



Philippines Provincial Road Management Facility

Local Road Management Performance Assessment Manual

Revised Manual
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Department of the Interior and Local Government
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1. Background

In 2011, the Department of Interior and Local Government (DILG) decided to use a performance assessment tool called Local Road Management Performance Assessment Tool (LRMPAT) to assess Local Government Unit's (LGU) performance in local road management (LRM).

Two year after development and testing, the LRPMAT was rolled-out in 2013 with DILG regional offices taking the lead in data collection and the Office of Project Development Services – Special Local Roads Fund (OPDS-SLRF) Team at the national office leading the aggregation and analysis process. In the same year, the Road Board, the Philippine government's steward for the objective utilization of the Motor Vehicles' User Charge (MVUC) decided against using the LRMPA to allocate SLRF funds but sees the value of using it in assessing local government performance in local road management.

The results of the first roll-out of the LRMPAT brought in significant lessons. While only 32% percent of provinces and 38% of cities were covered in the assessment, the following lessons regarding the value of the tool were emphasized through analysing the results of the LRMPA:

- a. The underlying theory underpinning the LRMPA assessment is confirmed to be valid. However, there is a need to rethink the process of including sufficiency of budgetary allocation as an indicator of performance than as a separate measure of input or capacity especially that it is a significant variable in the ensuring that systems and procedures will result to better roads.
- b. Investments in technical capacities, in systems, procedures, policies do not automatically translate to improved local road management performance, especially when LGUs are faced with financial constraints. Without actual investments in road rehabilitation and maintenance, investments in capacity building do not result to road improvements. This echoes the findings in a separate study that looked into the LGU capacity and its implications on the national program on local road management (Mcnamara, 2014).

A separate workshop was held with representatives from at least 80% of all regional offices of the DILG in May 2014. The workshop was held to reflect on the first round of LRMPAT implementation. While all participants saw the value of the tool, they suggested a rethinking of the scoring system because of the following concerns:

- a. There is an imbalance between performance and capacity indicators. Capacity indicators constitute 50 indicators (out of 59 total) with total weight of 50 points (out of 87 total). Performance indicators however are the most significant part of the LRMPA. As the initial results showed, high ratings on capacity do not necessarily result to high performance. Thus, there is a need to rethink the process of selecting the indicators (e.g. considering lumping indicators into one category) or recalibrating the scoring system (e.g. moving towards a scoring system that emphasizes performance), or both.
- b. The rating system of presence or absence (especially for the capacity-related indicators) are not able to show two things – (1) differences in performance of a province across time and (2) differences in performance of one province against another. For condition (1), an example would be indicator "Annual investment plan that shows 100% funding for road maintenance of road projects planned for the year under review." In this case, if a province has 20% funding in 2011

but moves to 80% in 2012, this will be rated in the same way using the previous version of the LRMPA. For condition (2), an example would be the indicator “Minutes of meetings on inter-department processes for road management planning” to indicate interdepartmental coordination. One province with highly sophisticated coordination mechanisms with several reiterative processes will be rated in the same way as a province that conducts only one meeting.

- c. Indicators can be ‘gamed’ by a province to show better results. This can be easily done for indicators which use presence as a main precondition for a positive rating.

Based on these findings, it was decided by DILG-OPDS-SLRF team that the LRMPAT will be revised. The revision process was conducted in 2014 by a team from Step Up Consulting headed by its project team leader, Mr. Michael Canares.

This manual is the fourth version of the LRMPAT. The LRMPAT version 4 retained the basic capacity and performance framework used in versions 1 and 2 but conceptually separated capacity from performance and revised the indicators under these. Specific SLRF-related indicators were no longer treated as a separate sub-component and were considered subsumed under the general performance indicators.

The rating system has also been changed. Instead of the presence (1) and absence (0) rating used in the previous version, scales are used this time to capture the extent of local road management performance each local government unit or agency. Using a scale system enables us to see the progress or non-progress of a local government unit over time and the differentiated performance of LGUs. This is more consistent with other rating tools currently used in public financial management (Public Financial Management Assessment Tool) and procurement (Agency Procurement Compliance and Performance Indicator).

2. Introduction

2.1 What is Local Road Management¹

Through devolution and decentralization, LGUs have been granted with the local autonomy including the efficient and effective provision of basic services and facilities. Local road infrastructures are considered by the Local Government Code [Sections 17 (a) and (b)] as basic facilities that the LGUs should provide within its jurisdiction. Local roads are critical infrastructures that provides and accelerates the delivery of public services and goods. The development and management of the local road network is therefore central to this mandate. As LGUs look to the National Government for guidance, it is paramount that recognized practices for local road management are shared to the LGUs as they fulfill their mandate.

Local road management (LRM), as the name implies, is planning, prioritizing and sustainably managing the local road network in consideration of the envisioned socioeconomic development of the LGU. Sustainable management of local road infrastructure requires regular maintenance, adequate prioritization and planning, sufficient budget and adequate contracting, financial management and monitoring procedures. In simple terms, local road management is the planning and implementation of investments to local roads based on the function and condition of the local road viewed as a network that supports the over-all socioeconomic development of the LGU.

2.2 Why Assess Performance in Local Road Management?

As LRM is critical to economic and social development of local governments, it is just but important that the capacity of LGUs to fulfil this function is assessed for two reasons. First, to how good or how bad the LGU is fulfilling this function, and second, to know how the LGU can be assisted to perform well in this area. The main purpose of the LRMPAT then would be to serve as a diagnostic tool that LGUs can use to formulate capacity development programs for LRM. The tool determines the strengths and the areas for development of the LGU in LRM. The LGU can then formulate capacity development strategies on the identified areas for development and leverage the identified strengths.

The results of the diagnostic tool can therefore be used by the DILG to identify LGUs who need assistance in developing their LRM capacity and in identifying specific areas in LRM where these LGUs need support.

The revised LRMPAT is essential to more accurately identify the level of assistance on Local Road Management that shall be provided to an LGU. This would allow the DILG and other agencies with LRM projects to more precisely channel provision of technical assistance and capacity development efforts, and prioritize LGUs that need these tools most to obtain improvement in LRM, in support of the National Government's drive for inclusive growth. The LRMPAT will also allow the Department to more accurately identify LGUs to be prioritized for performance based incentive projects.

