

**Performance Assessment Framework
Kerala Local Government Service Delivery Project (KLGSDP)
Annual Performance Assessment 2015-16**

Eligibility criteria

For eligibility to the Performance Grant of 2015-16 the LSGIs should clear all the Minimum Mandatory Conditions (MMC) and attain the minimum score fixed for the Performance Benchmarks. The performance benchmark is fixed mainly on the performance of the LSGI on creation and maintenance of the ten critical infrastructures for ensuring basic services to the public, procurement procedure and benefit given to vulnerable groups.

1. Crematorium / burial ground
2. Slaughter house
3. Solid /Liquid/ Plastic waste management facilities
4. Public toilets
5. Front office and visitor friendly facilities in LSGI office
6. Fish/ Vegetable markets
7. Street lights
8. Safe drinking water facilities
9. Anganwadis
10. Basic infrastructure in Scheduled Caste & Scheduled Tribe colonies/Sanketham

The quality of audit certificate issued by the Local Fund Audit Dept and participation of vulnerable groups in planning process and benefits derived by them are also taken into account to measure the performance of LSGIs.

A total score of 86 is earmarked for good performance in creation and maintenance of 10 assets, score of four is allocated for compliance of procurement procedures, score of two for ESMF compliance of level 2 projects, score of four for quality of audit certificate and score of four for participation of vulnerable groups in planning and benefits derived by them in planning and execution. The minimum score prescribed shall be obtained for getting eligibility for performance grant.

A. Minimum Mandatory conditions

Performance Areas

- i. Planning and Budgeting.
- ii. Project Execution and Service Delivery
- iii. Accounting, Financial Reporting and Audit
- iv. Participation, Transparency and Accountability.

Performance Area 1: Planning and Budgeting

1.1 Minimum Mandatory Conditions for Planning and Budgeting

| Minimum Mandatory Conditions | Objective Assessment Criteria | Means of Verification |
|---|---|---|
| 1.1.1 Budget for the year 2015-16 prepared and approved by the Committee / Council of LSGI before 31 March 2015 | 1.1.1.1 Budget for the year 2015-16 prepared in Form Bud 4 (National Municipal Accounts Manual) or Form A (i), A (ii), A (iii), B, C, D, E by Municipalities as prescribed under Kerala Municipalities (Preparation of Estimates of Receipts and Expenditure) Rules, 1962 OR Detailed Budget as prescribed in Form 1, 2 and 3 for Gram Panchayats 1.1.1.2 Budget for the year 2015-16 approved by the LSGI Committee / Council | 1. A budget document in Form Bud 4 (National Municipal Accounts Manual) or Form A (i), A (ii), A (iii), B, C, D, E under Kerala Municipalities (Preparation of Estimates of Receipts and Expenditure) Rules, 1962 for Municipality or Detailed Budget as prescribed in Form 1, 2 and 3 for Gram Panchayat for the 2015-16 prepared before 31 st March 2015 available with by LSGIs. 2. LSGI Committee / Council Resolution / Meeting show that budget for the year 2015-16 was approved before 31st March 2015. |
| 1.1.2 Annual Plan for the year 2014-15 approved by both the Committee / Council of LSGI and DPC | 1.1.2.1 Annual Plan document for year 2014-15 furnished in Sulekha software using Forms 5 and 6 (mandatory) and relevant forms among form 1 to 4. 1.1.2.2 Annual Plan document for the year 2014-15 has been approved by LSGI Committee / Council 1.1.2.3 Annual Plan document for the year 2014-15 has been approved by the DPC | 1. Sulekha Software shows Annual Plan document for the financial year 2014-15 using Forms 5 and 6 (mandatory) and relevant form among form 1 to 4. 2. LSGI Committee / Council Resolution / Meeting show that the Annual Plan for the year 2014-15 has been approved. 3. Consolidated proceedings issued by the DPC and signed by the District Collector showing approval of the total plan projects of the LSGI for the year 2014-15. |

