria				
Education Sector				
Education Sector Governance	ES 1.1 Extent to which the State has institutionalised preparation of evidence-based education sector plans (and/or 'MTSS').		ES 1.3 Extent to which targets in the sector plans are being met.	ES 1.4 Extent to which developments in the education sector are linked to the plans (and/or MTSS) as well as percentage of the State's annual budget dedicated to education sector.
Infrastructural Facilities for learning environment	ES 2.1 Extent of adoption and localisation of policies setting minimum standards of infrastructural facilities for learning environment.	ES 2.2 Institutional framework for ensuring that minimum standards of infrastructural facilities for learning environment are adhered to/ maintained.	ES 2.3.1 Pupil per classroom ratio.

ES 2.3.2 Percentage of rural population having primary school located within 1 Kilometer (Km).

ES 2.3.3 Percentage of schools with functional latrine facilities.

ES 2.3.4 Percentage of schools with access to potable water. | ES 2.4.1 Level of community participation in school management. |
| **Quality of Teaching and Learning Standards** | ES 3.1 Existence of policies on teaching and learning standards. | | ES 3.3.1 Pupil-qualified teacher ratio.

ES 3.3.2 Percentage of teaching staff that received in-service training. | ES 3.4 Institutionalised quality assurance evaluation mechanism. |

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

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

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

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

[6] New Partnership for Africa Development

[7] Comprehensive Africa Agriculture Development Programme

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

Areas of Assessment	Existence and application of law on mandate, regulation and policy framework	State government performance	Ensuring goals are being met	Capacity of the generated improvement to endure (sustainability)
(A)	(B)	(C)	(D)	(E)
Perfomance Criteria				
Level of Public Access to Infrastructure		IS 2.2.1 Good paved road link from State Capital to all local government headquarters. IS 2.2.2 Daily per capita litres of water supply. IS 2.2.3 Existing water supply schemes and their present output. IS 2.2.4 Access to electricity (National grid and rural electrification). IS 2.2.5 Telecommunication coverage in the State.		
Sustainability and Maintenance	IS 3.1 Extent to which the State has laws, regulation and policies to ensure/ guarantee sustainability and maintenance of infrastructure investments.	IS 3.2 Existence of institutions and organisations responsible for sustainability and maintenance of investments in infrastructure.	IS 3.3 Percentage of State budget earmarked for sustainability and maintenance of investments in infrastructure.	IS 3.4 Existence of cost-recovery mechanism.
Citizen Participation, Social Inclusion and Protection				
Promoting and Protecting Competitive Party and Electoral Politics	CP 1.1 Constitutional, legal and institutional framework for periodic conduct of free and fair local government elections in the State operating effectively.	CP 1.2 Mechanisms and institutions established under the Constitution and State election legislation for the impartial adjudication of election disputes.	CP 1.3.1 Diversity in election to and membership of party executive committees and in-party nominations for elective public political offices at the State. CP 1.3.2 Diversity of membership of the State Independent Electoral Commission (SIEC) reflects diversity of the State, such as gender, religion and age.	CP 1.4 Neutrality of the State public service in the political and electoral process.

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

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

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

Section 9

The Report Format

9.1 Report Format

As explained in section 4.7, the two main outputs of the State Peer Review Mechanism are:

1. State Self-Assessment Report;
2. State Peer Review Report with an appended State Programme of Action.

The SSAR and SPRR are not to report on the state, or its government, but are to document findings on indicators and thematic/sector areas. The findings on each indicator and thematic/sector area should spell out clearly the achievements, best practices and challenges in those domains. The SPoA documents the remedies and/or proposals to address the shortcomings identified in the thematic/sector areas. The SPoA would be incorporated as a section in the SPRR. Specific guidelines for mainstreaming the SPoA into existing state processes are presented in Section 11 while guidelines for monitoring and reporting progress in its implementation are presented in Section 12.

9.2 Report Structure

The SPRR is equivalent to an SSAR validated by the technical review panel, as explained in Section 4.7. Therefore, the SSAR and SPRR structure is essentially the same. The report structure is as follows:

- Acronyms
- Acknowledgements
- Summary of Assessment Report (SSAR) or (SPRR)

    1. Introduction
    2. State Background Information/ Historical Context
    3. Methodology/Approach
    4. Findings

        a. Policy and Strategy/Monitoring and Evaluation
        b. Economic Development
        c. Public Financial Management
        d. Human Resource Management
        e. Health Sector
        f. Education Sector
        g. Agriculture Sector
        h. Environment Sector
        i. Infrastructure Sector
        j. Citizen Participation, Social Inclusion and Protection

    5. State Programme of Action

- Annexes

Acronyms
All acronyms and/or abbreviations should be listed here.

Acknowledgements
A short Statement of appreciation for the cooperation and assistance received during the assignment from staff of the host government and other stakeholders. This requires some judgment, and if names are mentioned there should be no omissions.

Executive Summary

A short summary of the report should be provided here. This should include a summary of achievements, best practices and challenges for each thematic/sector area. There are ten areas of assessment (i.e. Policy and Strategy/Monitoring and Evaluation; Economic Development; Public Financial Management; Human Resource Management; Health; Education; Agriculture; Environment; Infrastructure and Citizen Participation, Social Inclusion and Protection).