¹ This sub-section is taken entirely from the Local road Management Manual prepared by DILG in 2013, with minor revisions to suit the styling of this document.

3. The Local Road Management Performance Assessment Tool

3.1 Definitions

The definition of “capacity” in this manual is “the ability of an LGU to manage and maintain their local roads in fair to good condition.”

The definition of “performance” in this manual is “the accomplishment of an LGU against preset standards of effectiveness and efficiency in LRM as contained in the Local Road Management Manual”.

The definition of “impact” in this manual is “changes in the well-being of road users brought about by improvements in road conditions.”

3.2 Capacity and Performance Framework

The capacity and performance framework used in designing the tool is shown below.

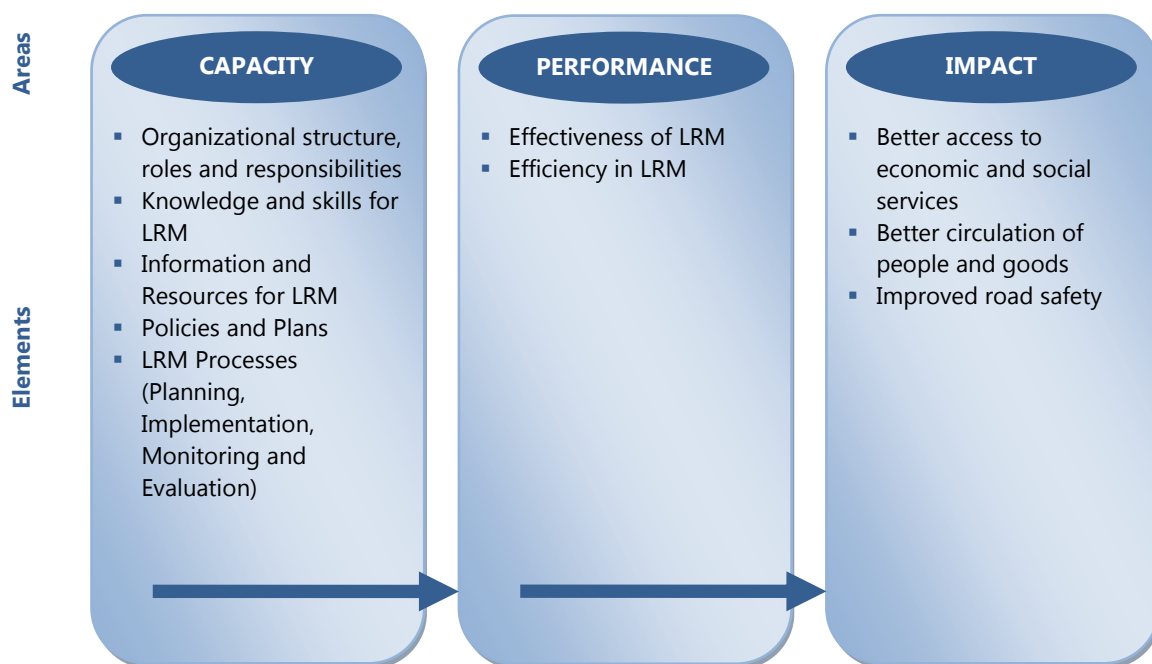


Figure 1. Capacity and Performance Framework

The capacity elements included in the assessment tool are shown in Table 1 below:

Table 1: Capacity elements

Capacity elements	Explanation
Organizational structure, roles and responsibilities	The presence of an integrated structure within the LGU with defined and written roles and responsibilities for LRM and

Capacity elements	Explanation
	how integrated these are in its organic processes.
Knowledge and skills for LRM	Availability of skilled personnel who can carry out LRM-related functions from planning, design, contract management and monitoring and evaluation
Information and resources for LRM	Availability of LRM-related information such as on road condition, and resources (funding especially) for LRM
Policies and plans	Presence of LRM-related policy and long-term plans based on standard designs and processes for LRM
LRM Processes	Regularity of standard processes in LRM in terms of planning, implementation and monitoring and evaluation (project cycle)

The elements of LRM performance are shown in Table 2 below.

Table 2: Performance elements

Elements of Performance	Explanation
Effectiveness	The ability of the LGU to achieve the objective of maintaining local roads in good condition.
Efficiency	The ability of the LGU to achieve the above objective using resources based on standard costs and timeframes.

Note that LRMPAT will only deal with both capacity and performance elements. The level of impact will be measured through a separate tool – the Road Users’ Survey.

The indicators to be used in each of the capacity and performance elements are explained in full detail in a separate chapter (Chapter 5).

4. The Performance Assessment Process

4.1 General Overview of the Assessment Process

Table 4 below shows the steps in the performance assessment process.

Table 3: Steps in the performance assessment process

Steps	Responsible	Output	Time Requirement
1. Assessment call	Central office	Go signal and dates of assessment	One week
2. Data gathering and initial scoring	DILG regional coordinators	Copies of evidence for indicators Initial score	One week (but face to face meeting can be done in 3 hours)
3. Data quality assurance	DILG Central office	Quality assurance report	One week
4. Discuss results with LGU	DILG regional coordinators	Feedback and possible action plan	One week
5. Prepare final report DILG	Regional and central offices	Report on LGU Performance to the Secretary of DILG	One week

4.2 Step 1: Assessment Call

The LRMPAT assessment is therefore conducted every year. The specific date of the conduct of the assessment depends on the implementation of the SLRF-supported projects during the previous year. The period covered in the assessment is the preceding fiscal year during the actual conduct of the LRMPAT assessment.

The LGUs will be formally informed about the conduct of the assessment by the DILG Central Office. The formal letter informing the LGU about the conduct of the assessment will be sent at least one month before the conduct of the actual assessment.

The formal letter will:

- a. Discuss the objectives of the assessment
- b. Describe the process that will be followed

- c. Enumerate the list of persons that need to be in the assessment
- d. Request the LGU to prepare beforehand the documents that the assessment tool requires. These documents are enumerated in the "Guide for assessors" column in the LRMPAT.

4.3 Step 2: Data Gathering and Initial Scoring

Once the formal letter has been sent, a DILG regional office team will visit the LGU for the conduct of the assessment. The DILG regional office team will consist of at least two (2) persons – a civil engineer and a member of staff with background in capacity development. The assessment at the LGU will take the form of an FGD with key members of staff of the LGU from the Office of the Local Chief Executive (LCE), Provincial Engineering Office (PEO) or City Engineering Office (CEO), Provincial Planning and Development Office (PPDO) or City Planning and Development Office (CPDO), Budget Office, Human Resource Management Office (HRMO), etc.