Performance Area 2: Project Execution and Service Delivery

1.2. Minimum Mandatory Conditions for Project Execution and Service Delivery

| Minimum Mandatory Conditions | Objective Assessment Criteria | Means of Verification |
|---|--|--|
| 1.2.1 Minimum of 80% of KLGSDP performance grant, Development fund-General-Capital, Development fund-Special Component Plan-Capital, Tribal Sub Plan and Development fund-Central Finance Commission Grant-Capital funds available during 2014-15 is spent during 2014-15 and up to 20 th December 2015. | <p>1.2.1.1 At least 80% of Development fund-General-Capital, Development fund-Special Component Plan-Capital, Tribal Sub Plan, Development fund-Central Finance Commission Grant-Capital available during 2014-15 has been spent during 2014-15. At least 80% of KLGSDP performance grant has been spent during 2014-15 and up to 20th December 2015.</p> <p>Note :- In addition to expenditure incurred in 2014-15, expenditure from 1-4-2015 to 20-12-2015 for Development fund-General-Capital, Development fund-Special Component Plan, Tribal Sub Plan and Development fund-Central Finance Commission Grant- will be reckoned only in respect of spill over projects shown as [S.O] in the DPC approved annual plan for 2015-16. Expenditure against projects shown as “new” in the annual plan 2015-16 for the above mentioned Development funds will not be reckoned.</p> | <ol style="list-style-type: none"> 1. Annexure 1 from site “plan.lsgkerala.gov.in” under projects, reports for the year 2014-15 extracted by selecting year 2015-16 (collect copy) 2. Receipt and Expenditure information drawn from Appropriation Control Register (ACR) maintained manually for recording Development fund-General-Capital, Development fund-Special Component Plan-Capital, Tribal Sub Plan, Development fund-Central Finance Commission Grant-Capital for the financial year 2014-15 and up to 20-12-2015 and KLGSDP performance grant, fund transactions for the financial year 2014-15 and 15-16 up to 20-12-2015. <p style="text-align: center;">OR</p> <p>Bank book report from Saankhya in respect of Head of account VPFA II (a), [Development fund-General-Capital], VPFA II (b) [Development fund-Special Component Plan-Capital], VPFA II (c) [Tribal Sub Plan], VPFA IV [Development fund-Central Finance Commission Grant-Capital] for the period 2014-15 and up to 20-12-2015 and VPFA V [KLGSDP performance grant] for the period 2014-15 and 15-16 up to 20-12-2015.</p> <ol style="list-style-type: none"> 3. Approved project list of 2015-16 for reckoning spill over projects. (collect copy) 4. Expenditure statement of spill over projects prepared by LSGI in the format prescribed in respect of projects noted as “SO” in the annual plan 2015-16. (collect copy) |
| 1.2.2 Compliance with the regulatory list from the ESMF in DPR process during preparation and execution of KLGSDP performance grant projects in the financial year 2014-15 & 15-16 | <p>1.2.2.1 Environment and Social Screening and Compliance process for all KLGSDP grant funded projects in the financial year 2014-15 & 15-16 have been completed</p> <p>1.2.2.2 KLGSDP performance grant funded projects in the financial year 2014-15 & 2015-16 are not in the regulatory list of</p> | <ol style="list-style-type: none"> 1. For all KLGSDP performance grant projects in the financial year 2014-15 & 2015-16 the following conditions are met <ol style="list-style-type: none"> (a) Duly filled Environment & Social Screening and Compliance Form (Annexure 6) is attached with DPR [as per G.O.(MS) No 233/12/LSGD dated 7/9/2012] (b) Verify that the project is not from the regulatory list (detailed in Proforma A) or for activity allowed with conditional clearance under regulatory list, the statutory clearance certificate obtained from the relevant authority is attached to the DPR |

| Minimum Mandatory Conditions | Objective Assessment Criteria | Means of Verification |
|--|---|--|
| | activities (ESMF Proforma A) 1.2.2.3 Approval of the sanctioning authority on ESMF has been taken in Form 6. | (c) Approval of the sanctioning authority is accorded with seal and signature in the Annexure 6 (Form-6) (d) For the completed KLGSDP projects, Annexure-6 has been properly certified by the implementing officer and Block Engineer for the post execution evaluation. |
| 1.2.3 KLGSDP performance grant projects for the financial year 2014-15 & 2015-16 are permissible work allowed by Government as directed in GO (Ord) No. 1731/2011 dated 20-7-2011 & GO (Ord) No. 2668/11/LSGD dated 15-11-2011 | 1.2.3.1 KLGSDP performance grant projects for the financial year 2014-15 & 2015-16 are permissible work allowed by Government as directed in GO (Ord) No. 1731/2011 dated 20-7-2011 & GO (Ord) No. 2668/11/LSGD dated 15-11-2011 | 1. Obtain a list of all KLGSDP performance grant projects for the financial year 2014-15 & 2015-16 from the DPC approved annual plan and check whether any of the projects fall in the list of inadmissible projects as given in the GO (Ord) No. 1731/2011 dated 20-7-2011 & GO (Ord) No. 2668/11/LSGD dated 15-11-2011 |
| 1.2.4. Capital works and acquisitions funded from KLGSDP performance grant in the financial year 2014-15 & 2015-16 have taken place (work in progress/ completed.) | 1.2.4.1 Implementation of all Capital Works (infrastructure projects) funded from KLGSDP performance grant for the financial year 2014-15 & 2015-16 are in progress / completed. 1.2.4.2 All Capital Assets to be procured from KLGSDP performance grant for the financial year 2014-15 & 2015-16 are in progress / completed. | 1. For all Capital Works (new or repair infrastructure projects) approved by the LSGI Committee / Council for implementation from KLGSDP performance grant fund for the financial year 2014-15 & 2015-16, verify whether any Condition from (a) to (f) is met (a) Agreement with Contractor / Assignment of Work to Beneficiary Committee corresponding to the Work is executed before 20-12-2015 (b) Entries in Measurement Book corresponding to the Work is shown (c) Work Bills corresponding to the Work is shown (d) Bills of payment (if made) corresponding to the Work is shown (e) Physical Verification Report by LSGI Engineer or Block Engineer corresponding to the Work is shown (f) Physically verify through site visits of two high value KLGSDP infrastructure projects (in the order of high value) and ascertain whether the works are in progress or completed 2. For all Procurement of Capital Assets / Goods approved by the LSGI Committee / Council from KLGSDP performance grant fund for the financial year 2014-15 & 2015-16 verify whether one or more of the condition (a) to (d) are met (a) Request of quotation / tender document issued before 20-12-2015 corresponding to the Procurement is available (b) Quotation / tenders received corresponding to the Procurement is available (c) Supply order corresponding to the Procurement is issued before 20-12-2015 |

| Minimum Mandatory Conditions | Objective Assessment Criteria | Means of Verification |
|------------------------------|-------------------------------|---|
| | | (d) Stock / Asset register shows assets / goods corresponding to the Procurement have been received |