Introduction

Provide the context, State's involvement in the SPRM process and the methodology for coming up with the report.

State Background Information

Provide background information on the State. In particular, the section should set out the following:

*   Historical context;
*   Location, population and governance structure;
*   Ruling party, key functionaries of the State including; the executive, legislature and judiciary, disaggregated by gender;
*   Key economic activities and performance.

Findings

This section details the assessment of all the indicators under Policy and Strategy; Economic Development; Public Financial Management; Human Resource Management; Health; Education; Agriculture; Environment; Infrastructure and Citizen Participation, Social Inclusion and Protection. The report should describe in detail what evidence was seen on each indicator as well as the basis for the conclusion reached. The narrative should highlight achievements, best practices, challenges and recommendations.

Findings need not be lengthy but should contain sufficient information for the TRP to ascertain the facts behind the conclusions reached by the State.

State Programme of Action

This section details remedies proposed by States to overcome the shortcomings identified in the findings. The programme of action will be structured in line with the sub-sections of the findings.

Annexes

 The annex should contain the following information:

1. List of persons who prepared the SSAR;
2. List of State officials/individuals who provided data and documentation for the assessment;
3. List of important documents and written evidence that aided the reviewers in reaching their conclusion;
4. List of TRP members (include only in the SPRR).

Page Numbering

All pages should be numbered (page numbers in the top or bottom right hand corner). Reports should not contain colours (black and white only), photographs or elaborate graphics. The report should avoid excessive use of bold text, italics or underlining.
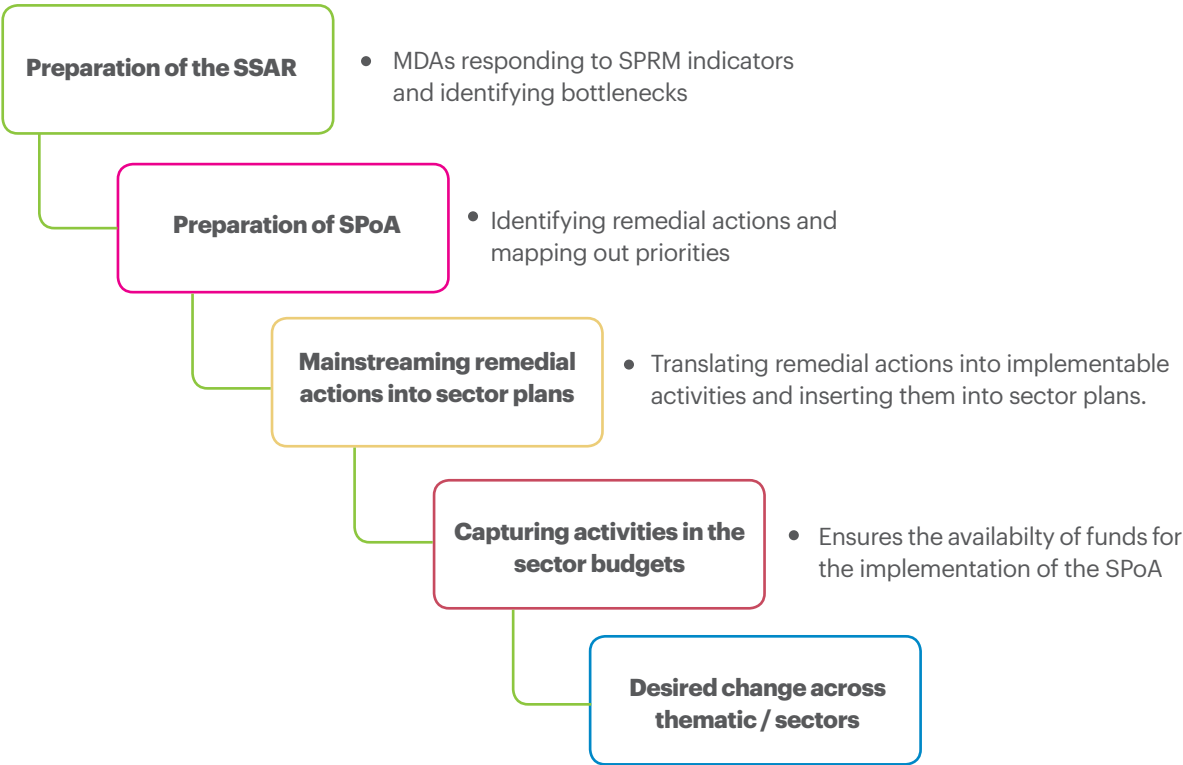
Guidelines for Mainstreaming the SPoA into Existing State Processes

As mentioned in Section 4.6, a State is expected to develop a programme of action based on the challenges and shortcomings identified in the SSAR. This should emanate strictly from the findings of the SPRM process and focus exclusively on governance issues. To avoid duplication, the SPoA should not replicate what can best be handled through other State development processes. The document should be a maximum of two to five pages and should not involve costing of activities. This will be finalised with the assistance of the TRP during the technical review mission.