4.3.1. Assessment FGD

The FGD would take about three (3) hours depending on the readiness of the LGU to provide the information required by the assessment. The FGD will include the following:

- a. discussion of the objectives of the assessment
- b. explanation of the capacity and performance assessment framework used
- c. discussion of the uses of the tool
- d. explanation of the assessment scoring system.

The assessment team will examine all documents presented as evidence and take copies of these for submission to the DILG Central Office.

4.3.2. Assessment scoring system

The LRMPAT has seven (7) capacity and performance elements (Table 4) – five (5) of these relate to capacity while the other two (2) are on performance. There are fourteen (14) objectively verifiable indicators (OVI). All capacity indicators except for information and resources represent one point each in terms of weight. Information is given 2 weight points while funding for road rehabilitation and maintenance four (4) points each. Each performance-related indicator, on the other hand, constitutes four (4) points. This weighting on the points will result to a total weight of capacity indicators at sixty percent (60%) and performance indicators at forty percent (40%) of the total LGU score.

Table 4. LRMPAT scoring system

Capacity and performance elements	Number of objectively verifiable indicators	Total points
Organizational structure, roles and responsibilities	1	1
Knowledge and skills in LRM	1	1

Capacity and performance elements	Number of objectively verifiable indicators	Total points
Information and resources for LRM	3	10
Policies and plans for LRM	1	1
Local Road Management Processes	5	5
Effectiveness of Local Road Management	2	8
Efficiency of Local Road Management	1	4
Totals	14	30

Each of the indicators are given points between zero (0) to four (4); zero, being the lowest, and four, the ideal scenario. In this way, indicator scores can be compared over time to see how the LGU progressed in each indicator from one period to another.

The LRMPAT assessors shall use the Excel version of the LRMPAT. The Excel version is similar to the Word version shown in Annex 1, except that the scores can be encoded in the Excel version and these will be automatically computed by Excel.

The scores based on the FGD and copies of the evidence presented shall be submitted by the DILG regional staff who conducted the assessment to the DILG Central Office. The LRMPAT scores at this point are not yet final. These can be presented to the LGUs with the caveat that the DILG Central Office will still check the scores against the evidence presented.

4.3.3. Performance monitoring

As the LRMPAT assessment will be conducted annually, the percentage scores of LGUs on each management element can be compared year-on-year.

The baseline LRMPAT percentage scores of the LGU can serve as the basis for formulating a capacity development strategy to improve this LRM capacity and performance. The comparison with the end line percentage scores can be used to analyze the implementation of the strategy and generate lessons.

4.4 Step 3: Data quality assurance

The DILG Central Office shall perform “quality assurance” on the submitted LRMPAT completed forms. They will check the LRMPAT scores of the LGUs against the evidence submitted. They will also ensure that the scores are generally coherent and do not contradict each other.

If the DILG Central Office staff finds contradictions in the scores, these will be clarified with the DILG regional staff who conducted the assessment until these are clarified and resolved.

4.5 Step 4: Discussion of final scores and results with LGUs

Once a final score has been agreed between the DILG Central and Regional Offices after the data quality assurance process, the latter will then inform and discuss the results with the LGU. At this point, the LGU can decide to use the form to formulate a capacity development strategy for LRM if it wishes and it has the resources to do so, as shown in Figure 3 below.

4.6 Step 5: Preparation of report for DILG

The DILG Central Office SLRF staff shall summarize the results of the performance assessments at the national level using an Excel template shown below.

Table 5. Excel template for tabulating LRMPAT scores with theoretical data

Region	Prov/ city	Actual score	Overall % score	LRM INDICATORS								
				1	2	3	4	5	6	7	8	9
Region A	A	17	20.0%	0.0%	0.0%	11.1%	52.9%	0.0%	66.7%	20.0%	0.0%	50.0%
Region A	B	66	77.6%	100.0%	100.0%	100.0%	82.4%	100.0%	100.0%	100.0%	60.0%	100.0%
Region A	C	19	22.4%	0.0%	0.0%	11.1%	70.6%	0.0%	66.7%	0.0%	0.0%	50.0%
Region B	D	28	32.6%	0.0%	60.0%	0.0%	88.4%	40.0%	83.3%	20.0%	0.0%	40.0%
Region B	E	66	76.7%	100.0%	100.0%	11.1%	82.4%	100.0%	100.0%	60.0%	62.5%	80.0%
Region B	F	65	75.6%	100.0%	80.0%	0.0%	76.5%	80.0%	100.0%	20.0%	50.0%	60.0%
Region C	G	63	73.3%	0.0%	20.0%	0.0%	76.5%	100.0%	100.0%	40.0%	50.0%	80.0%
Average % scores		46.28	54.02%	42.86%	51.43%	19.05%	75.65%	60.00%	88.10%	37.14%	51.79%	65.71%

This step ends the performance assessment cycle for a certain year. For the following year, the performance assessment cycle resumes with Step 1 with the performance of the previous year being assessed.

5. LRMPA Indicators

5.1 The 14 Indicators

There are 14 indicators that will be assessed. Eleven of these indicators relate to capacity while three indicators relate to performance. Note that while capacity indicators are numerous, it has a smaller weight when compared to the performance indicators. Performance indicators constitute 60% of the total rating of the LGUs. The table below summarizes these indicators and what it means in terms of ideal performance:

Table 6. List of LRMPA indicators and descriptions of Ideal Performance

Indicators	Weight	Description of Ideal Performance
Capacity Element 1: Organizational Structure, Roles and Responsibilities		
Indicator 1: Functionality of an inter-office road management structure for roads management.	1	Local road management is a function shared by agencies within the local government and this is formalized through an inter-agency structure.
Capacity Element 2: Knowledge and Skills for Local Road Management		
Indicator 2: Complement of LGU staff with knowledge and skills in road management	1	The LGU has staff with the requisite skills in road planning, road design, contract management, construction management, maintenance management, monitoring and evaluation, and environmental management.
Capacity Element 3: Information and Resources for Local Road Management		
Indicator 3: Availability of road management-related information	2	The LGU has the necessary information for it to effectively manage local roads (e.g. updated inventory on roads and bridges, traffic count, accident records, and other related data).
Indicator 4: Annual budget for road maintenance	4	The LGU allocates sufficient funds (i.e. Php100,000 per kilometer of road) to maintain its roads in fair to good condition for the last three years.
Indicator 5: Annual budget for road rehabilitation	5	The LGU allocates sufficient funds (i.e. Php400,000 per kilometer of road) to rehabilitate its core road network in the last three years.
Capacity Element 4: Policies and Plans		
Indicator 6: Infrastructure Plans inform Annual Road Works	1	There is a local road management plan and it informs the annual planning and budgeting for road works.
Capacity Element 5: Local Road Management Processes		
Indicator 7: Level of participation in local road planning processes	1	Civil society groups and other stakeholders are part of the planning and implementation of local road projects.
Indicator 8: Road projects for rehabilitation identified for the year have detailed engineering design	1	The LGU prepares detailed engineering design for each local road rehabilitation project.
Indicator 9: Procurement compliance	1	All local road projects requiring public bidding are procured through competitive bidding process in compliance with RA 9184.
Indicator 10: Internal audits performed on local road management processes	1	An internal audit office conducts regular audit of road projects at least once a year.
Indicator 11: Monitoring reports on local road projects.	1	The LGU conducts monitoring of local road projects with civil society representatives at least once a year and reports the results to an appropriate body.
Subtotal for Capacity Elements	18 (45%)	

Indicators	Weight	Description of Ideal Performance
Performance Element 1: Effectiveness of Local Road Management		
Indicator 12: Percentage of total length of local roads maintained and in fair to good condition	8	The LGU is able to maintain 100% of its local roads in fair to good condition based on a recently conducted inventory.
Indicator 13: Change in the total length of local roads in fair to good condition compared to previous year	8	The LGU is able to maintain 100% of its local roads in fair to good condition consistently from year to year.
Performance Element 2: Efficiency of Local Road Management		
Indicator 14: Completion rates of local road projects scheduled for the year	6	The LGU is able to complete all road projects planned and budgeted for a particular year within time and within budget.
Subtotal for Performance Elements	22 (55%)	
TOTALS	40 (100%)	40 (100%)

5.2 Scoring Description for Each Indicator

Capacity Element 1: Organizational Structure, Roles, and Responsibilities

Indicator 1: Functionality of an inter-office road management structure for roads management.

Score	Criteria	Means of Verification
4	Road management structure includes engineering, planning, budget, human resource, treasury, accounting, environment, internal audit, bids and awards, assessor. This structure can be evidenced by an Executive Order from a chief executive constituting the committee or body. This structure also functioning as evidenced by regularly meetings as evidenced by minutes of meetings.	Executive Order, Office Order, or similar document that creates the road management structure
3	Road management structure includes engineering, planning, budget, human resource, treasury, accounting, environment, internal audit, bids and awards, assessor. This structure though is not formalized by any instrument. However, this structure functioning as evidenced by regularly meetings as evidenced by minutes of meetings.	List of members of the road management structure, or an organizational structure with names of members
2	Road management structure includes engineering, planning, budget, human resource, treasury, accounting, environment, internal audit, bids and awards, assessor. This structure is formalized by any instrument but there is no evidence of it functioning.	Minutes of meetings of the road management structure
1	Road management responsibility is performed by engineering office in consultation with planning, budget and other departments. This structure however is irregular and informal.	Documentation of activities of the road management structure
0	Road management responsibility is confined only to the engineering office. There is no evidence to show that this function is shared across road-related departments.	

Capacity Element 2: Knowledge and Skills for Local Road Management

Indicator 2: Complement of LGU staff with knowledge and skills in road management

Score	Criteria	Means of Verification
4	LGU has staff with knowledge and skills in the following: <ol style="list-style-type: none"> Facilitating road planning Preparing road design Road contract management Construction management Maintenance management Road monitoring and evaluation Environmental management 	List of employees with the required knowledge and skills Personal Data Sheets of employees listed List of trainings attended by personnel or those conducted for the LGU related to the skills mentioned
3	LGU has staff with knowledge and skills in the following: <ol style="list-style-type: none"> Preparing road design Road contract management Construction management Maintenance management Environmental management 	List of employees with the required knowledge and skills
2	LGU has staff with knowledge and skills in the following: <ol style="list-style-type: none"> Preparing road design Road contract management Construction management Maintenance management 	
1	LGU have staff with knowledge and skills in the following: <ol style="list-style-type: none"> Preparing road design Construction management Maintenance management 	
0	LGU does not have staff with knowledge and skills in the following: <ol style="list-style-type: none"> Facilitating road planning Preparing road design Road contract management Construction management Maintenance management Road monitoring and evaluation Environmental management 	

Capacity Element 3: Information and Resources for Local Road Management

Indicator 3: Availability of road management-related information

Score	Criteria	Means of Verification
4	The LGU has the following road management-related information <ol style="list-style-type: none"> Updated List of road sections with description of road condition, surface type (concrete, asphalt, gravel, earth), width and lengths Information on the number and type of culverts per road section Information on the number and type of bridges 	Road inventory showing the required information Maps showing the

Score	Criteria	Means of Verification
	<ul style="list-style-type: none"> d. Map showing road network with topographic information and overlays on hazard, production, tourism, e. Updated traffic count f. Updated traffic accident records g. Updated list of roads with road right of way (RROW) issues h. Updated inventory of installed road safety devices 	<p>required information</p> <p>Traffic count and other related traffic records</p> <p>List of roads with RROW</p> <p>Inventory of road safety devices</p>
3	<p>The LGU has the following road management-related information</p> <ul style="list-style-type: none"> a. Updated List of road sections with description of road condition, surface type (concrete, asphalt, gravel, earth), width and lengths b. Information on the number and type of culverts per road section c. Information on the number and type of bridges d. Map showing road network with topographic information and overlays on hazard, production, tourism, e. Updated traffic count f. Updated traffic accident records 	
2	<p>The LGU has the following road management-related information</p> <ul style="list-style-type: none"> a. Updated List of road sections with description of road condition, surface type (concrete, asphalt, gravel, earth), width and lengths b. Information on the number and type of culverts per road section c. Information on the number and type of bridges d. Updated traffic count 	
1	<p>The LGU has the following road management-related information</p> <ul style="list-style-type: none"> a. Updated List of road sections with description of road condition, surface type (concrete, asphalt, gravel, earth), width and lengths b. Information on the number and type of bridges c. Updated traffic count 	
0	<p>The LGU does not have any of the following road management-related information</p> <ul style="list-style-type: none"> a. Updated List of road sections with description of road condition, surface type (concrete, asphalt, gravel, earth), width and lengths b. Information on the number and type of culverts per road section c. Information on the number and type of bridges d. Map showing road network with topographic information and overlays on hazard, production, tourism, e. Updated traffic count f. Updated traffic accident records g. Updated list of roads with road right of way (RROW) issues h. Updated inventory of installed road safety devices 	