Performance Area 3: Accounting, Financial Reporting and Audit

1.3 Minimum Mandatory Conditions for Accounting, Financial Reporting and Audit

| Minimum Mandatory Conditions | Objective Assessment Criteria | Means of Verification |
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| 1.3.1 External audit certificate for the year 2013-14 is not "Adverse" or "Disclaimed" and does not include "Serious Audit Observations" as explained in the PIM of KLGSDP | 1.3.1.1 Audit Opinion in the Auditors Report for LSG for the year 2013-14 is not "Adverse" or "Disclaimed" as ascertained from opinion / statement / qualification i) "Adverse Opinion" <ul style="list-style-type: none"> (in the auditor's opinion) The Annual Financial Statements do not properly present the picture of income, expenditure and closing balance ii) "Disclaimed Opinion" <ul style="list-style-type: none"> We (i. e. the Auditor) have not been able to form an opinion as to whether the Annual Financial Statements properly present the picture of income, expenditure and closing balance | Latest Audit certificate issued by Local Fund Auditors to LSGI for the year 2013-14 does not contain any qualifications or remarks from the Auditor and states that the annual accounts for 2013-14 truly presents the income and expenditure accounts of the LSGI OR Audit Opinion in the Auditors Report for LSGI for the year 2013-14 is not "Adverse" or "Disclaimed" as ascertained from Auditor's opinion OR in the case of audit certificates issued initially contained qualifications and the same was rectified by the LSGI later and the LFA dept had issued a letter which shows that items mentioned in 1.3.1.2 (serious audit observations) were rectified |
| | 1.3.1.2 The Audit Certificate / Report does not have one or more of the following "Serious Audit Observations" <ul style="list-style-type: none"> The closing balance/s as taken in the Annual Financial Statements do not match with the closing balance/s as per the Cashbook The figures taken in the Annual Financial Statements do not match with the relevant figures as per the documents in support of receipts and payments Opening balance in the cashbook does not match with the closing balance in the cash book of the previous year. Cashbook is incomplete Cashbook was not produced for audit | 1. Review the latest Audit Report / Certificate issued by Local Fund Auditors to LSGI for the year 2013-14 and ascertain that following "Serious Audit Observations" are not present <ul style="list-style-type: none"> The closing balance/s as taken in the Annual Financial Statements do not match with the closing balance/s as per the Cashbook The figures taken in the Annual Financial Statements do not match with the relevant figures as per the documents in support of receipts and payments Opening balance in the cash book does not match with the closing balance in the cash book of the previous year. Cashbook is incomplete |

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| | <ul style="list-style-type: none"> • Non-agreement of receipt / expenditure figures as per supporting records with AFS. • Non reconciliation of Treasury Bank account • Any other qualification which significantly affects the integrity and proper presentation (true and fair view) of the Annual Financial Statement. | <ul style="list-style-type: none"> • Cashbook was not produced for audit • Any other qualification which indicates that the true and fair view of the Annual Financial Statement was not presented (Record these statements). |
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Performance Area 4: Participation, Transparency and Accountability

1.4 Minimum Mandatory Conditions for Participation, Transparency and Accountability

1.4.1 Preparation of a public report on the annual budget for the year 2015-16 and on the Annual Plan for the year 2014-15.

| Minimum Mandatory Conditions | Objective Assessment Criteria | Means of Verification |
|---|---|--|
| 1.4.1 Preparation of a public report on the annual budget for the year 2015-16 and on the Annual Plan for the year 2014-15. | 1.4.1.1 A budget summary of the annual budget for the year 2015-16 has been prepared and is available for verification by public or advertised in newspaper | A budget summary of the annual budget prepared for the year 2015-16 available with LSGI and or copy of advertisement available |
| | 1.4.1.2 A public report (Final Plan document) or a plan summary on the annual plan for the year 2014-15 has been prepared and is available for verification by public | Final Plan document/ plan summary for the year 2014-15 available with LSGI |

B. Performance Benchmark

Performance Scores

The performance scores for the four areas have been revised based on current priorities of performance fixed by Government.

| Performance Area | Revised Marks |
|--|---------------|
| 1. Project Execution and Service Delivery | 92 |
| 2. Accounting, Financial Reporting and Audit | 4 |
| 3. Transparency and Accountability | 4 |
| Total | 100 |

