



REPUBLIC OF GHANA

LOCAL GOVERNMENT SERVICE

CAPACITY BUILDING FRAMEWORK

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FOREWORD

Local governance in Ghana is becoming more dynamic with increasing demands on local authorities to provide quality services in a responsive manner. The knowledge, skills and attitudes of staff of the Local Government Service (LGS), are determinants of how they respond to these demands. It is within this context that, capacity building is critical in linking competence to organisational goals and objectives.

To date, there have been several interventions to increase the skills of local government staff with a lot of emphasis on training and development. There are, however, concerns about overlaps, duplication and inadequate coordination and diffused responsibilities among the various stake-holding institutions.

The Capacity Building Framework (CBF), document has been developed to set out parameters of a new approach in the Service which seeks to institute a guided, harmonised and coordinated system toward capacity building across national, regional and local levels.

The document spells out the modalities for capacity building in the Service. It explains capacity building within the context of the Service with a logical framework, the capacity building processes, accreditation and certification of service providers, the monitoring and evaluation of capacity building activities, the institutional arrangements and the roles of stakeholders among others. It proposes the establishment of a Capacity Building Fund as means of resourcing capacity building activities and the need to build effective platforms for regular stakeholder engagement in order to sustain the framework.

The framework is intended to be used by practitioners and persons interested in local governance to strengthen the human and institutional improvement programmes of the Service. It also seeks to provide a reliable means by which capacity building experiences and lessons will be documented and through an effective knowledge management system, all stakeholders will have access and learn and share towards the general improvement of capacity building and service delivery.

Finally, the CBF is geared towards strengthening existing capacity building interventions and consolidating them by providing a mechanism that will bring about long-term and sustainable capacity building in the LGS, by focusing on the concept and practice of organisational and individual linkages for performance improvement.

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HEAD OF SERVICE

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LIST OF ABBREVIATIONS

AAP	Annual Action Plan
APR	Annual Progress Report
CB	Capacity Building
CBF	Capacity Building Framework
CBFd	Capacity Building Fund
DACF	District Assemblies' Common Fund
DDF	District Development Facility
DDU	Departments, Divisions and Units
DPCU	District Planning Coordinating Unit
DPs	Development Partners
FOAT	Functional and Organisational Assessment Tool
GAT	Gap Assessment Tool
GoG	Government of Ghana
HR	Human Resource
HRU	Human Resource Unit
IGF	Internally Generated Fund
ILGS	Institute of Local Government Studies
IMCC	Inter-Ministerial Coordinating Committee
LGS	Local Government Service
LGSC	Local Government Service Council
LGSS	Local Government Service Secretariat
LI	Legislative Instrument
M&E	Monitoring and Evaluation
MDAs	Ministries, Departments and Agencies
MLGRD	Ministry of Local Government and Rural Development
MMDAs	Metropolitan, Municipal and District Assemblies
MMDCD	Metropolitan, Municipal and District Coordinating Director
MMDCE	Metropolitan, Municipal and District Chief Executive
MoF	Ministry of Finance
MTDP	Medium Term Development Plan
NALAG	National Association of Local Authorities in Ghana
NDPC	National Development Planning Commission
OFCA	Organisational Functional Capacity Assessment
PMs	Performance Measures
PMS	Performance Management System
RCC	Regional Coordinating Council
RCD	Regional Coordinating Director
RPCU	Regional Planning Coordinating Unit
TNA	Training Needs Assessment
TP	Training Plan
UTAZ	Urban, Town, Zonal and Area Councils

1.0 INTRODUCTION

1.1 Preamble

The parameters for effective political, administrative and fiscal decentralisation in Ghana have been outlined in the 1992 Constitution and Local Government Act 462 of 1993 as follows:

- Legal transfer, in a coordinated manner at all times, of functions, powers, responsibilities and resources from the Central Government to local government units;
- Implementation of [legal] measures necessary to enhance the capacity of local government authorities to plan, initiate, co-ordinate, manage and execute policies in respect of all matters affecting the people within their areas towards ultimately localising these activities;
- The establishment of sound financial bases with adequate and reliable revenues for each local government unit;
- Control of persons in local government service by local authorities as far as practicable;
- Accountability of local government authorities to the people of the area through effective participation in [local] governance. Article 240 (2).

In pursuance of these national priorities, the Local Government Service (LGS), was established by the LGS Act, 2003, Act 656 with the objective to secure effective administration and management of local government in the country. Its functions among others include to:

- Provide technical assistance to District Assemblies (DAs) and Regional Coordinating Councils RCCs to enable them to effectively perform their functions and discharge their duties in accordance with the Constitution and the Local Government Act (462);
- Organise organisational and job analysis for the RCCs and Assemblies
- Conduct management audits for RCCs and Assemblies in order to improve the overall management of the Service;
- Design and coordinate management systems and processes for RCCs and Assemblies
- Assist the RCCs and Assemblies in the performance of their functions under the Local Government Act, the National Development Planning Systems Act (Act 480) and any other enactment;
- Perform such other functions incidental or conducive to the achievement of the objects of the Act.

Act 656 provides in Section 6 (e, f, g, h) the functions of the Council of LGS to:

- Set performance standards within which Assemblies and RCCs shall carry out their functions and discharge their duties;
- Monitor and evaluate the performance standards of Assemblies and RCCs;
- Develop and coordinate the personnel plans and assess the personnel needs of the Assemblies and Coordinating Councils;
- Develop and coordinate the training implementation plans of Assemblies and RCCs in consultation with the respective Assemblies and Coordinating Councils.

In creating the enabling conditions for improved performance of staff, the LGS took some key steps, including the following:

i. *Creating a Vision Statement*

“A world-class, decentralised and client-oriented service.”

ii. *Developing a Mission Statement*

“To support Local Government to deliver value for money services through the mobilisation, harmonisation and utilisation of qualified, human capacity and material resources to promote local and national development.”

iii. *Establishment of Human Resource Units*

In pursuance of LI 1961, the LGS established Human Resource Units (HRUs) in MMDAs across the country. The HRUs are responsible among others for:

- Human Resource Planning
- Training and Development of staff
- Performance Management
- Employee Records Management
- Recruitment and Selection
- Discipline and Grievance Procedures

In order to facilitate the effective functioning of the Unit, a Human Resource Operational Manual was developed by the Service.

iv. *Instituting the Performance Management System*

The Performance Management System (PMS) was introduced in 2014, to establish a systematic process for improving the competence of staff and teams and to enhance productivity, increase job satisfaction and achieve the full potential of all staff in the Service. Overall it seeks to set up a predictable, effective and efficient system for planning, implementing, monitoring, evaluating and reporting on the performance of LGS employees.

The place of local governance in the day-to-day lives of Ghanaians is so critical that sub-national level staffs are required to possess and exhibit in the performance of their duties, a high level of knowledge, competence and attitude in a consistent and responsive manner. This is not only in fulfilment of statutory requirements but also to assure the citizenry that their well-being, progress and development are core to Ghana’s decentralisation.

1.2 The Rationale for the Capacity Building Framework

1.2.1 What is the CBF?

The Capacity Building Framework (CBF), is a system that spells out the processes required to ensure that capacity building needs are identified; relevant interventions are effectively implemented, monitored and evaluated against clear targets. It ensures an adaptive, efficient and cost effective development of specific competences to achieve sustainable results with the involvement of stakeholders whose roles have been clearly defined.

1.2.2 Why the CBF?

With the enactment of Act 462 in 1993, capacity building arrangements evolved in different directions. As the decentralisation system and the assembly system of local governance gained credence, various entities designed, sponsored, and delivered various training programmes. Sector ministries organised training for district assembly functionaries from their perspectives to equip them for their programmes/projects, often using a top-down approach, and without sufficient consideration of the assembly and its priorities.

Development partners sponsored training in relation to their programmes and what their technical advisors diagnosed as capacity gaps. Civil society and non-governmental organisations, often guided by their international links and diagnosis of development concerns and priorities, provided training to local authorities on various skills and issues. Until recently most part of capacity building in MMDAs and RCCs has been characterised by inadequate planning and implementation, weak linkage to organisational performance standards, poor records management and accountability, weak reporting systems and coordination difficulties.

Some attempts have been made over the years to provide some standards towards coordination, efficiency and effectiveness of capacity building. Examples include the National Decentralisation Action Plan (NDAP, 2004) the Functional Organisational Assessment Tool (FOAT) and the District Development Facility (DDF). These interventions emphasised organisational and staff needs assessment, coordinated training, harmonisation and capacity support through resource mobilisation and investment from development partners and national resources.

Subsequent events including the operationalisation of the LGS, the passing of LI 1961, as well as the activities of other sector agencies and interventions of private and civil society organisations and development partners point to the need for a standing local government-wide capacity building framework.

1.2.3 Philosophy

The CBF is underpinned by the following principles and assumptions:

- The demands for professionalisation of the LGS requires a systematic approach to building critical knowledge, attitudes and skills to be able to achieve the imperatives of decentralisation
- The integration of Departments as contained in LI 1961 of 2009 and the introduction of a performance management system impose higher performance standards on MMDAs and

staff as the responsibilities of the various departments are elaborated and harmonised and the synergies between their activities become clearer;

- The provision of a strategic direction for capacity building and to establish common coordination and value systems especially among MMDAs/RCCs with the sole purpose to inform, guide and regulate capacity building activities;
- Recognition of innovation in management and administrative practice and the need to impart new knowledge and techniques to local government functionaries including new paradigms in organisation development and administration, strategic management and information communication technology;
- Appreciation of the changing world views on governance and development management to accommodate inclusivity, rights-based approaches and social accountability;
- The diversity and peculiarity of various local governance players in terms of interest, roles, expectations, location, history and culture, aspirations, etc and the need to build synergy among all of them.

1.3 Objectives of the CBF

The objectives are to:

- Provide a harmonised approach to capacity-building interventions tailored to categories of functionaries in the LGS;
- Strengthen the links between staff training and career development as well as organisational targets;
- Establish competence-based standards, learning and sharing models that cut across all local government staff and institutional service providers;
- Develop local training capacity to ensure effective use of existing capacity at the local, regional and national levels;
- Develop a comprehensive capacity building database management system to quality assure capacity building interventions at all levels;
- Identify and clarify institutional roles, responsibilities and relationships for coordinated planning, implementation and monitoring of capacity-building for local governance;
- Set up an all-encompassing capacity building trajectory including the effective utilisation and enhancement of existing capacity building interventions and resources at national, regional and local levels; and
- Raise the standards and quality of records management, reporting, coordination and monitoring and evaluation of capacity building activities.

1.4 Importance of the CBF

The importance of the CBF includes the following:

- Prepares RCCs/ MMDAs to assume full responsibility for managing capacity building activities in their localities;
- Provides a one-stop-shop reference material for uniformed practice across national and sub-national levels;

- Serves as a tool for continuous policy decision making on the direction and improvement of capacity building beyond the present;
- Affords implementers the opportunity to directly link and track capacity building activities to key organisational targets and performance;
- Provides a basis for inter-sector or inter-district comparative capacity building analysis and thus facilitates monitoring and evaluation at the local, regional and national levels;
- Defines and clarifies roles of stake-holding institutions; and
- Offers stakeholders the means by which to exact accountability for capacity building related activities from public office holders.

1.5 Coverage of the Framework

In line with the objectives, the following thematic areas have been covered in the framework:

- Introduction
- Capacity Building and the Capacity Building Framework
- Capacity Building Process
- Accreditation and Certification
- Monitoring and Evaluation Systems
- Database, Communication and Knowledge Management
- Capacity Building Funding Arrangements
- Institutional Arrangements

Each of these thematic areas has been extensively discussed in the subsequent sections of this framework. It covers the issues for consideration under the thematic areas, outlines activities to be performed and provides a roadmap for ensuring quality throughout the delivery of the capacity building interventions.

2.0 CAPACITY BUILDING AND THE CAPACITY BUILDING FRAMEWORK

2.1 Overview of Capacity Building

Capacity Building in the context of local governance is defined in Ghana's Decentralisation Policy Framework (2010) as activities that enhance the ability of an organisation to meet its intended objectives. It is linked to performance improvements and may include **human resource development** in a broader sense, **organisational and institutional development**, **process improvements**, **logistics and resource enhancements**, **motivational** and **change management interventions** that impact desirable change on the environmental, institutional and individual fronts.

From the above definition, capacity building interventions for local authorities would be relevant when they are designed to address organisational deficiencies and individual competency gaps at the institutional and individual levels, respectively. Organisational capacity assessments relate to the continuous process of measuring output effectiveness and efficiency in the delivery of the overall mandate of local authorities. Individual staff capacity assessments on the other hand, deal with the continuous process of identifying, measuring, and developing the performance of individuals and aligning performance with the strategic goals of the local authority.

The interventions required to bridge such performance gaps are in two main categories, namely, training and non-training interventions. The training interventions relate to (a) On-the-job training, advisory, guidance and counselling, coaching, mentoring and supervision, and establishing peer-learning platforms such as the ICT-based Community of Practice (CoP) learning tools; (b) internships, attachments and meetings and; (c) Formal classroom or face-to-face training, management development programmes linked with career development of employees as well as educational and academic programmes.

The non-training interventions include (a) Policy and strategy re-design processes, including changes in laws and mandates for better performance; (b) Task re-design (job descriptions and conditions of service) and; (c) Process re-design (logistics and other resource requirements such as the development of operational manuals and toolkits).