Indicator 4: Annual budget for road maintenance

Score	Criteria	Means of Verification
4	100% of maintainable roads are funded with maintenance fund in the annual budget of the LGU (Php100,000 per kilometer of road per year) in the last three years	Road inventory (showing length of maintainable roads)
3	At least 80% of maintainable roads are funded with maintenance fund in the	

Score	Criteria	Means of Verification
	annual budget of the LGU (Php100,000 per kilometer of road per year) in the last three years	List of road maintenance project for the current year and the last two previous years Appropriations Ordinance indicating the amount of allocation for road maintenance projects Annual Budget
2	At least 60% of maintainable roads are funded with maintenance fund in the annual budget of the LGU (Php100,000 per kilometer of road per year) in the last three years	
1	At least 50% of maintainable roads are funded with maintenance fund in the annual budget of the LGU (Php100,000 per kilometer of road per year) in the last three years	
0	Less than 50% of maintainable roads are funded with maintenance fund in the annual budget of the LGU (Php100,000 per kilometer of road per year) in the last three years	

Indicator 5: Annual budget for road rehabilitation

Score	Criteria	Means of Verification
4	100% of required funding for annual road rehabilitation of core roads is provided for in the Appropriation Ordinance in the last three years	Road inventory (showing length of core roads roads) Appropriations Ordinance indicating the amount of allocation for road maintenance projects Annual Budget Required funding is equal to length of core roads x P8M x 5% (assumed cost is P8M and life is 20 years at straight-line) If core roads have not been identified yet, use 40%. This figure is the average core road percentage out of total road length in the 10 PRMF provinces.
3	At least 80% of required funding for annual road rehabilitation of core roads is provided for in the Appropriation Ordinance in the last three years	
2	At least 60% of required funding for annual road rehabilitation of core roads is provided for in the Appropriation Ordinance in the last three years	
1	At least 40% of required funding for annual road rehabilitation of core roads is provided for in the Appropriation Ordinance in the last three years	
0	At least 20% of required funding for annual road rehabilitation of core roads is provided for in the Appropriation Ordinance in the last three years	

Capacity Element 4: Policies and Plans

Indicator 6: Infrastructure plans inform local road works

Score	Criteria	Means of Verification
4	One hundred percent (100%) of local road works in the last three years were taken from the local government's local road management plan	Copy of the long-term Copy of the long-term local road management plan, or its equivalent
3	At least eighty percent (80%) of local road works in the last three years were taken from the local government's local road management plan	
2	At least sixty percent (60%) of local road works in the last three years were taken from the local government's local road management plan	
1	At least fifty percent (50%) of local road works in the last three years were taken from the local government's local road management plan	Copy of the PDPFP/CDP
0	Less than fifty percent (50%) of local road works in the last three years were taken from the local government's local road management plan Or The local government unit does not have a local road management plan from which it bases its annual road works.	
		Copy of LDIP
		Copy of AIP

Capacity Element 5: Local Road Management Processes

Indicator 7: Level of participation in local road planning processes

Score	Criteria	Means of Verification
4	Civil society groups and other stakeholders outside government are involved in defining the prioritization criteria for road project selection and are participating in road planning processes.	Proceedings and attendance sheets of meetings (P/CDC) that show multi-stakeholder participation during the road management planning process
3	Civil society groups and other stakeholders outside government are consulted regarding the prioritization of local road projects.	
2	There is a logical, purposive, and rationalized process in the selection of road projects but this is done only among agencies of the local government.	
1	There is a logical, purposive and rationalized process in the selection of road projects but this is neither a participatory nor an inter-department process.	
0	There is no logical, purposive, or rationalized process in the selection of road projects.	Minutes of meetings on inter-department processes for road management planning List of CSOs involved in the planning process

Indicator 8: Road projects for rehabilitation identified for the year have detailed engineering design

Score	Criteria	Means of Verification
4	100% of road projects for rehabilitation identified for the year have detailed engineering design, program of works, environmental management plans (when applicable) and detailed estimates based on standard road design guidelines	Detailed engineering designs, program of works, detailed estimates
3	At least 90% of road projects for rehabilitation identified for the year have	

	detailed engineering design, program of works, environmental management plans (when applicable) and detailed estimates based on standard road design guidelines	
2	At least 80% of road projects for rehabilitation identified for the year have detailed engineering design, program of works, environmental management plans (when applicable) and detailed estimates based on standard road design guidelines	
1	At least 70% of road projects for rehabilitation identified for the year have detailed engineering design, program of works, environmental management plans (when applicable) and detailed estimates based on standard road design guidelines	
0	Less than 70% of road projects for rehabilitation identified for the year have detailed engineering design, program of works, environmental management plans (when applicable) and detailed estimates based on standard road design guidelines	

Indicator 9: Use of public bidding for the procurement of all road works

Score	Criteria	Means of Verification
4	100% of local road projects in the last three years underwent through public bidding	List of road projects for the year
3	90-99% of local road projects in the last three years underwent public bidding	List of road projects bid out
2	80-89% of local road projects in the last three years underwent public bidding	
1	70-79% of local road projects in the last three years underwent public bidding	Notice of Award, Bid Evaluation Reports or Notice to Proceed for road projects that underwent public bidding Proceedings of BAC meetings for road Projects
0	Less than 70% of local road projects in the last three years underwent public bidding	

Indicator 10: Internal audits performed on local road management processes

Score	Criteria	Means of Verification
4	The LGU has a functioning internal audit unit that conducts audit activities on road-related transactions for at least once in the last three years.	Executive Order or SP Ordinance creating an internal audit unit.
3	The LGU has a functioning internal audit unit but has not conducted any audit on road-related transactions.	
2	The LGU has an internal audit unit but is not functional.	Audit reports prepared by the internal audit unit in the last three years.
1	The LGU is in the process of creating an internal audit unit.	
0	The LGU does not have an internal audit body to conduct internal audit activities for road-related transactions and does not have any intention to create one.	