2.1 Performance Area 1: Project Execution and Service Delivery

2.1.1 Crematorium / Burial ground for general public

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (10) |
|---|--|---|--------------------|
| 2.1.1 Crematorium /Burial ground is available for general public and functional or its establishment is in progress | 2.1.1.1 There is a fully functional crematorium/burial ground for general public in the LSGI or jointly with the neighbouring LSGIs OR Steps for construction of crematorium is taken | A. In the case of LSGIs where a crematorium/burial ground is functioning | |
| | | 1. The crematorium was established in 2014-15 or before and is in use (a) Register of crematorium/Burial Ground or Asset Register show that the facility exists under the ownership of GP/Municipality or under the joint ownership of more than one local body either in the Panchayat/ Municipal area or outside the area. (b). Asset register show that land and/or buildings are available for Crematorium/Burial Ground | 6 |
| | | 2. Date of sanction issued for crematorium/burial ground shows that it was established during 2014-15 or before. | 1 |
| | | 3. Compound wall is available in the entire boundary | 1 |
| | | 4. Very clean surroundings and hygienic environment exists in the crematorium/burial ground as evidenced from physical verification – (Photograph to be attached) | 1 |
| | | 5. Consent of Pollution control board/ obtained for setting up of new Crematorium/Burial Ground and following norms of Pollution Control Board/GP/Municipality are followed: i) Distance between the Crematorium/Burial Ground from the nearest house is a minimum of 50 meters. ii) In the case of concrete vault/electric/gas crematorium in municipal area the distance to the nearest dwelling place shall not be less than 25 meters | 1 |
| | | B. In the case of LSGIs where establishment of a crematorium/burial ground is in progress. | |
| | | 1. Crematorium/burial ground is under construction during 2014-15 or land acquired for construction of Crematorium/burial ground shown in asset register for 2014-15 | 2 |
| | | 2. The DPC approved annual plan for 2014-15 shows that a project (either original or spill over) for construction of crematorium/burial ground is included in the plan. | 1 |
| | | 3. Sanction from District Collector obtained for construction of crematorium/burial ground in the case of Panchayats and clearance from District Collector and District Medical Officer obtained for construction of crematorium/burial ground in the case of Municipalities and action is in progress for getting consent to operate the crematorium/burial ground from Pollution Control Board as evidenced from LSGI minutes during 2014-15 | 1 |
| 4. LSGI committee discussed and decided to construct a crematorium/burial ground during 2014-15. | 1 | | |

2.1.2 Slaughter house

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (8) |
|---|--|---|-------------------|
| 2.1.2 Modern slaughter house (LSGI owned or private) with required facilities for slaughtering is available or its establishment is in progress | 2.1.2.1 The modern slaughter house confirms to the norms prescribed in the Prevention of Cruelty to Animals Act/Rules and is certified by competent authorities. | A. In the case of LSGIs where a modern Slaughter house is functioning as per norms fixed by Pollution Control Board | |
| | | 1. A modern Slaughter house is functioning as per norms fixed by Pollution Control Board in 2014-15 i) Licence in Form No. IV issued by LSGI to private slaughter houses OR ii) In the case slaughter houses owned by LSGI or owned jointly with other LSGIs, the asset register/other records of LSGI shows the existence of a modern slaughter house. | 6 |
| | | 2. Licence issued to butchers working in slaughter house in Form I by the Secretary of LSGI permitting slaughter of animals. | 1 |
| | | 3. Consent proceedings obtained from pollution control board for setting up the slaughter house | 1 |
| | | B. In the case of LSGIs where a conventional Slaughter house is functioning | |
| | | 1. A conventional Slaughter house is functioning in 2014-15 i) Licence in Form No. IV issued to private slaughter houses OR ii) In the case of LSGI owned slaughter houses, the asset register/other records of LSG shows the existence of a conventional slaughter house. | 3 |
| | | C. In the case of LSGIs where a construction of modern slaughter house is in progress. | |
| | | 1. A construction of modern slaughter house is in progress in 2014-15 i) Construction of modern slaughter house (private or LSG owned) or jointly with other LSGIs is in progress. OR ii) Licence issued to private parties for construction of modern slaughter house in 2014-15 or annual plan of LSGI for 2014-15 shows a project for construction of modern slaughter house but work has not started. OR iii) LSGI committee discussed and decided to construct a slaughter house in 2014-15 | 1 |

2.1.3 Waste management facilities

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (10) |
|---|---|--|--|
| 2.1.3 Availability of Waste management facilities | 2.1.3.1. Centralised SWM facilities are functioning in the LSGI or jointly with the adjoining LSGIs. If "No" A project for construction of Centralised solid waste processing plant is included in the annual plan | 1. Asset register of the LSGI shows that centralised Solid Waste Management (SWM) facilities are available in 2014-15 2. Files relating to establishment of waste management facilities showing payment of remuneration to contractors or labourers If "No" 3. A project for construction of Centralised solid waste processing plant is included in the annual plan 2014-15 | 5 (If centralised SWM is available with LSGI) OR 1 (If Centralised SWM project included in annual plan) |
| | 2.1.3.2 Decentralised solid waste management facilities installed in households of LSGI. | 1. Percentage of households in LSGIs that received subsidy from Panchayat/ Municipality or were directly paid by Suchitwa Mission during the last three years 2012-13 to 2014-15 as per the details of subsidy payment and issue of equipments | 2 (If facilities installed in at least 50% households.) 1 (If facilities installed in at least 25% but below 50% households.) |
| | 2.1.3.3 Source level segregation/ collection/ transportation of non-degradable waste are happening in LSGI. | 1. Bills pertaining to 2014-15 showing payment of waste segregation and transportation charges OR 2. Proof relating to entrustment of this work in 2014-15 to any agency like Kudumsree | 1 |
| | 2.1.3.4 Arrangement made for disposal or recycling of non – degradable waste | 1. Bills pertaining to 2014-15 showing payment for disposal or recycling of non–degradable waste OR 2. Proof relating to entrustment of this work in 2014-15 to any agency | 1 |
| | 2.1.3.5 Action taken for effecting ban on plastic products below the prescribed thickness of 40 microns | 1. Public notice banning plastic products below the prescribed thickness of 40 microns issued by LSGI in 2014-15 or before | 1 |