The importance of capacity building is as follows:

- It gives the LGSS the indication that transferred resources will be well used, service standards will be set and followed, quality service will be provided by the RCCs and MMDAs with a high level of accountability.
- RCCs and MMDAs need it if they are to win the confidence of their stakeholders that they are competent and able to deliver on their mandates.
- It is complementary to local government legislations because the legislations in themselves do not necessarily build the institutions needed for effective local government.
- Capacity building will enable local government staff and other local governance players to enhance their knowledge, skills and attitudes for the effective performance of local government functions.

- It will enable local governments to partner central government with the understanding that local governments have needed competences, staff, finance and assets to be able to deliver quality service to the people and thus free central government to focus on what it does best. This will reduce any trace of doubt that central government may have about local government.

2.2 Sources of Capacity Building

Capacity building can arise from:

- **Supply Driven:** It is external to the organisation in the sense that external parties (though they may have diagnose capacity gaps in collaboration with the MMDA) lead in equipping the organisation with the solution. Under the FOAT/DDF for example the LGSS is responsible for providing training in crosscutting thematic areas for MMDAs including induction, orientation and specialist training
- **Demand Driven:** This is internal and initiated by the organisation to solve its peculiar performance challenges with no or modest assistance from external parties. The FOAT/DDF offers MMDAs the opportunity to lead in the identification and finding of solutions to their peculiar performance gaps.
- **Tailor-Made:** This seeks to inaugurate specific skills in response to an emerging trend or to prepare the organisation/staff for a future state. It may come from collaboration with other stakeholders including the scheme of service training and management development programmes.
- **Training and Non-training:** Training is not the panacea for all performance gaps. It is readily applicable where there are deficits in knowledge, skills and attitudes of staff. There are equally important organisational interventions that can lead to improved job performance. These include staff motivation, organisational structure, logistics, general working environment, organisational culture, etc.

2.3 Levels of Capacity Building

Capacity assessment has broad dimensions and applicable across many variables. The three main areas of emphasis for RCCs/ MMDAs in this document are:

- Organisational level assessment
- Individual or staff assessment
- Environmental assessment

Organisational: This seeks to establish congruence between MMDAs as organisations, their structure, management, input transformation processes and resultant outputs against the overall goals set for local governments by way of mandate to improve living standards in localities. It is an aggregation of individual and departmental capacities within a broader organisational vision, mission, goals and objectives and strategy. Hence, organisational capacity building will focus on enabling MMDAs to meet national priorities as well as delivering on their organisational targets normally detailed in the Medium Term Development Plan and the Annual Action Plan.

Individual: It is the potential and competency, or lack thereof, found within a worker, normally reflected through his or her specific skills, knowledge, attitudes and behaviour, which is accumulated through forms of education, training, experience, networks and values. It is an area for performance management, training and development activity through either skills based short courses or full-time academic courses.

Environmental: This factor is external and MMDAs have little control over it. Nonetheless it plays a significant role in the generation of input and assessment of the quality and responsiveness of the service that has been provided by the DA. It includes socio-cultural dynamics, demography, political, legislative and social capital. It takes account of the various external stakeholders and their expectations, contributions and assessment of local governance.

2.4 Pillars of Capacity Building Framework

Capacity building is anchored on the following pillars:

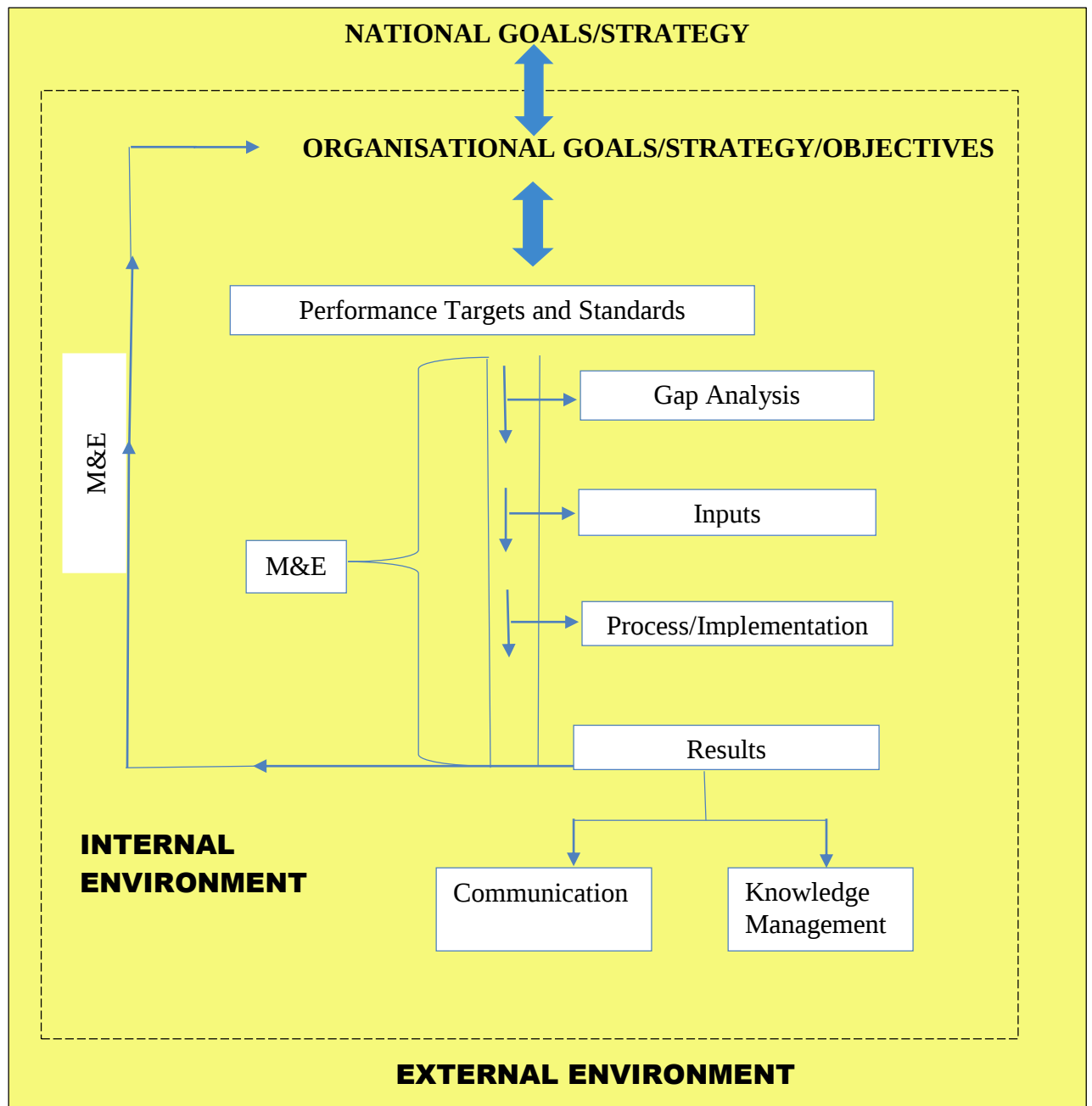
- MMDA Organisational Goals and Objectives
- National/Regional/Local Development Priority Areas
- Identified Performance Gaps or Identified Future State
- Approved Strategy and Measurable Standards
- Resource Mobilisation
- Implementation
- Documentation and Reporting
- Monitoring and Evaluation
- Communication and Knowledge Management
- Institutional Roles and Responsibilities

A description of these are found under the logical framework of the CBF.

2.5 Logic of the Capacity Building Framework

The logical framework of the CBF is shown in Figure 1 as follows.

Figure 1: Logical Framework of the CBF



The logic of the Capacity Building Framework is explained as follows:

Notes:

1. National development policy frameworks that are within the external environment, serve as the master documents for sub-national level plans;
2. Within the internal environment, sub-national institutions particularly RCCs/ MMDAs develop organisational goals, strategies and objectives that are aligned to national policies. MMDAs, however, have the opportunity to launch interventions that are peculiar and meet their specific local needs;
3. Performance standards or targets are set for the period which may (in the case of MMDAs) reflect as Medium Term Development Plans/Annual Action Plans. The performance standards are the basis for determining the extent of achievement on service delivery, responsiveness and productivity;
4. Through the Organisational Functional Capacity Assessment, a measure of output effectiveness and efficiency in the delivery of the organisational mandate and goals are determined;
5. Through the Performance Management System a continuous process of identifying, measuring, and developing the performance of individuals and aligning performance with the strategic goals of the organisation are determined;
6. Based on the gaps/needs that have been established, the appropriate intervention is designed to mitigate the recurrence of low performance as well as to manage poor performance;
7. Inputs in the form of funds, logistics, etc are required for implementing CB plans. The sources and uses of the inputs must be clearly identified;
8. CB implementations are deployed as per approved plans to address the performance gaps;
9. The demonstrable results (i.e. the outputs, outcomes and impacts) of the capacity building activity are ascertained against planned objectives. Ultimately the results must be measured against the overall organisational goals/strategy/objectives;
10. Monitoring and evaluation is critical to the CBF. It is applicable in two areas; (a) at the various stages of the capacity building trajectory and (b) ascertaining the overall impact of CB activity on the broad organisational goals/strategy/objectives;
11. Communication and Knowledge Management: This refers to records management and dissemination of information to internal and external stakeholders. The essence is to build a learning and sharing platform and to provide stakeholders the means of accessing capacity building information in order to hold duty bearers accountable;
12. The logic framework envisages a symbiotic relationship between capacity building and organisation goals and objectives. Importantly, the results of capacity building should influence organisational goals and objectives and vice versa.
13. Capacity building institutional stakeholders include both primary players and secondary players. The primary stakeholders include technocrats, professionals, administrators and other functionaries at the local, regional and national level who directly are implementing

the CBF. The secondary level players are those who play facilitative roles in the coordination, monitoring and evaluation, funding, promotion, etc. They include supervisory and interested bodies at the local, regional and national levels comprising bureaucrats, traditional authorities, civil society and development partners.

3.0 CAPACITY BUILDING PROCESS

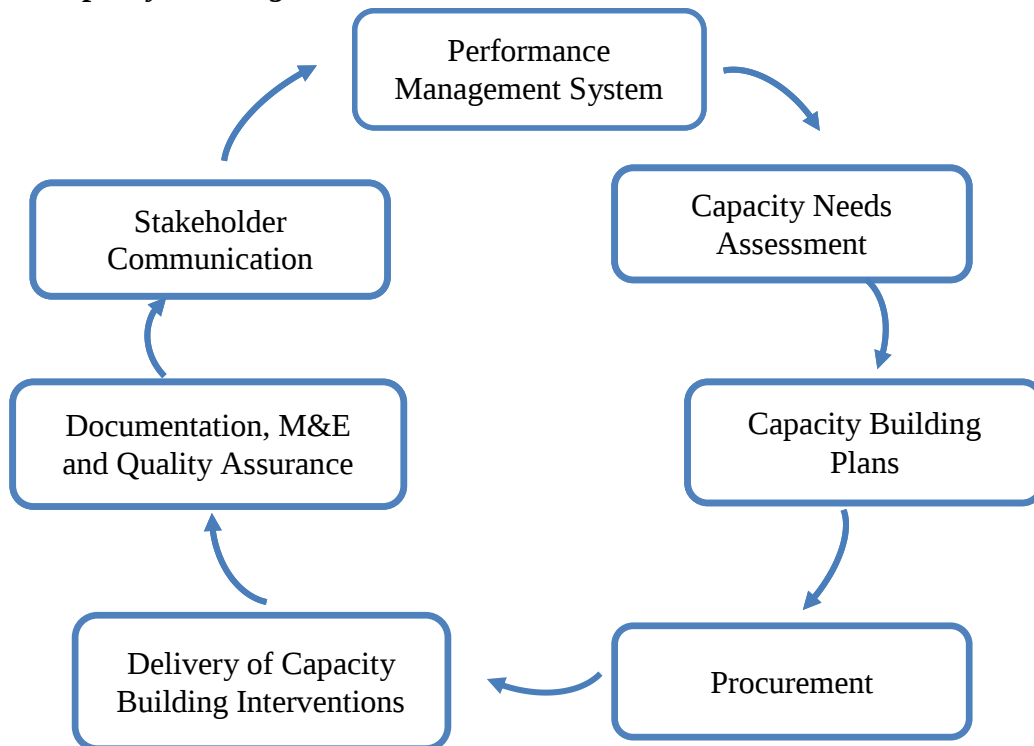
3.1 Overview of the CB Process

The CB process in RCCs/ MMDAs is a planned activity that must go through key stages as indicated as follows:

- Performance Management System (Organisational and Individual)
- Capacity Needs Assessment
- Capacity Building Plans
- Procurement of Service Providers
- Delivery of Capacity Building Interventions
- Documentation, Evaluation and Reporting
- Stakeholder Communication

The illustration is depicted in Figure 2.

Figure 2: Capacity Building Process



3.2 Performance Management

3.2.1 Performance Management: Organisational Level

Capacity building (CB) in local government context cannot take place in a vacuum; it must be geared towards the fulfilment of mandates. The 1992 Constitution and Local Government Act 462 of 1993, as well as LI 1961, spelt out the mandates and functions of local governments. For this reason, CB of local authorities must be aligned to what they are required to do.