Indicator 11: Monitoring reports on local road projects.

Score	Criteria	Means of Verification
4	The LGU regularly (e.g. annually, quarterly, monthly) conducts monitoring of local road projects with civil society representatives and reports monitoring results to local road management body.	Monitoring reports Minutes of meetings where these reports were discussed
3	The LGU occasionally (not regular) conducts monitoring of local road projects with civil society representatives and reports monitoring results to local road management body.	
2	The LGU conducts monitoring of local road projects with civil society representatives but results were not presented to appropriate body.	
1	The LGU conducts monitoring of local road projects only as part of government function and without civil society representatives.	
0	The LGU does not conduct any monitoring of local road projects.	

Performance Element 1: Effectiveness of Local Road Management

Indicator 12: Percentage of total length of local roads maintained and in fair to good condition

Score	Criteria	Means of Verification
4	100% of local roads are in fair to good condition based on recently conducted inventory (one year or less).	Road inventory report Annual Accomplishment Report of the Local Engineering Office
3	At least 80% of local roads are in fair to good condition based on recently conducted inventory (one year or less).	
2	At least 70% of local roads are in fair to good condition based on recently conducted inventory (one year or less).	
1	At least 60% of local roads are in fair to good condition based on recently conducted inventory (one year or less).	
0	Less than 60% of local roads are in fair to good condition based on recently conducted inventory (one year or less). Also, even if the figure is more than 60% but the inventory is more than a year old, the score will still be zero.	

Indicator 13: Change in the total length of local roads in fair to good condition compared to previous year

Score	Criteria	Means of Verification
4	Please see rating matrix below: For example, if the % of roads in fair to good condition in previous year is less than 50% of total roads and the percentage increased by 100% this year, the LGU gets 4. (see Bracket 1 column). Note that if the road inventory is more than a year old, the rating will be zero.	Road inventory report of current year
3		
2		Road inventory report of previous years Annual accomplishment report of the Local Engineering Office for the current and immediately preceding year
1		
0		

% of roads in fair to good condition	Percentage increase in total length of roads in fair to good condition in current year against previous year											
	Bracket 1		Bracket 2		Bracket 3		Bracket 4		Bracket 5		Bracket 5	
	% inc	points	% inc	points	% inc	points	% inc	points	% inc	points	% inc	points
<50%	100	4	75-99	3	50-74	2	25-49	1	<25	0	negative	0
51 to 60	>40	4	25-39	3	15-24	2	6-14	1	<5	0	negative	0
61 to 70	>30	4	20-29	3	11-20	2	5-10	1	<4	0	negative	0
71 to 80	>20	4	15-19	3	9-14	2	4-8	1	<3	0	negative	0
80 to 95	>10	4	7-9	3	5-6	2	3-4	1	<2	0	negative	0
96 to 100	No change gets 4 points										negative	0

Performance Element 2: Efficiency of Local Road Management

Indicator 14: Completion rates of local road projects scheduled for the year

Score	Criteria	Means of Verification
4	100% of all local road projects for the year are completed within time frame and within budget.	Monitoring and evaluation reports on local road projects Program of works Contracting data (for roads bid out) Budget for road projects Supplemental budget for road projects Certificate of completion for road projects Accounting documents related to actual expenditure of road projects Both budget and time frame needs to be complied.
3	At least 80% of all local road projects for the year are completed within time frame and within budget.	
2	At least 70% of all local road projects for the year are completed within time frame and within budget.	
1	At least 60% of all local road projects for the year are completed within time frame and within budget.	
0	Less than 60% of all local road projects for the year are completed within time frame and within budget.	

Annex 1. LRMPA Rating Sheet

Local Road Management Performance Assessment Tool Score Sheet

Name of LGU: _____

Date of Assessment: _____ Assessor: _____

Indicator 1: Functionality of an inter-office road management structure for roads management.

1.1 Is there a road management structure? Encircle the number that represents your response.

Yes	1	Proceed to 1.2
No	2	Proceed to 1.1.a

1.1.a. Does the engineering office consult other offices regarding local road management processes? (look for evidence of minutes of meetings)

Yes	1	Score for this indicator is 1
No	2	Score for this indicator is 0

1.2 Is the road management structure formalized? Encircle the number that represents your response.

Yes	1
No	2

1.3 Is the road management structure inter-office (involving offices other than Engineering)? Encircle the number that represents your response.

Yes	1
No	2

1.4 Is the road management structure functioning as evidenced by regular meetings (ask for minutes of meetings as evidence)? Encircle the number that represents your response.

Yes	1
No	2

Scoring Guide:

To get the ratings the following serve as guide:

- If item 1.1 to 1.4 are all answered yes: score is 4
- If items 1.1, 1.3. and 1.4 are all answered yes: score is 3
- If items 1.1 to 1.3 are all answered Yes: score is 2
- If item 1.1 is No, and item 1.1.a is Yes: score is 1
- If item 1.1 is No, and item 1.1.a is also No: score is 0

SCORE:

Sources of Information: Executive Order, Minutes of meetings

Indicator 2: Complement of LGU staff with knowledge and skills in road management

2.1 The LGU has staff with knowledge and skills in the following: (Please encircle the number/s that represent/s your response.)

Preparing road design	1
Construction management	2
Maintenance management	3
Road contract management	4
Environmental management	5
Facilitating road planning	6
Road monitoring and evaluation	7

To get the ratings for 2.1 the following serve as guide:

- Score is 4 if all items are selected.
- Score is 3 if items 1 to 5 are selected.
- Score is 2 if items 1 to 4 are selected.
- Score is 1 if items 1 to 3 are selected.
- Score is 0 if no item is selected.

SCORE:

Sources of Information: Staff skills inventory, Personal Data Sheet of employees, Curriculum Vitae

Indicator 3: Availability of road management-related information

3.1 The LGU has the following road management-related information (Please encircle the number/s that represent/s your response.)