2.1.4 Public toilets/Resting places

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (8) | |
|--|--|--|--|--|
| | | | Grama Panchayat | Municipality |
| 2.1.4 Well maintained public toilets with sufficient availability of water are available in public places. | 2.1.4.1 Well maintained public toilets with sufficient availability of water are available in the following public places - hospitals, markets, bus stands, and crowded public places/junctions. (At least minimum one toilet in each of the public places under the different categories) | 1. Number of hospitals, markets, bus-stands and crowded places / junctions that have at least one toilet as verified from i) Asset register for 2014-15 ii) License issued to private parties for collection of user fees in 2014-15 iii. Wages paid to cleaning staff (if directly done by LSGI) for 2014-15 iv. Report from medical officer in charge of hospitals regarding availability of toilets v. LSGI committee minutes or annual plan | 4 (At least one toilet is available in every public place) 2 (At least one toilet is available in 50% of public places) 1 (If LSGI committee discussed and decided to construct a toilet in public places where it is not available. Or the annual plan shows such a project) | 3 (At least one toilet is available in every public place) 2 (At least one toilet is available in 50% of public places) 1 (If LSGI committee discussed and decided to construct a toilet in public places where it is not available. Or the annual plan shows such a project) |
| | 2.1.4.2 Facilities for physically challenged persons are available in public toilets | 1. At least one toilet is available with facility for physically challenged persons in each public places (hospitals, markets, bus stands, and crowded public places/junctions). | 1 | 1 |
| | 2.1.4.3 Permanent arrangements made for cleaning and maintenance of all public toilets and effective supervision of the cleaning and maintenance activity is in place | 1. If the work is entrusted to private agencies, the copy of contract and details of payment made. 2. If the work is directly done by the LSGI then the details of payment of wages to the staff deployed for the purpose | 1 (Marks on pro rata basis on number of toilets where permanent cleaning and maintenance has been arranged.) | 1 (Marks on pro rata basis on number of toilets where permanent cleaning and maintenance has been arranged.) |
| | 2.1.4.4 Required number of toilets and urinals as per rules are available in all Government schools (one toilet for 80 students) | 1. A school wise report from the Head masters of the schools in the LSGI area regarding the number of toilets available in 2014-15 and in use and the total number of students studying in 2014-15 in the respective schools which are under the control of LSGI. 2. Random physical verification by assessment | 2 (if the required number of toilets are available in all the schools) 1 (if 75 % of the schools are having the required number | 1 (if the required number of toilets are available in all the schools) 0.5 (if 75 % of the schools are having the required |

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| | | team | of toilets) | number of toilets) |
| | 2.1.4.5 At least one well maintained resting place especially for ladies is available in the Municipal area | The asset register in Sachithra shows the existence of resting places in the Municipal area. (photograph can also be taken as proof) Random physical verification by APA | 0 | 2 |

2.1.5 Front office and visitor friendly facilities in LSGI office

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (10) |
|--|--|--|---|
| 2.1.5 Front office and visitor friendly facilities in LSGI office is available | 2.1 5.1 Well maintained front office and other facilities as mentioned below are available. 1. Adequate sitting space (Minimum 10 seats) 2. Drinking water 3. Public toilets 4. Adequate number of fans 5. Desk for writing 6. Glue, pins and other stationery 7. Ramp for elderly and physically challenged 8. Adequate vehicle parking space 9. Front office diary in annexure 3 prescribed in GO (MS) No.123/2009 dt. 02-07-2009 is maintained. 10. Baby Feeding Room for Mothers | 1. Physical verification by assessment team (photograph can be taken as proof) | 10 (Proportionately to the facilities available) |

2.1.6 Fish/Vegetable markets

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (8) |
|---|---|--|---|
| 2.1.6 Fish/ Vegetable markets with basic facilities are available | 2.1.6.1 Fish / vegetable market (public or private) is available with the following facilities i. Covered shelters for the vendors ii. Separate space identified for vegetable, | 1. Asset Register 2. Physical verification by assessment team and photograph 3. In the case of private market license issued by LSGI | 8 1 mark for each facility on a pro rata basis |

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| | fish and meat vendors iii. Segregation and disposal of waste iv. Biogas or other treatment facilities for bio-degradable solid waste v. Proper drainage facilities vi. Treatment facilities for liquid waste vii. Public toilets viii. Adequate vehicle parking space | | |
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2.1.7 Street lights