The Local Government Act, 462 of 1993 specifically, mandates MMDAs in the exercise of deliberative, legislative and executive powers to:

- Exercise political and administrative authority in the district.
 - Formulate and execute plans, programmes and strategies for the overall development of the district.
- Be responsible for the overall development in the district.
- Maintain security and public safety in the district
- Provide infrastructure (schools, clinics, etc.).
- Provide municipal services (sanitation, water, play grounds, etc.)
- Formulate and approve of budget of the district.
- Make bye-laws.
- Levy and collect taxes, rates, fees, etc to generate revenue.
- Promote justice by ensuring ready access to the courts in the district.

Other laws, including Act 455 (the District Assemblies Common Fund Act), Act 480 (the National Development Planning Systems Act), Act 479 (the National Development Planning Commission Act) and the establishing instruments of the various DAs provided the framework within which local authorities would work. The availability of laws, policies, and guidelines are to afford the RCCs and MMDAs, the opportunity to tailor their activities to meet national priorities and in the peculiar case of local authorities to enable them to design specific local policies, programmes and projects in response to local needs. The overall aim is to improve organisational performance and achieve improved living standards in localities.

The measure of performance of an organisation can be determined through organisational assessment. An organisational assessment is a systematic process for obtaining valid information about the performance of an organisation and the factors that affect performance. It differs from other types of evaluations because the assessment focuses on the organisation as the primary unit of analysis. By far one of the most effective tools in promoting organisation-wide performance assessment is the Functional Organisational Assessment Tool which was introduced in 2006. The CB Framework seeks to strengthen the FOAT process and it provides clear identification of the organisational goals and objectives (which must also reflect the vision and mission) and the extent to which they are derived from or linked to national policy goals and objectives. The key interrelated features are presented in Figure 3 and explained as follows:

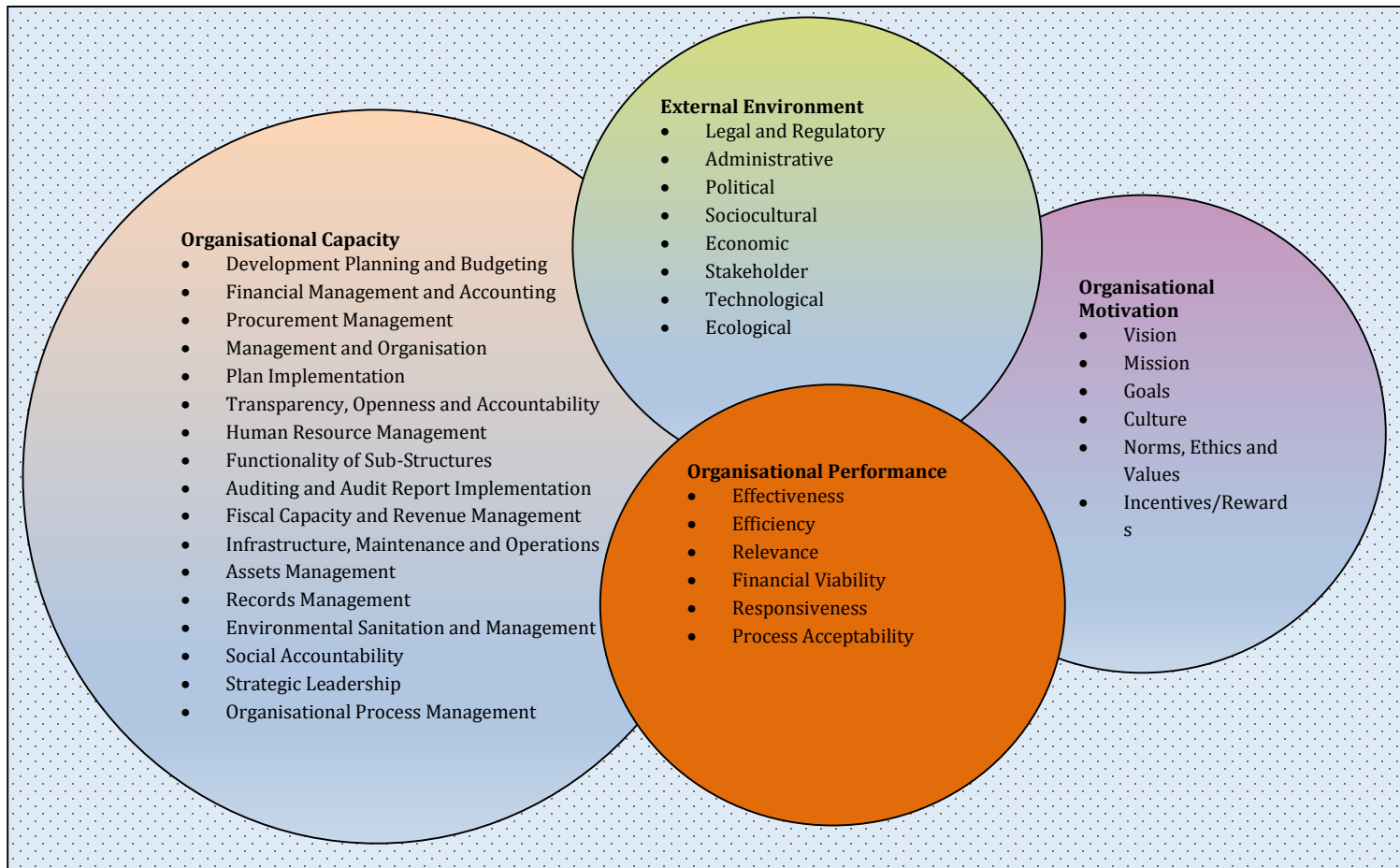
- **External Environment:** The external environment imposes an obligation on the organisation. It serves as the contributor of resources to the organisation and also the recipient of the organisation's final product. It is a dynamic environment with features that

are interacting by the day. Its constituents include legal and regulatory framework, administrative policies, socio-cultural and economic factors, technology, politics and diverse stakeholder interests.

- **Organisational Performance:** It is the input transformation process that yields effectiveness, efficiency, financial viability, and process acceptability. These areas are interlinked and constitute the basis for describing an organisation as high performing or otherwise.
- **Organisational Motivation:** It includes the vision, mission, goals, culture, ethics and incentives/rewards prevalent in the organisation. Depending on how they are applied, staff can be motivated to contribute their utmost towards the realisation of set targets.
- **Organisational Capacity:** This refers to the level of knowledge, skills, and the right attitudes and other factors that are available to enable the organisation to perform according to its mandate and to deliver products to the external environment in a quality and responsive manner. Some of the key organisational capacity thematic areas upon which indicators for performance could be set within the context of the CBF in MMDAs/RCCs are:
 - Development Planning and Budgeting
 - Financial Management and Accounting
 - Procurement Management
 - Management and Organisation
 - Transparency, Openness and Accountability
 - Human Resources
 - Functionality of Sub Structures
 - Auditing
 - Fiscal Capacity and Revenue Management
 - Infrastructure
 - Environmental Sanitation and Management
 - Social Accountability
 - Strategic Leadership
 - Structure/ Hierarchy
 - Organisational Process Management

These thematic capacity areas also constitute the basis for performance assessment at the organisational level (Organisational Functional Capacity Assessment).

Figure 3: Organisational Functional Capacity Assessment (OFCA) Chart



The alignment of the organisational goals and objectives to the demands of the external environment is a major step in moving to the next level which is organisational strategy development and setting of achievable targets and standards. Measurable indicators must be set and communicated to the entire membership of the organisation. This implies that departmental plans must respond to the overall organisational plans and strategies. The fit between the departmental plans and the organisation goals/objectives/strategies is a means of ensuring that individual capacity building contributes to the realisation of organisational goals and objectives.

3.2.2 Performance Management: Individual Level

The second level of capacity assessment (after the organisational assessment) is at the individual level. The Local Government Service Act of 2003 (Act 656) introduces the concept of performance management for the MMDAs. Section 6 (e) (f) of the Act specifically mandated the Local Government Service Council to;

- Set performance standards within which District Assemblies and Regional Coordinating Councils shall carry out their functions and discharge their duties;
- Monitor and evaluate the performance standards of District Assemblies and Regional Coordinating Councils

The Performance Management System (PMS) of the LGS was introduced in 2014, to systematically improve the performance of the staff of the service. It also aims at having in place predictable, effective and efficient systems for planning, implementing, monitoring, evaluating and reporting on employees' performance. The overall objective of PMS is to create a **high performance culture** where staff are aware of the need to perform well and behave accordingly in order to meet or exceed the target and service delivery standards set by the Service. This PMS deals with individual staff capacity assessments and primarily the continuous process of identifying, measuring, and developing the performance of individuals and aligning performance with the strategic goals of the local authority.

An effective PMS is one of the most important ways of building a work environment that strives for and rewards high performance; maximises staff potentials (manages poor performance) and; encourages employee professional growth and development.

There are two main categories namely, the performance contracts and staff performance planning, review and appraisal system.

3.2.2.1 Performance Contract

The Performance Contract (PC) is a component of the PMS of LGS, which commits staff particularly District Chief Executives and District Coordinating Directors (DCDs) or Regional Ministers (RMs) and Regional Coordinating Directors (RCDs) and the Service to the achievement of set objectives and targets within a given time frame. One cardinal feature of the PC is that it emphasises assessment of organisational goals/objectives through the identification of key performance areas and their indicators are established as a means of linking individual performance to organisational targets.

The KPAs cover

- i. Priority Areas;
- ii. Performance Reporting;
- iii. Implementation of Annual Action Plan (AAP) and Financial Management;
- iv. Human Resource (HR) Management;
- v. Customer Service Initiatives; and
- vi. Work Environment Improvement Initiatives and Cross-Cutting Issues;

Annex 1 is the template for the LGS Performance Contract.

3.2.2.2 Staff Performance Planning, Review and Appraisal

The staff performance planning, review and appraisal forms cover all other categories of staff and designed to be an on-going interactive activity between LGS staff and supervisors. It entails four key components as depicted below:

For Phase 1:

1. **Plan** and **agree** on what needs to be done (*this is viewed as performance contracting*);
2. **Staff perform (Doing)** what has been agreed upon;

For Phase 2:

1. **Check** and **Monitor** performance and identify opportunities for improvement;
2. **Mid-year Review** what has gone well, what has not gone well and what needs to be developed.

For Phase 3:

1. **Act** on the information and necessary changes and **Evaluate** performance.

For Phase 4:

1. **Report** on the progress, outcomes and **decisions made**.



Annex 2 is the template for the LGS Staff PPRA Form.

The process requires that subordinates and supervisors work together to define goals and key result areas, define and reinforce good performance, identify and reshape poor performance in order to meet the goals and mission of the RCC and MMDA. It is, therefore, a shared responsibility and requires the commitment of all staff of the LGS. The result of PMS will indicate the level of staff performance as against planned performance. The performance gaps as established by the process above ought to be documented and incorporated in the annual training and action plans of the MMDAs, RCCs and LGSS.

3.3 Capacity Needs Assessment

Having established a performance management system, the next phase of the CB process is the conduct of needs assessment, which seeks to determine and validate performance gaps in RCCs/ MMDAs. When the needs assessment is properly done, the intervention becomes properly targeted, tailored and customised to meet the organisational goals.

The Capacity Needs Assessment could, therefore, be defined as the series of activities conducted to identify problems or situations in the work environment, and to determine whether or not training is an appropriate response based on the gap analysis. The needs assessments are applicable at (1) organisational and (2) individual levels.

The following are tools for the organisational needs assessment:

- Information gathering using the OFCA Template (*Annex3*);
- Client satisfaction surveys with tailored questions;
- Performance league table using both quantitative and qualitative indices ;
- Citizens score cards;
- Annual performance review meetings and reports.

At the individual level, capacity needs are identified by means of the Performance Gap Assessment Tool (GAT) and attached as *Annex 4*. The Performance Gap Assessment Tool (Figure 4) provides relevant focal areas to consider in assessing performance gaps at the various levels of the Service. Table 1 also describes the respective activities covered under the GAT.