Updated List of road sections with description of road condition, surface type (concrete, asphalt, gravel, earth), width and lengths	1
Information on the number and type of bridges	2
Updated traffic count	3
Information on the number and type of culverts per road section	4
Map showing road network with topographic information and overlays on hazard, production, tourism	5
Updated traffic accident records	6
Updated list of roads with road right of way (RROW) issues	7
Updated inventory of installed road safety devices	8

To get the ratings for 3.1 the following serve as guide:

- Score is 4 if all items are selected.
- Score is 3 if the first 6 items are selected.
- Score is 2 if the first 4 items are selected.
- Score is 1 if the first 3 items are selected.
- Score is 0 if no item is selected.

SCORE:

Sources of Information: Documents as listed in the table above

Indicator 4: Annual budget for road maintenance

4.1 Please fill up the table that follows with information on length of roads in good and fair condition for the last three years:

Year	Total Length of Roads in Good and Fair Condition (a)	Ideal (Required) Budget (a) x Php 100,000 (b)	Actual Budget for Road Maintenance based on Appropriation Ordinance (c)	% of Budget against Requirement (c) divided by (b) x 100
Current Year				
Prior Year				
Two Years Prior				
			Three Year-Average	

Score is 4 if percentage is 100 or more.
 Score is 3 if percentage is at least 80.
 Score is 2 if percentage is at least 60.
 Score is 1 if percentage is at least 50.
 Score is 0 if percentage is below 50.

SCORE:

Sources of Information: Road Inventory, Appropriations Ordinance, Annual Budget

Indicator 5: Annual budget for road rehabilitation

5.1. Please fill up the table that follows with information on length of local core roads for the last three years:

Year	Total Length of Core Roads (a)	Ideal (Required) Budget (a) X Php 8,000,000 x 5% (b)	Actual Budget for Road Rehabilitation based on Appropriation Ordinance (c)	% of Budget against Requirement (c) Divided by (b) x 100
Current Year				
Prior Year				
Two Years Prior				
			Three-year Average	

Note: For Column a, if core roads are not identified, input here the total length of local roads of the local government multiplied by 40%. Forty percent is the assumed length of core roads out of the total local roads of an LGU. The percentage is based on the experience with PRMF provinces.

Score is 4 if percentage is 100 or more.
 Score is 3 if percentage is at least 80.
 Score is 2 if percentage is at least 60.
 Score is 1 if percentage is at least 40.
 Score is 0 if percentage is at least 20.

SCORE:

Sources of Information: Road inventory, Appropriations Ordinance, Annual Budget

Indicator 6: Infrastructure plans inform local road works

6.1 Does the LGU have a local road management plan? Encircle the number that represents your response.

Yes	1
No	2

If your answer to item 6.1 is Yes, fill up tables that follow with information on local road works for the past three years. If answer is No, score this indicator zero (0) and proceed to 7.1.

Road works for Current Year	Please encircle 1 if the work is taken from the local road management plan, 2 if not.	
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
	1	2
Total Number of 1 (a) (road projects taken from local road management plan)		
Total Number of Road Projects for the year (b)		
% of local road projects programmed for the year taken from the local road management plan (a) divided by (b) x 100		

Road works for Prior Year	Please encircle 1 if the work is taken from the local road management plan, 2 if not.	
	1	2
	1	2
	1	2
	1	2
	1	2

Summary Table:

	Current Year	Prior Year	Two Years Prior	Average Of three Columns
% of local road projects programmed for the year taken from the local road management plan				

Score is 4 if percentage is 100.
 Score is 3 if percentage is at least 80.
 Score is 2 if percentage is at least 60.
 Score is 1 if percentage is at least 50.
 Score is 0 if percentage is below 50.

SCORE:

Sources of Information: Accomplishment Reports of PEO, Road network development plans

Indicator 7: Level of participation in local road planning processes

7.1 Is there a logical, purposive, or rationalized process in the selection of road projects? Encircle the number that represents your response.

Yes	1
No	2

If your answer to item 7.1 is Yes, please fill up the table that follows with (P) meaning the participant indicated in the column participated in the road planning processes, and (C) if they are only consulted. Leave the column blank if they have neither participated nor have been consulted by the local government.

If answer is No, score this indicator as zero (0) and proceed to 8.1. The basis of your scores should be minutes of meetings of these processes.

Participants in Road Management Planning Processes		
Civil Society and other stakeholders outside government (a)	Other Government Departments/ within LGU (b)	Local Engineering Office (c)

To get the ratings the following serve as guide:

- If columns (a), (b), and (c) all have the rating of "P" : score is 4
- If columns (a) and (b) have a rating of "C" and column (c) has a rating of "P": score is 3
- If column (a) is blank, (b) has a rating of either "P" or "C", and (c) have a rating of "P": score is 2
- If columns (a) and (b) are blank and column (c) has a "P" rating : score is 1
- If answer to 7.1 is No, or if all columns above are blank : score is 0

SCORE:

Indicator 9: Use of public bidding for the procurement of all road works

9.1 Please fill up the table that follows with information on use of public bidding for procurement of all road works programmed for the year:

Road Works to be Procured through Public Bidding	Conduct of Bidding (Write 1 if procurement is done through bidding, 2 if not)	Comments
Total Number of road projects that underwent public bidding (a)		
Total Number of road projects for the year (b)		
Percentage of road projects that underwent public bidding as against total road projects (a)divided by(b)		

- Score is 4 if percentage is 100.
- Score is 3 if percentage is at least 90.
- Score is 2 if percentage is at least 80.
- Score is 1 if percentage is at least 70.
- Score is 0 if percentage is below 70.

SCORE:

Sources of Information: Procurement reports, Annual procurement plan

Indicator 10: Internal audits performed on local road management processes

10.1 Does the LGU have an internal audit unit? Encircle the number that represents your response.

Yes	1	Proceed to 10.2
No	2	Score for this indicator is zero (0). Proceed to 11.1
No, but in the process of creating one	3	Score for this indicator is one (1). Make sure there is evidence for this (e.g. draft EO or draft ordinance). Proceed to 11.1

10.2 Answer the questions below. Encircle the number that represents your response.

Q	Question	Response	
1	Is the internal audit office functioning as evidenced by the conduct of audits and risk assessments?	Yes	No
2	Has the internal audit conducted an audit of road-related transactions at least once in the last three years as evidenced by an internal audit report?	Yes	No

To get the ratings the following serve as guide:

If the answer to questions (1) and (2) is "Yes": score is 4

If the answer to question (1) is "Yes" but to question 2 is "No": score is 3

If the answer to questions (1) and (2) is "No": score is 2.