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (8) |
|--|---|---|---|
| 2.1.7 Street Lights are available 30 meters apart and functional | 2.1.7.1 All roads / lanes have street light installations 30 meters apart | 1. Total length of roads as per asset register in Sachithra or Administration Report as on 31st March 2015 2. Total length of lanes (footpath) as per asset register in Sachithra as on 31st March 2015 3. Total number of street lights in the LSGI area as per register of street lights or as per number furnished by KSEB as on 31st March 2015 | 5 (Street light installations are maximum 30 meters apart) 3 (Street light installations are within 30-40 meters apart) |
| | 2.1.7.2 Meters are installed for all the street lights | 1. Total number of street lights in the LSGI area with electric meters during 2014-15 as per register of meters or files relating to installation work of meters or bills of KSEB | 2 (100% street lights are metered) 1 (50% percent street lights are metered) |
| | 2.1.7.3 Automatic switch on and switch off facility are installed for all the street lights | 1. Total number of street lights in the LSGI area with automatic switch on and switch off facility in 2014-15 as per files relating to installation work of connections with automatic switch on and switch off facility | 1 (100% street lights have automatic switch on and switch off facility) 0.5 (50% street lights have automatic switch on and switch off facility) |

2.1.8 Safe drinking water facilities

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (4) |
|---|---|---|---|
| 2.1.8 Safe drinking water facilities are available to | 2.1.8.1 At least 90% of households in the LSGI area have drinking water | Data from LSGI showing total number of households and total number of households having | 3 (At least 90% of households have the |

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| citizens | within their premise | well water and/or tap water connection from treated source during 2014-15 based on report collected from Primary Health Centre, Water Authority, etc. | facility) 2 (Less than 90% but more than 75% of households have the facility) |
| | 2.1.8.2 Adequate potable water is available in government schools under the control of LSGI. (A minimum of 2 tap or 1 well / hand pump) | Statement from Headmasters of Govt schools showing number of students and number of drinking water taps available in 2014-15. | 1 (If 100% school have adequate drinking water facility) |

2.1.9 Anganwadis

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (10) |
|--|---|--|--|
| 2.1.9 Anganwadis with basic facilities are available | 2.1.9.1 Number of Anganwadis available is as per the population norms stipulated by the Social Justice Dept. (1 Anganwadis for a population of 800) | 1. Statement showing number of Anganwadis furnished by ICDS Supervisor as on 31st March 2015 2. Random physical verification by Assessment team | 4 (If 75% of the numbers as per norms are available) 2 (if at least 50 % of the number as per norms is available) |
| | 2.1.9.2 Anganwadis are functioning in own building | 1. Statement showing number of Anganwadis furnished by ICDS Supervisor as on 31st March 2015 | 2 (100% Anganwadis functioning in own building) 1 (50% Anganwadis functioning in own building) |
| | 2.1.9.3 Compound wall is available in Anganwadis | 1. Statement showing number of Anganwadis furnished by ICDS Supervisor as on 31st March 2015 | 1 (100% Anganwadis have compound wall) 0.5 (50% Anganwadis have compound wall) |
| | 2.1.9.4 Anganwadis have baby friendly toilets | 1. Statement showing number of Anganwadis furnished by ICDS Supervisor as on 31st March 2015 | 1 (100% Anganwadis have baby friendly toilets) 0.5 (50% Anganwadis have baby friendly toilets) |
| | 2.1.9.5 Anganwadis have electricity connection | 1. Statement showing number of Anganwadis furnished by ICDS Supervisor as on 31st March 2015 | 1 (100% Anganwadis have electricity) |

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| | | | connection) 0.5 (50% Anganwadis have electricity connection) |
| | 2.1.9.6 Anganwadis are having LPG connection | 1. Statement showing number of Anganwadis furnished by ICDS Supervisor as on 31st March 2015 | 1 (100% Anganwadis have LPG connection) 0.5 (50% Anganwadis have LPG connection) |