Figure 4: Performance Gap Assessment Tool

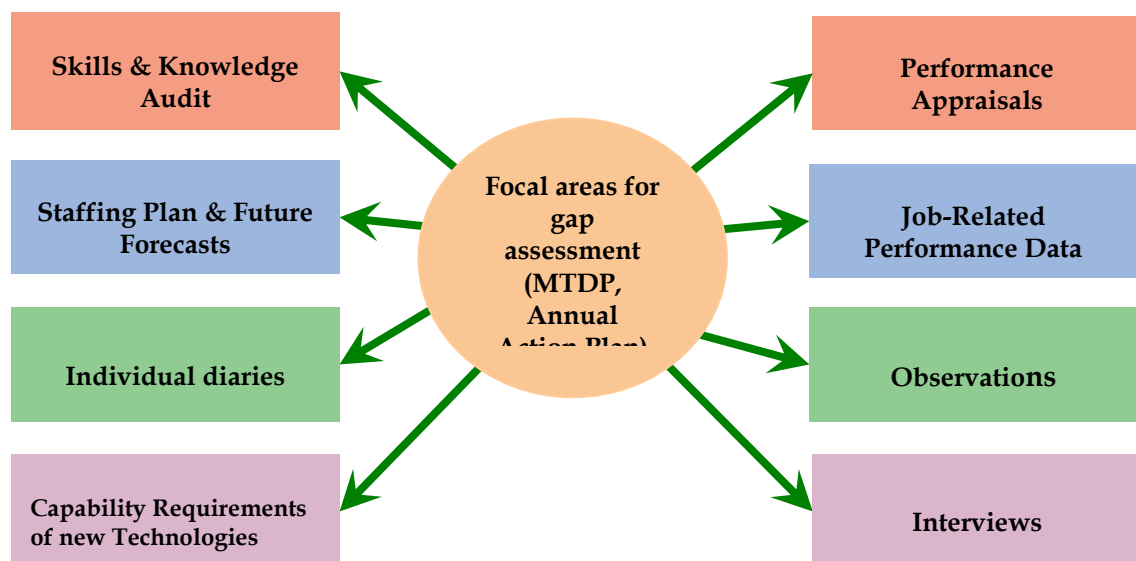


Table 1: Coverage of Activities under the Performance Gap Assessment Tool

Performance Appraisals:	A good performance appraisal can reveal much about the strengths and weaknesses of individuals in terms of their performance. Indications of areas where training and development programmes could improve performance are vital to both the individual and the organisation;
Job-Related Performance Data:	Review and update Job Descriptions (JDs) to reflect current roles and responsibilities; identify required and desired competencies based on the updated JDs;
Observation:	An observer follows or shadows an individual or group as they carry out their job over a specified period of time;
Interviews:	This is one of the most commonly used methods whereby a manager, supervisor or a Human Resource Manager interviews the current job-holder about the duties and functions of the job. The interview can be structured to identify the individual's or a group's performance gap;
Skills & Knowledge Audit:	An 'organisational skills knowledge audit' can be used to get feedback on the various types of learning interventions used in the organisation. Such feedback can help identify performance gaps.
Individual Diaries:	A method of self-reporting on performance carried out over a period of time;
Capability Requirements of New technologies:	Acquisition of new technologies may require new skills and knowledge to perform. It is, therefore, important to consider this in assessing the performance gap.

Capacity Needs Assessment (CNA) as per application of the GAP Tool (above) shall be done at the following levels:

Job or group needs: What are the capabilities required to carry out a specific job, or group of jobs, in the organisation?

Individual or team needs: What personal capability does each employee, or team, need to do their job effectively and what new skills will they need to develop for the future? See *Annex 4* for more details about the CNA.

The information gathered serves as the basis for defining the capacity gaps and proposed solutions, which should be documented in the Capacity Building Plan.

3.4 Capacity Building Plan

A CB plan shows the general structure of CB activities for the RCC/ MMDA within a given period. It contains the functional area, objectives, outputs and outcomes, activities, period and duration of activity, responsible persons, resources, M&E indicators and a budget. *A sample of a CB plan is shown in Annex 5.*

The following are the various activities that should be undertaken:

- Prioritise training topics and scope for each grade/position category;
- Develop training objectives and expected outcomes;
- Schedule sequence of training programmes;
- Select Trainees;
- Collect information and select appropriate resource persons /institutions;
- Prepare a training budget;
- Discuss and seek approval for the training outlay;
- Design training programmes;
- Develop training/reference materials;
- Develop training evaluation forms.

3.5 Procurement

It refers to the laid down processes by which RCCs/MMDAs purchase goods, works and services using public funds. The Public Procurement Act of 2003 (Act 663) seeks to:

- Harmonise public procurement processes in the public service;
- Secure judicious, economic and efficient use of state resources
- Ensure public procurement is fair, transparent and non-discriminatory.

It is within this context that MMDAs are required to procure to address their specific demand driven capacity building needs. This gives the assemblies the flexibility to address their own peculiar capacity requirements. The procurement process requires planning, invitation of bids, evaluation of offers, award of contracts and management of contracts. The objectives are to secure:

- Best value for money
- Fairness, integrity and transparency
- Effective international competition
- The interest of the MMDA

Checklist of Requirements for Procurement of Goods, Works and Services are attached in Annex 6.

3.6 Delivery of Capacity Building Interventions

The organisation of CB interventions involves making arrangement and deploying all resources that are needed for the activities. It is the responsibility of the designated officer to make the list of all activities and resources/logistics that are required within a given period. A simple Microsoft Project can be used to facilitate programme organisation. It means that the designated officer must pay attention to the CB plan and take immediate steps to address any emerging challenges.

3.6.1 Training Delivery

3.6.1.1 Pre-Training Activities

- Pre-training meeting: An entrance meeting between the RCC/ MMDA and Service Provider at least one week before the event in order to take stock of preparatory activities, further clarify technical and organisational issues and address concerns.
- The Service Provider must make a presentation to the MMDA as a means of validating the learning materials and quality assurance process.
- Frequent communication should continue between the MMDA and the Service Provider to determine whether there will be any changes and;
- All procurement requirements relating to the contract must be followed.
- Itinerary: A check list of things to be done and materials required.
- Training materials including reference materials (hard or soft copy), pens and pencils for participants and PowerPoint presentations should be available at least a week to the commencement of the programme.

- Formation of a Quality Assurance/Monitoring Team that comprises possibly Head of Department of the target group, Coordinating Director and HR Manager.

3.6.1.2 During-Training Activities

- The designated Training Officer and assistants are expected to provide support services to the resource persons as well as manage time, participants and logistics.
- The Quality Assurance Team should observe the training and provide technical advice on how to enhance the programme on daily basis. They are expected to write a monitoring report stating the lessons learnt, good practices, challenges and suggestions for improvement.
- Daily feedback meetings among trainers and the organisers are required.
- There should be a pre-training test to determine the level of knowledge and skills before the training. This is important for establishing the improvement that was made as a result of the intervention.
- Daily Monitoring Committee (MoC) should be formed from among participants to provide feedbacks on lessons, challenges, and suggestions for improvement.
- A course leader (and a deputy) must be appointed from among participants to serve as a liaison to the trainers and the trainees.
- MMDA should:
 - Arrange for a conducive venue and environment (e.g. assembly hall), and training logistics such as overhead projector, projection screen, flipchart or visual aids panel with markers, and computer and printer workstations; and materials such as writing pads and pencils, viewgraphs, and slides. etc.
 - Use appropriate registration form for participants and register them before commencement of the programme. This could be followed-up with daily registrations.
 - Invite (with follow-ups) participants for the programme.
 - Manage training materials in terms of adequacy and distribution.
 - Ensure that the training time table is observed but not in a rigid manner.
 - Deploy personnel to monitor quality of facilitation against set standards.
 - Keep records of all documentations including reports, photographs, etc.

3.6.1.3 Training Delivery Techniques

The following techniques, where applicable, should be used in delivering training:

- Affirmative method including lecturing, demonstration, handouts and films which are content-oriented.
- Inquiring methods, where learners participate in the learning process through the facilitator developing appropriate questions that elicit the solutions to problems from the learners.
- Discovery method: Teaching techniques used are individual activities, group discussions, plenary sessions and case analysis.
- Active method: Learners are actively involved in the learning process by finding solution to problems themselves. This method uses experiential learning techniques such as group discussions, games, role play and field trips.

Selecting the right method and techniques for the right programme is often challenging. A useful guide is to match the technique to the objectives of the programme and to apply the principles of participation.

Facilitation

The facilitator is expected to:

- Build a culture or climate for learning.
- Establish mutual trust.
- Confront inaction, disruptive norms.
- Influence and support learning and change.

Skills associated with effective facilitation include listening, interpersonal relationship, handling differences, communication and group dynamics.

3.6.2 Non-Training Delivery

It is important to note that the capacity of staff and the MMDA to perform goes beyond training delivery interventions. There are other development needs at the organisational level that are also required for optimal performance, which include:

- resources available to facilitate compliance and performance;
- cutting edge technology, systems and tools;
- the appropriate numbers and mix of staff, technical qualifications and experience levels;
- job profiles and knowledge about the job at the individual level;
- awareness and enforcements of rules, guidelines and manuals;
- attitudinal: responsiveness, attendance, punctuality, commitment to personal development, customer orientation, timeliness, cost effectiveness;
- general organisational development issues: structure, processes, organisational culture, management styles, strategy, results orientation, etc

Non-training interventions are all activities/resources that complement formal training for effective organisational performance. Specific examples include:

- Computers and accessories
- Database systems
- Operational manuals and guides
- Management styles
- Communication system
- Supervisory requirement
- Behavioural and attitudinal
- Motivation and rewards systems
- Disciplinary and enforcement requirements
- Policy and strategy re-design processes
- Task re-design (job descriptions and conditions of service)
- Process re-design (logistics and other resource requirements such as the development of operational manuals and toolkits).

3.7 Documentation, M&E and Quality Assurance

3.7.1 Documentation

Documentation involves the compilation of data and information including impact assessment on all training programmes. The purpose is to keep inventory for knowledge sharing and decision-making. This should be done at all levels of the Service. At the national level, the Human Resource Development Directorate in collaboration with the Research Statistics and Information Management, shall be responsible for the compilation, documentation, reporting and dissemination of training inventory with prior approval by the Head of Service.

Some of the key questions that guide documentation of capacity building interventions include:

- In what form must the document be kept?
- What will happen to the materials and participants' information?
- Who has the responsibility to take custody of and maintain them?
- Where will they be kept and in what condition?
- How will the records be used in future training activities?

A robust database management system (manual and electronic) should be designed and built to capture, store, and to enable retrieval of information. It is anticipated that all stakeholders at the national, regional and district levels shall have access to the database system in order to make entries and retrieve relevant information pertaining to their scope of work. It should be a user-friendly online database system.

The designated officer must appoint a staff to manage records of the capacity building intervention in advance and spell out clearly his/her roles.

3.7.2 M&E and Quality Assurance

An assessment of the capacity building intervention is important for planning future programmes. Monitoring and Evaluation of the effectiveness of the programme should be ongoing and the impact of such interventions tracked within three to six months. The Head of Human Resource Unit should develop appropriate format for evaluation of post training.

Monitoring and evaluation as well as quality assurance of training programme would seek to assess:

- The validity of the training needs expressed;
- The relevance of the planned strategy for meeting the need;
- The appropriateness of the content of the strategy for achieving the original needs;
- Sustainability of the interventions and their impact on organisational goals and objectives.

It is the responsibility of the designated officer to do this review with other team members as an independent assessment of the training impact. The review tracks and compares results of staff performance before and after the intervention. It entails assessment of the methods used to

maintain quality assurance over the capacity building period; evaluation of staff progress and performance, and how feedbacks are applied to modify and enhance performance. It should gather trainee reactions on the following: Scope and relevance of course or module, appropriateness of objectives, usefulness of assignments and materials, effectiveness of capacity building materials, stronger and weaker features of the programme, adequacy of the facilities, timing or length of the course or module, effectiveness of the instructor(s), and participant suggestions and comments.

3.8 Stakeholder Communication

There are many stakeholders who are interested in capacity building events in RCCs/ MMDAs. They include citizens, assembly members, staff, development partners and central government. Identifying stakeholders and analysing their specific interests and contributions is an important part of accounting for the use of resources towards effective service delivery. The MMDA should develop a Communications Plan to show how key messages and information about the capacity building event will be communicated to the stakeholders. The Communication Plan should also show how feedback from stakeholders will be dealt with by the RCCs/ MMDAs.

4.0 ACCREDITATION AND CERTIFICATION OF SERVICE PROVIDERS

4.1 Overview of the Certification and Accreditation Requirements

Certification of the Service Provider (SP) is an important phase of the CBF. It deals with the service provider receiving official approval after having gone through a prescribed prequalification programme to deliver training and provide consultancy services to RCCs/ MMDAs. Such SPs having fulfilled the accreditation requirements are certified to conduct training delivery activities for the Service and its stakeholders.

The Service Provider (SP) is a person, group of persons or an institution whether public or private, with a level of expertise and knowledge that makes a difference in the quality of the service they offer. The main objective for the engagement of a Service Provider is to deliver specialised and professional services in building the knowledge, skills and attitudes.

The procedure and processes for procuring services could be cumbersome but getting it wrong has serious legal and administrative implications. It is, therefore, important that officers seek professional advice and also adhere to the appropriate sections of the Public Procurement Act 2003, (Act 663).

4.2 Rationale for Certification

The rationale for certification under the CBF are to:

- Harmonise all approaches to delivering capacity building interventions.
- Develop standardised CB materials.
- Pre-qualify consultants in both public and private sectors (including NGOs).
- Create a pool of qualified consultants/experts available to support demand driven CB interventions in Ghana.
- Equip CB consultants with methodologies, approaches and agreed national standards for demand driven CB interventions in Ghana.

4.3 Coverage of Certification

Certification covers institutions and individuals.

- a. **Institutional certification:** This involves the certification of institutions that have qualified under the CBF accreditation requirements.
- b. **Individual certification:** This involves the certification of individuals who have fulfilled the requirements for delivering CB programmes.

4.4 Accreditation and Certification Process

An entity that intends to deliver training or provide consultancy services to the RCCs/ MMDAs under the CBF should be registered when the scope and mode of its operations have been satisfactorily ascertained. Individuals are equally required to undergo similar certification processes. *Annex 7* is a Template for Qualification and Certification of Service Providers.

The process is summarised under Table 2.