Specifically, the SPoA is expected to show key challenges or bottlenecks to development in each of the 10 thematic/sector areas as well as the remedial actions for accelerating developmental progress in those areas. Out of the identified challenges and remedial actions, each sector is expected to prioritise and make adequate plans for their implementation.

An important step towards the implementation of the SPoA is the translation of the identified remedial actions into implementable activities that can be mainstreamed into sector plans and budgets. This is a necessary step for bringing about the desired change across the thematic/sector areas.

Figure 3: The change process of the SPRM based on the implementation of the SPoA

Preparation of the SSAR
- MDAs responding to SPRM indicators and identifying bottlenecks

Preparation of SPoA
- Identifying remedial actions and mapping out priorities

Mainstreaming remedial actions into sector plans
- Translating remedial actions into implementable activities and inserting them into sector plans.

Capturing activities in the sector budgets
- Ensures the availabilty of funds for the implementation of the SPoA

Desired change across thematic / sectors

Monitoring and Reporting Progress in the Implementation of the SPoA

As part of the peer review process, every State that completes the SPRM process is expected to submit a progress report on the implementation of the SPoA to the NGF (one year after completing the process and bi-annually thereafter). In order for States to come up with a report that shows an apt representation of progress on the implementation of the SPoA, a monitoring framework is required. The framework will help ensure that the annual reports presented to the Governors are able to show a clear picture of the progress against their planned remedial actions.

This can be done in two ways;

- **Using an existing M&E framework in the State to monitor and report progress:** Having mainstreamed the SPoA into sector plans, States can use information generated from quarterly sector performance reviews to monitor and report progress in the implementation of the SPoA. The quarterly reports can then be synthesized into annual or bi-annuatl NGF reports as the case may be.

- **Using the SPoA M&E framework[16]:** This is a framework specifically designed for monitoring and reporting progress made in the implementation of the SPoA. The framework and comprehensive guidelines on how to use it will be made available to States by the SPRM Secretariat on request. This includes:

  - An SPoA activity and outcome matrix;
  - Monitoring framework: comprising of;
    - A monitoring matrix and;
    - A reporting matrix.

To ensure consistency in the reporting of progress in the implementation of the SPoA, a reporting format has been developed for use by States (see Appendix 1).

Given the conciseness and flexibility of the SPoA M&E framework, States can adapt it for all sectors and use it as a State-wide M&E framework.

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[16] States requiring further training on the use of the SPoA M&E framework can also contact the NGFS for assistance.

Appendix 1:

Progress Report Format

The following outline and guidelines are suggested for the preparation of progress reports on the implementation of the State programme of action.

Title Page
Table of Contents
Acronyms

A list of the acronyms used in the reports and a short definition/explanation of these terms.

Foreword by the Focal Person
Provides legitimacy for the report, highlighting its importance and identifying how the report is intended to be used. It also highlights the policy context of the performance report, including highlighting stakeholder relationships in the sector (e.g. with partner MDAs, SHoA, NGOs, development partners).

Executive Summary (not exceeding 2 pages)
The executive summary is a general overview of the report, salient points, purpose, aims and objectives. It should be a summary interpretation of the key conclusions and recommendations - a short overview on progress in implementing the SPoA, including highlighting good practices and lessons learned as well as major constraints.

Introduction (not exceeding three pages)

Background
Provide a brief summary of the specific policy environment, which provides the context for the performance report – the SPRM processes and SSAR including a summary of linkages with the overall high-level policy environment of the State. Further, please provide an overall review, which relates to the implementation of the SPoA, and identify other relevant State-specific factors and elements in the context of the implementation.

Purpose of the Review and Methodology
This section describes the overall purpose of the report and should help put the analysis of the report into context by summarising how the performance report is intended to be used. This may cover such issues like: 'Review progress made in implementing the SPoA activities, and making recommendations for adjusting SPoA strategies, budgets and plans'.

Also, please provide a brief narrative of the methodology for coming up with the report, the role of key stakeholders in the implementation process, the monitoring and evaluation framework and its validation process.

Description of the Main Objectives and Achievements, by Sector
From this point onwards, the report is arranged and achievements presented by sector or thematic area. For each of the sectors, please provide a brief description of the main activities, initiative or programme undertaken, together with the aim(s) or objective(s) of the initiative and specific timeframe. An activity's geographical coverage, such as the entire State or LGAs may also be referred to.

Results and achievements
Provide information on results and achievements made in line with the key performance indicators specified in the activity matrix of the sector. It might be useful to start this section by summarising the key planned outputs for the period as defined within the activity matrix, and the progress made in actually delivering these planned outputs.

For each KPI, provide a summary of recent trends by comparing against the target Stated for the year under review. Highlight where particularly good progress was made and identify why this was the case.

Major challenges and lessons in implementing the project and next steps planned
Indicate the major challenges faced and lessons in implementing the initiative or the remedial actions. Provide brief information on the next phase that will follow the current implementation of the initiatives/action. This might specify whether the initiative will be extended or if results obtained from the initiative will enable further focus on new initiatives covering the SPoA.

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