2.1.10 Basic infrastructure in Scheduled Caste & Scheduled Tribe colonies/Sanketham

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (10) |
|--|---|---|--|
| 2.1.10 Basic infrastructure is available in Scheduled Caste & Scheduled Tribe colonies/Sanketham | 2.1.10.1 Scheduled Caste & Scheduled Tribe colonies/Sanketham have tarred /concrete roads | 1. Report regarding availability of tarred/concrete roads in SC/ST colonies/sanketham from the SC/ST Development officer in the case of Municipalities and SC/ST Promoters in the case of Grama Panchayats having jurisdiction over the LSGI area in 2014-15 2. Random physical verification by Assessment team | 3 (100% colonies/sanketham have tarred /concrete roads) 1 (75% colonies/sanketham have tarred /concrete roads) |
| | 2.1.10.2 Safe drinking water is available including public water taps to all the households in Scheduled Caste & Scheduled Tribe colonies/Sanketham | 1. Report regarding availability of drinking water in SC/ST colonies/sanketham from the SC/ST Development officer in the case of Municipalities and SC/ST Promoters in the case of Grama Panchayats having jurisdiction over the LSGI area in 2014-15 2. Random physical verification by Assessment team | 3 (100% of households in SC & ST colonies/sanketham have safe drinking water facility) 1 (Less than 100% but more than 75% of households in SC & ST colonies/sanketham have safe drinking water facility) |
| | 2.1.10.3 Facility of street light as per norms is provided in all roads/lanes in all the colonies have street light installations 30 meters apart | 1. Report regarding availability of street light in SC/ST colonies/sanketham as per norms is in all roads/lanes in all the in SC/ST colonies/sanketham from the SC/ST Development officer in the case of Municipalities and SC/ST Promoters in the case of Grama Panchayats having jurisdiction over the LSGI area in 2014-15 2. Random physical verification by Assessment team | 1 If facility of street light as per norms is provided in all roads/lanes in all the colonies/sanketham) 0.5 (If facility of street light as per norms is provided in 75% of roads/lanes in all the colonies/sanketham) |
| | 2.1.10.4 Electricity facility is | 1. Report regarding availability of electricity in all | 1 |

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|--|---|--|---|
| | provided to all the households in Scheduled Caste & Scheduled Tribe colonies/Sanketham | households in all the in SC/ST colonies/sanketham from the SC/ST Development officer in the case of Municipalities and SC/ST Promoters in the case of Grama Panchayats having jurisdiction over the LSGI area in 2014-15 2. Random physical verification by Assessment team | (100% of households in SC & ST colonies/sanketham have electricity facility) 0.5 (Less than 100% but more than 75% of households in SC & ST colonies/sanketham have electricity facility) |
| | 2.1.10.5 Scheduled Caste & Scheduled Tribe colonies/Sanketham have recreation facilities / playgrounds for children | 1. Report regarding availability of Recreation facilities/playgrounds for children in all the colonies from the SC/ST Development officer in the case of Municipalities and SC/ST Promoters in the case of Grama Panchayats having jurisdiction over the LSGI area in 2014-15. 2. Random physical verification by Assessment team | 1 (100% colonies have recreation facilities/playgrounds for children) 0.5 (75% colonies have recreation facilities/playgrounds for children) |
| | 2.1.10.6 Sanitation facilities is available to all the households in Scheduled Caste & Scheduled Tribe colonies/Sanketham | 1. Report regarding availability of sanitation facilities in all the houses in all the colonies/sanketham from the SC/ST Development officer in the case of Municipalities and SC/ST Promoters in the case of Grama Panchayats having jurisdiction over the LSGI area in 2014-15 2. Random physical verification by Assessment team | 1 (100% of households in SC & ST colonies have sanitation facility) 0.5 (Less than 100% but more than 75% of households in SC & ST colonies/sanketham have sanitation facility) |

2.1.11 Transparent and appropriate methods of procurement followed and documented

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (4) |
|--|--|--|--|
| 2.1.11 Transparent and appropriate methods of procurement followed and documented in projects taken up under KLGSDP. | 2.1.11.1 Compliance with the prescribed Procurement Guidelines for Goods and Services for projects taken up under KLGSDP for the year 2014-15 & 15-16 (project formulation up to 20-12-15) i) The procurement is through competitive method for those purchases above Rs.5000/- ii) Public opening of quotation/tender iii) No evidence of price negotiation with any supplier / bidder iv) Direct purchase of goods are only from | 1. Review sample of 10 cases (or all if the number of cases is below 10) high value procurement of Good and Services from KLGSDP performance grant fund of value more than Rs.5,000/- and verify the following conditions a) Procurement file shows that the procurement of goods is based on competitive method against quotation or tender advertisement b) In the cases of open tender invitation to bid was advertised at least 21 days prior to the dead line for the submission of the bids. c) Minutes of meeting of tender opening shows Quotations / Tender Opening were publically held in the presence of representative of bidders and social audit committee members | 4 (Pro-rata on total sample of procurement of goods and works and procurement conditions) |

| | | | |
|--|--|---|--|
| | <p>dealers registered under DGS&D and the rates quoted are prescribed by the DGS&D</p> <p>v) Social Audit Committee (SAC) undertakes procurement monitoring.</p> <p>vi) Quotation or tender Invitation advertised at least 21 days prior to the dead line for the submission of the quotation / bids.</p> | <p>d) Price in supply order / agreement issued to successful supplier / bidder is same as the price indicated in the comparative statement or price offer / quotation received by the supplier / bidder indicating no negotiation in prices for procurement made.</p> <p>d) There was no direct purchase of goods from suppliers / dealers not registered under DGS&D verified from registered supplier / dealers list</p> | |
| | <p>2.1.11.2 Compliance with the prescribed Public Works Rules for Works executed from KLGSDP performance grant fund for the financial year 2014-15 & 2015-16</p> <p>i) The procurement is through competitive method (excluding those executed through Beneficiary Committee, Accredited Agencies or directly by LSGI)</p> <p>ii) Notice Inviting Tender for Works are posted on the notice board and advertised in the newspaper for open tendering (excluding those executed through Beneficiary Committee, Accredited Agencies or directly by LSGI)</p> <p>iii) Public opening of tender (excluding those executed through Beneficiary Committee, Accredited Agencies or directly by LSGI)</p> <p>iv) No evidence of price negotiation with any bidder (for Works under KLGSDP only) (excluding those executed through Beneficiary Committee, Accredited Agencies or directly by LSGI)</p> <p>v) Quotation or tender Invitation advertised as per existing work rules for the submission of the quotation / bids.</p> | <p>1. Review sample of 10 cases (or all if the number of cases is below 10) procurement of Works executed by Contractor undertaken from KLGSDP performance grant fund (Maximum 3 roads works and remaining from other construction projects)</p> <p>a) Tender register / Procurement file shows that the procurement of Work is through Quotation/Open Tendering method as per work rules</p> <p>b) Invitation to bid was advertised at least 10 days prior to the dead line for the submission of the bids for works up to Rs. 10 lakhs and 20 days for works above Rs. 10 lakhs.</p> <p>c) Tender register shows that Tender Opening were publically held in the presence of representative of bidders on stipulated date and time as intimated to bidders</p> <p>d) Price in Contractor's Agreement issued to successful tender is same as the price indicated in the comparative statement or price quote received by the bidder indicating no price negotiations was carried out</p> | |