Table 2: Accreditation and Certification Process

Type	Activity
Publication	Advertisement for submissions of applications from prospective firms
Registration	• Purchase, completion and submission of Supplier Registration Form (covering Statutory and Professional Requirements). • Payment of an appropriate fee (non-refundable). • Assessment (Verification) of completed Supplier Registration Form. • Decision by the Accreditation and Certification Committee¹. • Communication of acceptance or rejection onto the certification programme.
Accreditation	• Purchase, completion and submission of Accreditation Form. • Payment of an appropriate fee (non-refundable). • Institutional and individual assessment as follows: ○ for firms an assessment of their logistical capacity, location and professional staff. ○ for individuals interviews will be conducted • Participation in Orientation Programmes • Award of Certificate
Post-Certification and Renewal	• Participation in advanced certification programmes • Participation in Platform Meetings and Refresher Programmes • Fulfilment of Re-accreditation Requirements • Fulfilment of Quality Assurance Requirements

4.5 Quality Assurance Measures

- The LGSS, RCCs and MMDAs at their respective levels have the responsibility to ensure that the appointment of a Service Provider is in accordance with the provisions of the Public Procurement Act, 2003 (Act 663) and other regulatory requirements.
- In order to ensure quality service, the Service Provider shall be constantly monitored by the LGSS, RCCs and MMDAs. The assessment shall be made up of the post-training

¹ Membership shall comprise of LGSS and ILGS

follow-up and trainees shall be made to complete a Training Evaluation form after each programme;

- Database of Service Provider shall be maintained at the various levels of the Service.

Specific Responsibilities: National Level

- The national level shall provide guidelines for the selection of training providers;
- The national level shall compile and maintain a list of potential Service Providers for assignments based on the threshold fixed by the PPA 2003 (Act 663) and revised annually;
- All training programmes that are national in character shall be the responsibility of the national level;
- Final approval for appointment of Service Providers for national assignments shall be the responsibility of Head of Service.

Specific Responsibilities: Regional Level

- The RCC shall compile a list of potential Service Providers using guidelines provided by LGSS;
- Maintain data base of training facilities, resource pool and their capacity to conduct regional training;
- Conduct periodic review of the database on training providers and other training facilities.

Specific Responsibilities: MMDAs Level

- Compile and maintain a list of Service Providers within the district using guidelines provided by LGSS;
- Maintain database on training facilities in the district and submit same to the RCC;
- Conduct periodic review of the database on training providers and other training facilities;

Additional Recommended List of Service Providers

- Utilisation of internal cadre of trainers to minimise cost;
- ILGS to play key role in the certification processes;
- Use expertise of academia with retired technocrats from the Public Service.

4.0 MONITORING AND EVALUATION

5.1 Overview of Monitoring and Evaluation

Monitoring provides a systematic collection and analysis of information before, during and after the CB intervention. The process aims at improving efficiency and effectiveness based on targets set and activities planned. It helps in keeping CB interventions on course and taking early remedial actions.

Evaluation, on the other hand, provides the basis for comparing actual impact against the agreed objectives. It considers what was set out to implement, what has been accomplished and how it was achieved. This framework considers both (1) formative evaluation during the CB cycle and (2) summative evaluation which draws lessons from completed CB intervention.

5.2 Importance of Monitoring and Evaluation

The importance of CB monitoring and evaluation are as follows:

- Improves the efficiency and effectiveness of an intervention. It is based on targets set and activities planned during the planning phases of work.
- Helps determine whether available resources are adequate and being used effectively.
- Gives indications about progress being made on planned activities.
- An invaluable tool for good governance, and it provides a useful base for evaluation.
- Looks at objectives of the intervention, what has been accomplished and how it was done.

5.3 Local Government Capacity Building M&E Activities

Table 3: Monitoring and Evaluation Process

No.	CB Phase	Outcome	Data Gathering Methods	Relevant Documents	Indicators
1	Performance Management-Assessment of the Organisation	Established goals and objectives are linked to national policy priorities	• Desk Review • Interview • Questionnaire • Focus Group Discussion • Organisational Functional Review Reports	• Approved MTDP& AAP • National Policies/ Guidelines • Legal Documents (e.g. LG 462 (1993), LI 1961, etc) • Annual Reports • Minutes • Performance Contract Documents, etc.	• Number of Thematic Areas identified & listed • Number of planned activities per thematic area and overall • Performance assessment score of MMDA/RCC • Number of activities aligned to national policies
2	Capacity Needs Assessment	Performance gaps in various thematic areas identified, sorted and aggregated and linked to organisational goals and objectives	• Desk Review • Interview • Questionnaire • Focus Group Discussion • Survey	• Approved MTDP&AAP • Annual Reports • Minutes • Departmental Reports • Training Plans and Standards, etc.	• Performance scores • No. of Thematic Areas • Reasons given for performance • No. of past interventions • Who are and number of target groups • Timelines and duration of activities • Location of activities
3	Capacity Building Plans	Implementable capacity building plan available at RCC/MMDA	• Desk Review • Interview • Focus Group Discussion • Observation	• Approved Capacity Building Plan • Minutes of meetings • Schedule for	• Date of completion and approval authority • Number of people who made inputs • Number of

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				departmental meetings	planned/approved CB events.
4	Procurement	Procurement is done in line with CB Requirements	• Desk Review • Interview • Focus Group Discussion • Observation	• Procurement Plan • Minutes • Training Plan • Contract Documents	• Period of advertisement • Contract Award Letter • Payment records
5	Capacity Building Interventions	Capacity Building Activity is implemented according to Training Plan	<i>Pre-Event</i> • Desk Review • Interview • Focus Group Discussion • Observation <i>During Event</i> • Questionnaires • Interview • Observation <i>Post-event</i> • Desk Review • Interview • Questionnaire • Focus Group Discussion • Observation • Field Visits	• Performance Benchmarks • Pre-test • Assessment Report of Quality of Materials and Manuals • End-of-course evaluation • Monitoring Reports • Impact Assessments • End of Course Report • CB Intervention Utilisation Report • Financial and Audit Assessment • Monthly, Quarterly, Mid-year and Annual Reviews/ Reports	• Invitation Letters • Number of training materials • Invoices for materials and logistics • Daily Attendance Register • Evaluation scores • Number of Respondents • Training reports • Photographs • CB Action plans • CB intervention utilisation report • Trainee appraisal scores • Statement of expenditure and budget

6	Documentation and Quality Assurance	CB process and records are managed professionally	• Desk Review • Interview • Questionnaire • Focus Group Discussion • Observation • Field Visits	• Terms of Reference for expert team • Memos	• No. of CB interventions • List of QA team members • CB Reports • List of records officers
7	Stakeholder Communication	Stakeholders are informed about state of CB in RCC/ MMDA	• Desk Review • Interview • Questionnaire • Focus Group Discussion • Observation	• Monthly/ Quarterly/Semi Annual and Annual CB Reports • Newsletters • Memos • Communication Plan	• No. of publications • Quantity of publications • No. of reports • Stakeholder feedback on reports/ publications.

5.4 M&E Guiding Notes

M&E of CB activities should focus on key questions that would provide useful information on what works and the underlying reasons.

Key Questions for CB M&E include:

- Have CB outputs for individual, organisational and systems contributed to improved performance and contributing to impact?
- What combination of CB activities (individual, organisational and system) and what specific interventions are most effective in improving performance?
- Have programme quality and integrity been maintained and how can they be sustained?
- What is the impact of CB costs on performance over the short to long term?

Evaluation Plans for CB Activities include:

- Integration of the evaluation plan at programme design stage.
- Baselines (to be taken prior to programme inception).
- Qualitative/Quantitative methods that generate the most credible evidence given available resources.
- Effective participation of stakeholders in design and implementation of the evaluation.
- Demonstration of accountability for priority programme areas through external evaluation.

- Transparent and timely allocation of resources including funds.

5.0 DOCUMENTATION, COMMUNICATION AND KNOWLEDGE MANAGEMENT

6.1 Overview

Documentation is the process of generating, storing and retrieving information about a capacity building intervention. For the purposes of the CBF, two forms of documentation will be required namely, paper (hard) and digital or electronic (soft) formats and can be distributed using the database system, libraries, websites and other on-line applications. Documentation serves as a reference point for future activities and a proof of the utilisation of resources for the intended purpose.

Communication is the process of sharing information using various means and media including written, visual, verbal and symbolic tools. The importance of a communication system for the CBF cannot be overemphasised. It serves as the basis for the promotion of stakeholder participation and accountability. It is intended to:

- provide a structured manner of information flow among stakeholders;
- motivate stakeholders to get involved in the CB process;
- complement formal accountability mechanisms with demand-side of accountability;
- promote organisational learning and knowledge management.

Knowledge Management (KM) is essentially about getting the right knowledge to the right person at the right time and at the right cost. This requires a strong tie to LGS strategy, understanding of where and in what forms knowledge exists, creating processes that span LGS functions, and ensuring that initiatives are accepted and supported by members of the LGS. Knowledge management also includes new knowledge creation or usually focuses on knowledge sharing, storage and refinement within the LGS.

Knowledge management, therefore, seeks to encompass the requirements for documentation and communication for an effective CBF. It consists of the following components or steps:

- Identification of knowledge needs and resources;
- Acquisition, creation of knowledge-related resources, processes and environment;
- Capture data for the entire CBF (CB gaps, plan, budget, training and non- training interventions, funding, outcomes, etc) ;
- Storage of knowledge;
- Retrieval, application and sharing of knowledge;
- Generate timely reports on CB interventions for management decisions;
- Provide platforms for tracking activities at all levels including events and funds flow as well as business intelligence cues.

Some of the key questions that documentation, communication and knowledge management will address include:

- In what form must the capacity building records be kept?
- Who will own, manage and maintain them?

- Where will they be kept and in what condition?
- How will the records be used in future capacity building activities?

6.2 Capacity Building Documents and Reports

The list below depicts some documents and knowledge resources for the delivery of capacity building interventions:

- Organisational Functional Capacity Assessment (OFCA) Tool
- Individual Capacity Needs Assessment Questionnaires
- Gap Assessment Tool (GAT)
- Performance Planning, Review and Appraisal Reports
- Annual Action Plans
- Capacity Building Plans
- Capacity Building Budgets
- Training Manuals
- Operational Manuals
- Handbooks
- Financial Reports
- Audit Reports
- Certificates
- Progress Reports
- Participants' Register
- Impact Assessment Reports
- Photographs
- Speeches
- Evaluation Forms
- Copies of Adverts
- Notices and Circulars
- Letters
- Invoices
- Award Certificates
- Implementation Reports
- Monitoring Reports
- Pre and Post Assessment (Test) Questionnaires
- Capacity Building Briefs
- Capacity Building Report

The users of capacity building intervention reports include policy-makers, technocrats, politicians, the general public, local, national and international development agencies and sponsors, non-governmental organisations (NGOs), research institutes and the media. Each of these categories has different uses of the reports.

6.3 Implementation of the Knowledge Management System

The following best practices shall be implemented by all Heads of DDU's at the LGSS, RCCs and MMDAs in order to ensure the enhancement of KM in the Service.

- a) KM strategy must be an essential component of LGS strategies at all levels of the Service. The objective is to manage, share and create relevant knowledge assets that will help meet tactical and strategic requirements.
- b) The organisational structures of the Service shall be decentralised since they are best for KM and knowledge flow. Heads of Departments shall encourage the use of project teams, teamwork or social functions to ensure knowledge sharing.
- c) The culture of the MMDAs influence the way staff members interact, the context within which knowledge is created, the resistance they have towards certain changes and the way they share knowledge. Heads shall create a culture where knowledge sharing is considered beneficial to staff members.
- d) Knowledge Retention: All Heads of Directorates, Divisions and Units shall make sure that important knowledge assets remain in the Service overtime. For example, when staff resign, retire or are posted out. Managers might choose to implement initiatives such as: Reward structures, Mentoring, Coaching and Interviews. To enhance retention of knowledge, deployment and movement of staff should be done in consultation with MMDAs.
- e) HODs/HR Units should ensure that there is efficient succession plan in place and staff who attend workshops and other programmes are encouraged to share their new knowledge at the workplace.
- f) Core Competencies: All Heads of Directorates, Divisions and Units must learn to manage Core competencies by:
 - Identifying what the MMDA knows, and what its expertise is;
 - Leveraging knowledge assets across the MMDA;
 - Building the right know-how and expertise to match strategic requirements;
 - Isolating and removing obsolete knowledge.
- g) Use of External Knowledge Sources: KM plays a role in the assessment of potential partners or Service Providers or competition by helping to determine what the firm knows, what it needs to know and the best ways of getting that knowledge. This ensures that the right knowledge is transferred into the Service.
- h) The establishment of linkage to existing knowledge management systems e.g. HRMIS

6.4 Specific Responsibilities - National Level

RSIMD in collaboration with other Directorates shall:

- coordinate, manage, share and create relevant knowledge assets that meet tactical and strategic requirements;
- create an environment and systems that enable KM to be implemented in the Service;
- maintain an accurate and reliable database on staff, strategic training and development at all levels;
- maintain knowledge management inventories to facilitate the development of LGS HR planning and management decisions;
- assist in the maintenance of institutional memory for training initiatives at the RCC and MMDA;
- maintain information on participants and Service Providers/Resource Persons, training materials used, feedback received, lessons learned and cost incurred;

6.5 Specific Responsibilities - Regional Level

Regional HR Directorates in collaboration with other departments shall:

- coordinate, manage, share and create relevant knowledge assets that meet tactical and strategic requirements;
- create an environment and systems that enable KM to be implemented in the Service;
- maintain an accurate and reliable database on staff, strategic training and development at the regional and MMDA levels;
- maintain knowledge management inventories to facilitate the development of LGS HR planning and management decisions;
- assist in the maintenance of institutional memory for training initiatives at the RCC and MMDA;
- maintain information on participants and service providers/resource persons, training materials used, feedback received, lessons learned and cost incurred;
- establish MIS and HRIS in collaboration with other departments to coordinate the affairs.