SCORE:

Sources of Information: Executive Order or ordinance, audit reports, risk assessments

Indicator 11: Monitoring reports on local road projects.

11.1 Does the LGU conduct monitoring of local road projects? Encircle the number that represents your response.

Yes	1	Proceed to 11.2.
No	2	Score is zero (0) for this indicator. Proceed to 12.1

If your answer to item 11.1 is No, proceed to item 12.1.

11.2 Answer the questions below. Encircle your response. The answers should have the appropriate evidence

Q	Question	Response	
1	Does the LGU conduct regular (e.g. annual, quarterly, monthly) monitoring of local road projects?	Yes	No
2	Is the monitoring done together with representatives from civil society?	Yes	No
3	Are the monitoring reports presented to an appropriate local road management body?		

To get the ratings the following serve as guide:

If the answer to questions (1), (2) and (3) is "Yes": score is 4

If the answer to question (1) is "No" but to question (2) and (3) is "Yes": score is 3

If the answer to questions (1) is either "Yes" or "No", to question (2) is "Yes" and to question (3) is "No": score is 2.

If the answer to question (1) is either "Yes" or "No" and to questions (2) and (3) is "No": score is 1

SCORE:

Sources of Information: Monitoring reports, documentation of meetings

Indicator 12: Percentage of total length of local roads maintained and in fair to good condition in the current year

12.1 Please fill up the table that follows with information on local roads inventory for the current year.

Total Length of Local Roads in Km (a)	Length in fair to good condition (current year) (b)	Percentage of local roads in fair to good condition - (b)divided by (a) x 100

Score is 4 if percentage is 100.
 Score is 3 if percentage is at least 80.
 Score is 2 if percentage is at least 70.
 Score is 1 if percentage is at least 60.
 Score is 0 if percentage is below 60.

SCORE:

Note: The inventory should be the inventory for the year. If there is no updated inventory, score is zero.

Sources of Information: Road inventory

Indicator 13: Change in the percentage of maintained and in fair to good condition in the current year as compared the previous year

13.1Please fill up the table that follows with information on local roads inventory for the current and previous year.

Current Year	Previous Year				
Percentage of local roads in fair to good condition -current year (from table above) (a)	Total Length of Local Roads in Km (b)	Length in fair to good condition (c)	Percentage of local roads in fair to good condition - (c)divided by (b) (d)	Difference/ Change (d) – (a) (e)	Percent of Change (e) divided by (a)

See table below for scoring:

% of roads in fair to good condition	Percentage increase in total length of roads in fair to good condition in current year against previous year											
	Bracket 1		Bracket 2		Bracket 3		Bracket 4		Bracket 5		Bracket 5	
	% inc	points	% inc	points	% inc	points	% inc	points	% inc	points	% inc	points
<50%	100	4	75-99	3	50-74	2	25-49	1	<25	0	negative	0
51 to 60	>40	4	25-39	3	15-24	2	6-14	1	<5	0	negative	0
61 to 70	>30	4	20-29	3	11-20	2	5-10	1	<4	0	negative	0
71 to 80	>20	4	15-19	3	9-14	2	4-8	1	<3	0	negative	0
80 to 95	>10	4	7-9	3	5-6	2	3-4	1	<2	0	negative	0
96 to 100	No change gets 4 points										negative	0

SCORE:

Sources of Information: Road inventory

Indicator 14: Completion rates of local road projects scheduled for the year

14.1 Please fill up the table that follows with information on local roads projects for the current year.

Local Road Projects	Budget	Actual Cost	Target Completion Date	Actual Completion Date	Completed within Budget (Write 1 if within budget, 2 if not)	Completed within Time Frame (Write 1 if within time frame, 2 if not)
Total Number of Road Projects that are completed within budget and within timeframe (projects with "1" rating for both criteria)					(a)	

Local Road Projects	Budget	Actual Cost	Target Completion Date	Actual Completion Date	Completed within Budget (Write 1 if within budget, 2 if not)	Completed within Time Frame (Write 1 if within time frame, 2 if not)
Total Number of road projects for the year (b)						
Percentage of road projects completed within time frame and within budget (a) divided by (b)						

- Score is 4 if percentage is 100.
- Score is 3 if percentage is at least 80.
- Score is 2 if percentage is at least 70.
- Score is 1 if percentage is at least 60.
- Score is 0 if percentage is below 60.

SCORE:

Sources of Information: Program of Works, Accomplishment reports of local engineering office

SUMMARY SCORESHEET

Indicators	Raw Score (a)	Weight (b)	Final Score (a) x (b)
Capacity Element 1: Organizational Structure, Roles and Responsibilities			
Indicator 1: Functionality of an inter-office road management structure for roads management.		1	
Capacity Element 2: Knowledge and Skills for Local Road Management			
Indicator 2: Complement of LGU staff with knowledge and skills in road management		1	
Capacity Element 3: Information and Resources for Local Road Management			
Indicator 3: Availability of road management-related information		2	
Indicator 4: Annual budget for road maintenance		4	
Indicator 5: Annual budget for road rehabilitation		4	
Capacity Element 4: Policies and Plans			
Indicator 6: Infrastructure Plans inform Annual Road Works		1	
Capacity Element 5: Local Road Management Processes			
Indicator 7: Level of participation in local road planning processes		1	
Indicator 8: Road projects for rehabilitation identified for the year have detailed engineering design		1	
Indicator 9: Procurement compliance		1	
Indicator 10: Internal audits performed on local road management processes		1	
Indicator 11: Monitoring reports on local road projects.		1	
Subtotal for Capacity Elements		18 (45%)	
Performance Element 1: Effectiveness of Local Road Management			
Indicator 12: Percentage of total length of local roads maintained and in fair to good condition		8	
Indicator 13: Change in the total length of local roads in fair to good condition compared to previous year		8	
Performance Element 2: Efficiency of Local Road Management			
Indicator 14: Completion rates of local road projects scheduled for the year		6	
Subtotal for Performance Elements		22 (55%)	
TOTALS		40 (100%)	

Note: To get the percentage rating, divide the sum of capacity elements (final score, axb column) by 40. For example, if the LGU gets 20, his percentage rating is (20/40) 50%.