2.1.12 Compliance with ESMF procedure in KLGSDP projects

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (2) |
|--|--|--|---|
| 2.1.12 Limited Environment and Social Assessment (LESA) for Level-2 activities (except for routine road repair / maintenance projects) funded by KLGSDP performance grant in the financial year 2014-15 & 2015-16 has been complied with | 2.1.12.1 Limited Environment and Social Assessment (LESA) for applicable Level-2 activities (except for routine road repair / maintenance projects) funded by KLGSDP performance grant in the financial year 2014-15 & 2015-16 has been complied with. | 1. Proforma-F (Limited Environment and Social Assessment)for Level-2 activities (except for routine road repair / maintenance projects) have been completed and attached to the DPR 2. Approval of the sanctioning authority is accorded with seal and signature in the Annexure 6 Form | 1 (if 100% projects qualify) |
| | 2.1.12.2 For completed KLGSDP projects compliance measures have been implemented | 1. In the case of completed KLGSDP projects compliance verification section in Annexure 6 have been signed by block engineer/Municipal Engineer in GP/Municipality respectively | 1 (if 100% completed projects qualify) |

Performance Area 2: Accounting, Financial Reporting and Audit

2.2.1 Unqualified external audit opinion for the year 2013-14

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (4) |
|--|---|---|--|
| 2.2.1 Unqualified external audit opinion for the year 2013-14 or follow up actions taken to address significant financial management weaknesses observed in the audit for the year 2013-14 | 2.2.1.1 Latest Audit certificate issued by Local Fund Auditors to LSGI for the year 2013-14 is "Clean" in the first instance itself or having no qualifications in the first instance. OR Measures for rectifying all serious audit defects if any mentioned in the audit certificate for 2013-14 have been taken and a letter from LFA department stating that the defects have been fully rectified is received. | Verify latest Audit certificate issued by Local Fund Auditors to LSGI for the year 2013-14 and ascertain that it is "Clean" or having no qualifications in the first instance itself. OR Verify the audit certificate for 2013-14 and see whether all the serious audit defects pointed out have been rectified and a letter to that effect received from LFA dept. (attach copy) | 4 (if it is clean in the first instance) Or 2 (if the rectification have been carried out and approved by LFA) |

Performance Area 3: Participation, Transparency and Accountability

| Performance Criteria | Objective Assessment Criteria | Means of Verification | Maximum Score (4) |
|-------------------------|-----------------------------------|---|-------------------|
| 2.3.1 Vulnerable groups | 2.3.1.1 At least 10% of the total | 1. The fund allocation against Women Component / Development Plan | 2 |

| | | | |
|--|--|---|--|
| participate in and benefit from planning and execution | Development Fund is allocated for Women Component Plan and 5% for Aged, Disabled & other weaker section respectively in Annual Budget and project proposals with respect to SCP, TSP, WCP and Aged, Disabled & other weaker section for the financial year 2014-15 | and against Aged, disabled & other weaker section as compared with the total Development Fund drawn from Annexure 9(2) of the Annual Budget for the financial year 2014-15 2. The Annual Plan for the financial year 2013-14 shows project proposals with respect to Special Component Plan, Tribal Sub Plan, Women Component / Development Plan and Aged, disabled & other weaker section | (0.5 mark for meeting fund allocation for WCP; and 0.5 marks for Aged, disabled & other weaker section; 1 mark for project proposals for vulnerable groups in annual plan) |
| | 2.3.1.2 At least 70 percent of SCP / TSP / WCP / Aged, disabled & other weaker section allocations in Annual Budget for the financial year 2014-15 was actually spent during the financial year | 1. Fund allocation and actual expenditure against allocation with respect to SCP, TSP, WCP and Aged, disabled & other weaker section for the financial year 2014-15 drawn from Sulekha plan reporting format from website www.plan.lsgkerala.gov.in/ Sulekha web shown and printout taken. (Select year 2014-15 for getting expenditure report from Sulekha.) | 2 (Pro-rata for the four categories of allocation for vulnerable groups) |