6.6 Specific Responsibilities - MMDA Level

MMDA HR Units in collaboration with other directorates shall:

- coordinate, manage, share and create relevant knowledge assets that meet tactical and strategic requirements;
- create an environment and systems that enable KM to be implemented in the Service;
- maintain an accurate and reliable database on staff, strategic training and development across the departments of the MMDA;

- maintain knowledge management inventories to facilitate the development of HR planning and management decisions;
- assist in the maintenance of institutional memory for training initiatives at the MMDA;
- maintain information on participants and service providers/resource persons, training materials used, feedback received, lessons learned and cost incurred;
- establish MIS and HRIS in collaboration with other departments to coordinate the affairs.

6.7 Documentation Process of the CB Framework

It is envisaged that a robust electronic database management system will be in place to capture, store, and to enable retrieval of information. It is anticipated that all stakeholders at the national, regional and district levels shall have access to the database system in order to make entries and retrieve relevant information pertaining to their scope of work within the capacity building component of the framework. It will be a user-friendly online database system, which will capture among others, the following data:

- ***Information relating to Capacity Building Interventions***
 - Title of Programme/ Project
 - Sector
 - Location
 - Contractor
 - Objectives
 - Output
 - Start and Completion Dates
 - Beneficiaries
 - Funding Source
 - Budget Allocation
 - Contract Sum
 - Expenditure to Date
 - Project/ Programme Implementation Status
- ***Capacity Building Plan***
 - Capacity Gaps identified
 - Objectives
 - Justification
 - Description
 - Intended Beneficiaries (Groups/ Individuals)
 - Estimated Cost
 - Funding Source
 - Start and End Time
 - Expected Outcome
 - Remarks
- ***Capacity Building Monitoring Template***
 - Funds Allocated and Released

- Capacity Building Activity
- Capacity Building Objectives
- Location (Venue)
- Dates and time or period
- Description of the target group
- Service provider (names, area of expertise, office location and contact information)
- Detailed expenditure outline (list the final total cost as well as a breakdown of items like venue, allowances, consultancy fees, logistic, etc.)
- Outcomes
- Description of evaluation results
- Follow-up activities
- Recommendations
- ***Data Gathering Tool on Utilisation of Capacity Building Fund***
 - Title of Project/ Programme
 - OFCA Assessment Gap
 - Objectives
 - Output
 - Start and End Dates
 - Service provider
 - Beneficiaries
 - Funding Sources
 - Share of Total Capacity Building Fund
 - Status of Implementation
 - Comments and Means of Verification
- ***Monitoring Report Form for Utilisation of Capacity Building Fund (refer to Annex 9)***
- ***Other Monitoring Reporting Formats***
- ***Funds Allocations and Releases***

6.0 THE CAPACITY BUILDING FUND

7.1 Purpose of the Capacity Building Fund

As part of the efforts to improve the performance of the Metropolitan, Municipal and District Assemblies (MMDAs) and the Regional Coordinating Councils (RCCs) as well as the LGSS, in terms of effectiveness, efficiency, financial viability, and process acceptability, the Capacity Building Fund (CBFd) will be established. The CBFd provides a sustainable source of funding to achieve the desired objectives of the CBF.

Under the CBFd, government shall mobilise financial resources to ensure effective implementation of the CBF. Among others, discretionary funding incentive shall be made available to MMDAs/ RCCs which comply with rules, legal regulations and policies in the performance of their mandate as well as meeting their service delivery responsibilities. Compliance is confirmed through an assessment conducted on a yearly basis using the Organisational Functional Capacity Assessment (OFCA) Tool as well as other measures provided under the CBF.

In view of this, a dedicated Capacity Building Fund (CBFd) shall be established from the following fund sources:

- Government of Ghana;
- District Assemblies Common Fund (DACF);
- Development Partners Funding;
- District Development Facility (DDF) & Urban Development Grant (UDG);
- Internally Generated Fund (IGF) from the MMDAs;
- Funding support from companies operating within the assembly's jurisdiction.

The objectives of the CBFd are to:

- Mobilise additional financial resources for local authorities;
- Provide incentive for performance for complying with Government of Ghana legal and regulatory framework and fulfilling service delivery responsibilities;
- Establish a link between performance assessments and capacity building support;
- Ensure harmonised systems for investment funding and capacity building support to local authorities.

7.2 Operationalisation of the Capacity Building Fund

As a transitional arrangement, it is further proposed that a 4-year phased approach is adopted for the operationalisation of the framework. During this phase, funding from development partners should be sought while arrangements are being made to secure sustainable funding from internal sources. To consolidate the mobilisation of sustainable funding for the framework in the long term the following are proposed:

- MMDAs pass a 'Resolution' ceding a minimum 5% percentage of their IGF and DACF to the Capacity Building Fund;

- The DACF and DDF contributions to CB would be merged to form the bulk of capacity building financing.

The LGSS shall ensure that appropriate organisational systems operate effectively at all levels in the mobilisation and use of the fund. To strengthen the CBF, the fund shall be disbursed based on the following:

- 25% of the fund allocated to the LGSS for Generic Programmes;
- 20% of the Fund allocated for logistical support;
- 55% of Fund devoted to training component which comprises:

a. Induction/ Orientation

This training is organised for new employees. This also applies to employees who may be promoted, upgraded, transferred and appointed into new positions. Its basic objective is to help the employees adjust quickly into their new work environment.

b. Scheme of Service training

LGS Scheme of service provides specific areas of training for officers to build their capacity for effective and efficient performance. It also prepares them for career development and higher responsibilities. At present the Service has 29 Occupational Classes in its Scheme of Service. Each class has prescribed training programmes that individuals have to go through for their career development.

c. Specialist Training

This section of the training component covers the following areas:

- Programmes targeted at specific LGS functions and protocols;
- Programmes targeted at particular technical and professional needs;
- Competency/Proficiency/Legal based programmes.

d. Management Development Programmes

These are programmes that seek to provide officers with practical strategies and solutions to specific and known management problems. These include practical issues related to line management, planning and supervision and focus on strategic and policy issues and management change and organisational development. In addition, management development programmes are used to prepare officers to undertake managerial positions which may include the following:

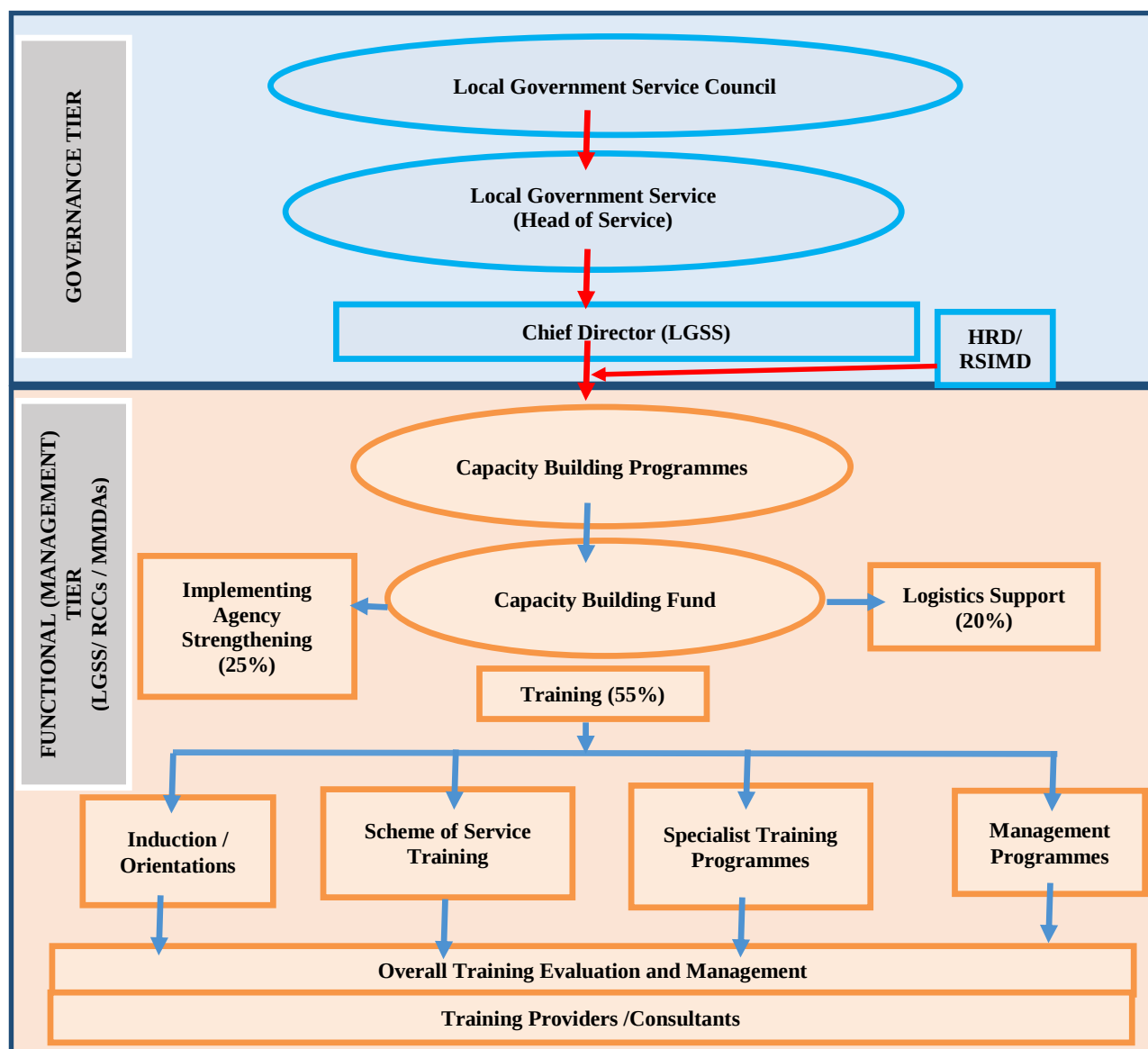
- ✓ Partnerships
- ✓ Advocacy and Mobilisation,
- ✓ Collaboration
- ✓ Supervision
- ✓ Professional networking
- ✓ Financial management

7.0 INSTITUTIONAL ARRANGEMENT

8.1 Overview of the Institutional Arrangement

The institutional arrangement for the CBF is all-encompassing and includes all stakeholders who directly deliver or are impacted and those who indirectly facilitate the process or have interest in the CBF. Figure 5 depicts these arrangements and the subsequent sections provides a basis for identifying and clarifying the role of the various stakeholders.

Figure 5: Institutional Arrangement for the Capacity Building Framework



8.2 Roles and Responsibilities of Institutions

a) The Ministries, Departments and Agencies:

The Ministries, Departments and Agencies are charged with Ghana's public administration system with the responsibility for the overall policy guidance, monitoring and evaluation in the local government environment. The ministries are, therefore, responsible for sector policies which generally will influence capacity building. The ministries, therefore, have responsibility for overall coordination and policy-guidance, monitoring and evaluation.

b) The Local Government Service:

The Local Government Service is the primary institution that determines which capacity building is needed. The Local Government Service Act 656 identifies the object of the Service as to secure the effective administration and management of local government in the country.

To this end, the law identifies such functions as:

- Provide technical assistance to RCCs and MMDAs to enable these entities to effectively perform their functions and discharge their duties in line with the Constitution and relevant legislation;
- Conduct organisational and job analysis for RCCs and MMDAs;
- Conduct management audits for RCCs and DAs to improve overall management of the service;
- Design and coordinate management systems for RCCs and DAs and,
- Assist the RCCs and DAs in the performance of their functions.

The Act states that the Head of Service shall establish, with the approval of Council, systems for effective inter-service and sectoral collaboration and cooperation among the various services to harmonise local government programmes and to avoid duplication. These functions as spelt out in the Act, give the LGS clear responsibility for the coordination of training efforts within the local government system based on clear needs assessment and analysis of gaps in capacity.

Under the CBF, LGS will ensure that appropriate organisational systems exist and operating effectively at all (national, regional and local) levels. The Service is required to:

- Quality assure CB programme;
- Streamline processes and procedures including information database
- Provide guidelines, templates, standards, specifications, etc.
- Provide technical backstopping;
- Conduct monitoring and evaluation;
- Communicate CB related matters to all stakeholders.

c) *Regional Coordinating Councils (RCCs)*

The Local Government Act 462 of 1993, requires Regional Coordinating Councils to monitor, coordinate and evaluate the performance of district assemblies in their respective regions. The RCC is required to:

- Coordinate, manage, share and create relevant knowledge of CB in the region;
- Create an environment and system that will enable CB to be implemented in the region;
- Maintain an accurate and reliable database on staff training and development at the regional and MMDA levels;
- Maintain knowledge management inventories to facilitate the development of CB planning and management decision making at the regional and national levels;
- Assist in the maintenance of institutional memory for training initiatives at the RCC and MMDA;
- Maintain regional information on participants and service providers/resource persons, training materials used, feedback received, lessons learned and cost incurred;
- Establish MIS and HRIS in collaboration with other departments to coordinate CB related activities in the region.

d) *Metropolitan, Municipal and District Assemblies (MMDAs)*

Metropolitan, Municipal and District Assemblies are required to:

- Organise and conduct the CB;
- Manage, coordinate, and monitor the CB at the local level;
- Create an environment and systems that enable the CB to be implemented;
- Maintain an accurate and reliable database on staff, strategic training and development across the departments of the MMDA;
- Maintain knowledge management inventories to facilitate the CB and management decision making;
- Assist in the maintenance of institutional memory for CB activities;
- Maintain information on participants and service providers/resource persons, training materials used, feedback received, lessons learned and cost incurred; and
- Establish MIS and HRIS in collaboration with other departments to coordinate CB affairs.

e) *Others*

Other agencies/entities that have a stake in the CBF include:

- a) Ghana Institute of Management and Public Administration (GIMPA)
- b) Management Development and Productivity Institute (MDPI)
- c) Civil Service Training School
- d) Other tertiary institutions – public and private
- e) Development partners – multi-lateral and bi-lateral
- f) International development organisations

- g) Non-governmental organisations including local/community level and national level bodies.

Indeed, the CBF when implemented would lead to the following:

- a harmonised approach to capacity building nationwide for efficiency and economies of scale;
- generate complete database systems on CB activities at the local, regional and national levels;
- improved standards in training and other CB interventions at all levels;
- facilitate mechanisms for monitoring and evaluating CB interventions

The experiences and interactions of all these stakeholders will add value to the CBF. It is, therefore, important that platforms are built for continuous briefing and information sharing towards the effective implementation of the framework. This will include the publication of an annual Capacity Building Report as an integral part of the Annual LGSS reports.

ANNEXES

Annex 1: LGS Performance Contract

(PERFORMANCECONTRACT)			
SURNAME:		OTHER NAMES	
JOB TITLE:	Metropolitan / Municipal / District Coordinating Director		
GRADE:			
POSITION:	Metropolitan / Municipal / District Coordinating Director	DATE ASSUMED POSITION:	
MMDA:			
DIRECTORATE /DEPARTMENT:	N.A	SECTION / UNIT:	N.A
NO. OF DIRECT REPORTS		REPORTS TO:	Hon. MMDCE
JOB PURPOSE:			
To coordinate and ensure the implementation of government policies, projects and programmes at the MMDA level			
Key Performance Areas (KPA's)			
1. Top priority for MMDA; 2. Performance Reporting; 3. Implementation of Annual Action Plan (AAP)and Financial Management; 4. Human Resource (HR) Management; 5. Customer Service Initiatives; 6. Work Environment Improvement Initiatives and Cross-Cutting Issues;			

KEY PERFORMANCE AREAS

The MMDCD shall deliver the following generic key operational and administrative outputs as per the timelines indicated:

KEY PERFORMANCE AREA (KPA) 1: INSTITUTION-SPECIFIC PERFORMANCE AREAS
(TOP PRIORITY FOR THE MMDA)
(25 % OVERALL WEIGHT OUT OF SIX KPAs)

List the top priorities for the MMDA, funded from the Budget (GoG/Donor/IGF) for the period of the Contract (Jul. 2015 - Dec. 2015). These priorities should be four (4) and should be rooted in the Ghana Shared Growth and Development Agenda (GSGDA) II, 2014, the Sector Medium Term Plan and the 2015 Annual Budget.

KEY PERFORMANCE INDICATORS (KPIs)		WEIGHT %	SERVICE DELIVERY STANDARDS (SDS)	*RATING SCALE (1 to 4)	OVERALL RATING
<i>A</i>		<i>b</i>	<i>c</i>	<i>d</i>	<i>e = b*d</i>
1.1					
1.2					
1.3					
1.4					
∑ OVERALL RATING / KPA (Sum of Column e)					

KEY PERFORMANCE AREA (KPA) 2: PERFORMANCE REPORTING
(20 % OVERALL WEIGHT OUT OF OVERALL KPAs)

KEY PERFORMANCE INDICATORS (KPIs) (Minimum 2 & Maximum 4)		WEIGHT %	SERVICE DELIVERY STANDARDS (SDS)	*RATING SCALE (1 to 4)	OVERALL RATING
<i>a</i>		<i>b</i>	<i>c</i>	<i>d</i>	<i>e = b*d</i>
2.1					
2.2					
2.3					
2.4					
Σ OVERALL RATING / KPA (Sum of Column e)					

*Rating scale is indicated in Annex 3b.

KEY PERFORMANCE AREA (KPA) 3: IMPLEMENTATION OF ANNUAL ACTION PLAN AND FINANCIAL MANAGEMENT

(20 % OVERALL WEIGHT OUT OF OVERALL KPAs)

KEY PERFORMANCE INDICATORS (KPIs) (Minimum 2 & Maximum 4)		WEIGHT %	SERVICE DELIVERY STANDARDS (SDS)	*RATING SCALE (1 to 4)	OVERALL RATING
<i>a</i>		<i>b</i>	<i>c</i>	<i>d</i>	<i>e = b*d</i>
3.1					
3.2					
3.3					
3.4					
Σ OVERALL RATING / KPA (Sum of Column e)					

*Rating scale is indicated in Annex 3b.

KEY PERFORMANCE AREA (KPA) 4: HUMAN RESOURCE (HR) MANAGEMENT**(25 % OVERALL WEIGHT OUT OF SIX KPAs)**

KEY PERFORMANCE INDICATORS (KPIs) (Minimum 2 & Maximum 4)		WEIGHT %	SERVICE DELIVERY STANDARDS (SDS)	*RATING SCALE (1 to 4)	OVERALL RATING
<i>a</i>		<i>B</i>	<i>c</i>	<i>d</i>	<i>e = b*d</i>
4.1					
4.2					
4.3					
4.4					
Σ OVERALL RATING / KPA (Sum of Column e)					

**Rating scale is indicated in Annex 3b.*

KEY PERFORMANCE AREA (KPA) 5: CUSTOMER SERVICE INITIATIVES**(5 % OVERALL WEIGHT OUT OF SIX KPAs)**

KEY PERFORMANCE INDICATORS (KPIs) (Minimum 2 & Maximum 4)		WEIGHT %	SERVICE DELIVERY STANDARDS (SDS)	*RATING SCALE (1 to 4)	OVERALL RATING
<i>a</i>		<i>b</i>	<i>c</i>	<i>d</i>	<i>e = b*d</i>
5.1					
5.2					
5.3					
5.4					
Σ OVERALL RATING / KPA (Sum of Column e)					

**Rating scale is indicated in Annex 3b.*

KEY PERFORMANCE AREA (KPA) 6: WORK ENVIRONMENT IMPROVEMENT INITIATIVES AND CROSS-CUTTING ISSUES

(5 %OVERALL WEIGHT OUT OF SIX KPAs)

KEY PERFORMANCE INDICATORS (KPIs) (<i>Minimum 2 & Maximum 4</i>)		WEIGHT %	SERVICE DELIVERY STANDARDS (SDS)	*RATING SCALE (1 to 4)	OVERALL RATING
<i>a</i>		<i>b</i>	<i>c</i>	<i>d</i>	<i>e = b*d</i>
6.1					
6.2					
6.3					
6.4					
Σ OVERALL RATING / KPA (Sum of Column e)					

**Rating scale is indicated in Annex 3b.*

PERSONAL DEVELOPMENT PLAN

MMDCD PERSONAL DEVELOPMENT PLAN
(NOT FOR SCORING PURPOSES)

1. Select appropriate competencies (by circling the Serial No. of the Competency) which the staff requires to perform his/her duties based on the staff's position.
2. Out of the selected competencies, indicate in your plan which competencies need to be improved, stating the expected outcomes to be attained. Also indicate how these competencies are to be improved (e.g. through participation in workshops, conferences, seminars, peer review, coaching, mentoring, on-the-job training, etc.).
3. Evaluation of core competencies (as in rating scale indicated in Annex 3C)

COMPETENCIES		EVALUATION (Rating 1-2-3-4)	WHEN WOULD YOU LIKE TO DEVELOP IT?	WHAT ARE THE EXPECTED OUTCOMES?	HOW WILL IT BE ATTAINED?
1.	ORGANISATION AND MANAGEMENT ▪ ABILITY TO PLAN, ORGANISE AND MANAGE WORK LOAD ▪ ABILITY TO WORK SYSTEMATICALLY AND MAINTAIN QUALITY ▪ ABILITY TO MANAGE OTHERS TO ACHIEVE SHARED GOALS	1 - 2 - 3 - 4			
2.	INNOVATION AND STRATEGIC THINKING ▪ SUPPORT FOR ORGANISATIONAL CHANGE ▪ ABILITY TO THINK BROADLY ▪ DEMONSTRATING CREATIVITY IN THINKING	1 - 2 - 3 - 4			
3.	LEADERSHIP AND DECISION-MAKING ▪ ABILITY TO INITIATE ACTION AND PROVIDE DIRECTION TO OTHERS ▪ ACCEPTANCE OF RESPONSIBILITY AND DECISION-MAKING ▪ ABILITY TO EXERCISE GOOD JUDGEMENT	1 - 2 - 3 - 4			
4.	ORGANISATIONAL DEVELOPMENT AND IMPROVEMENT ▪ COMMITMENT TO ORGANISATIONAL DEVELOPMENT ▪ COMMITMENT TO CUSTOMER SATISFACTION ▪ COMMITMENT TO THE DELIVERY OF QUALITY SERVICES AND PRODUCTS	1 - 2 - 3 - 4			
5.	COMMUNICATION (ORAL, WRITTEN & ELECTRONIC) ▪ ABILITY TO COMMUNICATE DECISIONS CLEARLY ▪ ABILITY TO NEGOTIATE AND MANAGE CONFLICT EFFECTIVELY ▪ ABILITY TO RELATE AND NETWORK ACROSS DIFFERENT LEVELS AND DEPARTMENTS	1 - 2 - 3 - 4			
6.	JOB KNOWLEDGE AND TECHNICAL SKILLS ▪ DEMONSTRATION OF RELEVANT JOB EXPERTISE	1 - 2 - 3 - 4			

COMPETENCIES		EVALUATION (Rating 1-2-3-4)	WHEN WOULD YOU LIKE TO DEVELOP IT?	WHAT ARE THE EXPECTED OUTCOMES?	HOW WILL IT BE ATTAINED?
	- DEMONSTRATION OF CROSS-FUNCTIONAL AWARENESS - BUILDING, APPLYING AND SHARING OF NECESSARY EXPERTISE AND TECHNOLOGY				
7.	SUPPORTING AND COOPERATING - ABILITY TO WORK EFFECTIVELY WITH TEAMS, CLIENTS AND STAFF - ABILITY TO SHOW SUPPORT TO OTHERS - KEEPING TO LAID DOWN REGULATIONS AND PROCEDURES - ABILITY TO ADHERE TO ORGANISATION'S PRINCIPLES, ETHICS AND VALUES	1 - 2 - 3 - 4			
8.	MAXIMISING AND MAINTAINING PRODUCTIVITY - ABILITY TO MOTIVATE AND INSPIRE OTHERS - ABILITY TO ACCEPT CHALLENGES AND MANAGE THEM EFFECTIVELY - ABILITY TO MANAGE PRESSURE EFFECTIVELY	1 - 2 - 3 - 4			
9.	DEVELOPING AND MANAGING BUDGETS - FIRM AWARENESS OF FINANCIAL ISSUES AND ACCOUNTABILITIES - UNDERSTANDING OF BUSINESS PROCESSES AND CUSTOMER PRIORITIES - EXECUTING RESULTS-BASED ACTIONS COST-EFFECTIVELY	1 - 2 - 3 - 4			
10.	ABILITY TO DEVELOP SELF, STAFF AND OTHER STAKEHOLDERS - DEMONSTRATING INTEREST IN SELF-DEVELOPMENT - ABILITY TO DEVELOP STAFF - ABILITY TO COACH AND MENTOR STAFF AND OTHER STAKEHOLDERS	1 - 2 - 3 - 4			
11.	Any other competencies, please specify:	1 - 2 - 3 - 4			

Annex 2: Staff Performance Planning, Review and Appraisal Form

(Insert as applicable)

Annex 3: Organisational Functional Capacity Assessment Tool (Sample)

Name of MMDA: **Zone:**.....

Date of Assessment:.....

CAPACITY THEMATIC AREAS	CAPACITY GAP (Weaknesses identified)	CAPACITY REQUIREMENTS (Identified Logistics, KSAs and Organisational gaps)
Development Planning and Budgeting		
Financial Management and Accounting		
Procurement Management		
Management and Organisation		
Annual Action Plan Implementation Capacity		
Transparency, Openness and Accountability		
Human Resource Management		
Functionality of Sub-Structures		
Auditing and Audit Report Implementation		
Fiscal Capacity and Revenue Management		
Infrastructure, Maintenance and Operations		
Asset Management		
Records Management		
Environmental Sanitation Management		
Social Accountability		
Strategic Leadership		
Organisation Process Management		

Annex 4: Individual Capacity Needs Assessment Questionnaire (Sample)

4-A: Training Needs Assessment Questionnaire for MMDAs (Sample)
(To be responded by MMDA Officials)

1. General Information

1.1 Name of the MMDA

1.2 Name & Designation of the Respondent/s.....

1.3 Address.....

1.4 Contact Details.....

1.5 Academic Qualification (please mention the highest class/degree/diploma).

☐SHS ☐DBS ☐HND ☐1st Degree or equivalent ☐2ND Degree or its Equivalent

Professional Qualification (please specify)

1.6 Number of years in your current position

- ☐ below one year
- ☐ 1 to 3 years
- ☐ 4 to 5 years
- ☐ 5 to 10 years
- ☐ Above 10 years

1.7 Have you received any training to enable you to perform better in the last three (3) years? If yes, please provide details.

No.	Name of Institution	Subjects Treated/ Topics	Duration	Indicate any follow-up activity (any action plan? Any impact assessment?)
1				
2				
3				
4				
5				

1.8 Has any one of your colleagues received training or non-training interventions in the last three (3) years? If yes, please provide details. Note: A colleague could refer to one in your category at the department level, intra or inter district level.

No.	Name of Institution/ Service Provider	Subjects Treated/ Topics/ Types	Duration	Indicate any follow-up activity (any action plan? Any impact assessment?
1				
2				
3				
4				
5				

2. Job Responsibilities

**2.1 Describe your current
schedule:**.....

.....

.....

2.2 In your present position, how much time do you devote for carrying out work related to your job specification?

(Indicate time in percentages)

2.3 In your present position, what are your responsibilities including the core and non-core and indicate the percentage time allocated to each aspect out of a total of 100%?

No	Topics/ Aspects	(Please Tick as appropriate)		Please indicate % time allocated
		Core	Non-Core	
1	Planning & Scheduling			
2	Budgeting and Costing			
3	Field Supervision			
4	Coordination & Meetings			
5	Technical & Engineering Aspects			
6	Training & Capacity Building			
7	Communication			
8	Staff Management, Control			
9	Public Interaction and Complaint Redress			
10	Legal aspects			
11	Enhancing Community Participation			
12	Financial Management and Reporting			
	Any Other, you wish to add (Please specify)			
13				
14				
15				
	TOTAL			100%

2.4 What do you consider as your key deliverables? Please list as appropriate and specify.

.....

.....

.....

3. Awareness, Knowledge to Guidelines, Laws and Manuals

3.1. How aware are you of the existence and content of laws and regulations governing your field of endeavour?

- ☐ Fully aware
 ☐ Partially Aware
 ☐ Not Aware

Please provide a list of the relevant laws, guidelines and manuals

.....

.....

.....

.....

.....

.....

3.2. What in your opinion is the level of compliance to these laws, guidelines and manuals? Please tick as appropriate the level of compliance at your level (1) team or task level (2) and organisation-wide or general level (3).

No.	Aspect or Area of Work	Very Good			Good			Fair			Poor		
		1	2	3	1	2	3	1	2	3	1	2	3

3.3. What are your suggestions for improving further compliance to these laws?

.....

.....

.....

4. Training Needs

4.1 Please read each of the following competences carefully and rate yourself on the basis of five point rating scale. (Five is the highest and one is lowest). Provide any other recommendations for improvement of the score.

No	Ability	Score	Recommendations
1	<u>Technical Competencies</u> i. Good knowledge in local governance. ii. Strategy formulation and management skills. iii. Analytical skills. iv. Negotiation skills.		
2	<u>Managerial Competencies</u> i. Ability to plan, organise and co-ordinate. ii. Ability to monitor, control and supervise. iii. Ability to motivate subordinates. iv. Ability to work under pressure.		
3	<u>Personality Competencies</u> i. Integrity and honesty. ii. Self-motivation iii. Results-oriented. iv. Good human relations and communication skills. v. Adaptability, flexibility and change orientation.		

4.2 Please read each of the abilities carefully and rate yourself and your colleagues on the basis of five point rating scale. (Five is the highest and one is lowest). Note: A colleague could refer to one in your category at the department level, intra or inter district level.

No	Ability	Self	Colleague
1	Understanding Specific Task-Related Rules		
2	Understanding Management Requirements of the Job		
3	Technical		
4	Institutional aspects		
5	Supervision and Coordination		
6	Computer Applications		
7	Budgeting & Costing		
8	Contracting mechanisms		
9	Training & Capacity Building		
10	Communication Skills		
11	Engineering aspects		
	Others		
12			
13			
14			
15			

4.3. Please indicate the areas of training needs for you and colleagues in your category to improve performance of your key accountabilities.

No	Topics	(Please Tick as your feel appropriate)	
		Self	Colleague
1	Legal Framework:		
2	Work Systems and Processes:		
3	Cost Recovery, Cost Efficiency & Financial Management		
4	Private Sector Participation & Contracting Mechanisms		
5	Technical & Engineering Aspects		
6	Enhancing Community Awareness & Participation		
7	Promotion and Marketing		
8	Information, Education & Communication		
9	Monitoring, Enforcement and Accountability		
10	Motivation and Job Performance		
11	Any Other, you wish to add (Please specify)		

4.4. Please suggest the duration of training for your group. Please tick appropriate.

- 1) ½ day
- 2) One day
- 3) Two to three days
- 4) Five days
- 5) Five to fifteen days
- 6) Others.....

4.5 What is your preferred mode of training? You may tick more than one.

- ☐ Class Room Teaching
- ☐ Workshop, Seminar
- ☐ Interactive Discussion
- ☐ Explore/Field trips
- ☐ Reference material
- ☐ Hands on Training
- ☐ Coaching
- ☐ Mentorship
- ☐ Peer Learning
- ☐ Secondment
- Others.....

4.6. Are you willing to go to a training institution for receiving training on the identified areas of improvements for your work? If yes, state the name of the institution and indicate how you propose to meet the cost of training?

.....

.....

.....

.....

If no to the above, please give reasons.....

.....

.....

Thank you,

Signature

4-B: Non-Training Needs Assessment Questionnaire for MMDAs (Sample)

(To be responded by MMDA Officials and Staff. Line managers must adapt questionnaire as appropriate)

1. General Information

1.1 Name of the MMDA

1.2 Name & Designation of the Respondent/s.....

1.3 Address.....

1.4 Contact Details.....

1.5 Academic Qualification (please mention the highest class/degree/diploma).

☐SHS ☐DBS ☐HND ☐1st Degree or equivalent ☐2ND Degree or its Equivalent

Professional Qualification (please specify)

1.6 Number of years in your current position

- ☐ below one year
- ☐ 1 to 3 years
- ☐ 4 to 5 years
- ☐ 5 to 10 years
- ☐ Above 10 years

1.7 Have you received any capacity building intervention (non-training) to enable you to perform better in the last three (3) years? If yes, please provide details.

No.	Type	Service Provider	When	Indicate any follow-up activity (any action plan? Any impact assessment?
1				
2				
3				
4				
5				

2. Job Responsibilities and Requirements for Improved Performance

2.1 Describe your current schedule:.....

.....

.....

2.2 What resources are required for improved performance?

No	Resources required to facilitate compliance and performance	(Please Tick as Priority appropriate)	
		High	Low
1	Computers and accessories (Specify):		
2	Database Systems (Specify):		
3	Operational Manuals and Guides (Specify):		
4	Supervisory Requirements (Specify):		
5	Management Styles (Specify):		
6	Numbers and mix of staff (Specify):		
7	Behavioural and Attitudinal (Specify):		
8	Motivation and Reward System (Specify):		
9	Disciplinary and Enforcement Requirements (Specify):		
10	Others (Specify):		

2.3. What are your suggestions for improved performance?

.....

.....

.....

.....

Thank you,

Signature

4-C: Methods of Identifying Training Needs (Sample)**LEVELS OF TRAINING NEEDS ANALYSIS**

LEVEL OF ANALYSIS	FOCUS OF THE ANALYSIS	SOURCES OF DATA
<u>LEVEL 1:</u> Legislative needs (meeting the legal requirements)	<u>Statutory requirements</u> • Legislation current and planned in Ghana • Regulatory requirements • Standards	• Government publications • Investors in People (IiP) • Training and Enterprise Councils • Training Records
<u>LEVEL 2</u> Organisational Needs (Raising the performance needs of the whole organisation)	• Whole organisation's business goals • Organisational climate • Future market place changes and trends • Current capability of the people in quantity, range and variety • Current levels of performance	• Capability requirements of new technology or structural changes • Manpower or staffing plan and future forecasts • Skills and knowledge audit of all the people • Productivity and efficiency indicators, balanced scorecard • Business plans and strategies • Organisational climate/employee satisfaction surveys • Customer or client feedback and reviews • Internal requests from staff and managers • Evaluation of current training

LEVEL OF ANALYSIS	FOCUS OF THE ANALYSIS	SOURCES OF DATA
<u>LEVEL 3</u> Job Needs (raising the performance of groups of people with the same job)	• Range of jobs or groups of jobs • Task needed with required standard of performance • Skills, knowledge and attitudes required • Professional qualifications	• Job descriptions and person specifications • Objectives, standards and targets • Tactical priorities and objectives • Observations or shadowing • Expert interviews or focus groups • Customer or client feedback • Professional institute membership
<u>LEVEL 4</u> Individual Needs (raising the performance of small teams or individuals)	• Profile of persons in terms of their skills, knowledge and attitude • Standard required of person to perform tasks to required level • Career and promotions	• Performance or annual appraisal • Personal Development Plans • Observations and Shadowing • Interviews and questionnaires with individual and their manager • Customer or client feedback

Annex 5: Capacity Building Plan and Budget (Sample)

	Capacity Building Plan and Budget for LGSS, RCCs and MMDAs	 REPUBLIC OF GHANA
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Year:.....

Region/MMDA:..... Date:.....

Objective ¹	Justification ²	Description (Including location for training/ event) ³	Intended Beneficiaries ⁴		Estimated cost ⁵	Funding source ⁶	Timing ⁷		Expected Outcomes ⁸	Remarks ⁹
			group/ persons	No.			Start	End		

Explanatory Notes:

1. An Objective could be for an activity or activities and it should be SMART
2. Justification for an activity should establish the link of the activity to the outcome of the OFCA i.e. the performance gaps identified
3. Activity description requires outlining whether it is a training, a course or provision of logistics
4. Intended beneficiaries refer to whether the training is for, the District Finance Officer, District Planning Coordinating Units Officers, Finance and Administration Sub-Committee Officers etc. and the number to be trained.
5. Planned expenditure (estimated cost) includes the cost of meals, conference facility, transport and facilitation cost, etc.
6. Funding sources require that MMDAs state whether the activity is to be funded from the CBF, other programmes/projects or internal generated funds/sources of the Assembly
7. Timing connotes the start and end times of the intended CB activity
8. Expected Outcomes refer to the expectation of the training in terms of participation, facilitation, etc to achieve
9. Remarks provide opportunity for any comments that needs to be taken into account in the implementation of an activity.

Annex 6: Checklist of Requirements for Procurement of Goods, Works and Services (Sample)

1. Specifications for Goods

- Quantity
- Other technical specification (shape, weight, colour, size, texture, sample, etc)
- Warranty
- Delivery time
- Delivery location
- Estimated budget

2. Specifications for Works

The specifications include bills of quantities, bills of material, statement of works, designs and drawings. The details are as follows:

- Background information on the project
- Objectives of the assignment
- Scope of work
- Location
- Topography/geotechnical
- Conditions/project layout
- Deliverables/requirements for progress reports and time schedule
- Payment schedule
- Period of performance
- Services to be provided
- Estimated budget

3. Specifications for Services

- Terms of Reference
- Background information on the project
- Objectives of the assignment
- Scope of work
- Deliverables/requirements for progress reports and time schedule
- Monitoring and Evaluation of performance
- Payment schedule
- Period of performance
- Qualifications
- Estimated Budget

Types of Competition

For the purpose of selecting a consultant to deliver a capacity building activity, MMDAs are to ensure there is:

- Local Competition such as shopping, Request for Quotation (RFQ), etc
- National Competition such as National Competitive Tendering (NCT), Request for Proposals (RFP), etc

Procurement Rules

- MMDAs are required to prepare capacity building procurement plans for each fiscal year.
- Tenders should satisfy all qualification requirements under Act 663.
- Pre-qualification proceedings to identify qualified tenders as required.
- Need for all communications between MMDAs and tenders to be in writing.
- Good record keeping of procurement proceedings.
- Grounds for rejection of tenders should be specified in the tender documents.
- Acceptance of tender and entering into force of contract should be in line with Act 663.
- MMDAs should publish notice of contract award promptly.
- MMDAs should reject all forms of inducements from service providers.
- Description of goods, works and services should be accurate and non-restrictive.
- Language of tender documents and offers should be in English.

Procurement Methods

- Competitive Tendering (section 35 & Part V)
- Restricted Tendering (sections 38-39)
- Two-Stage Tendering (sections 36-37)
- Single Source Procurement (sections 40-41)
- Request for Quotation (RFQ) (sections 42-43)
- Request for Proposal (RFP) for Consultancy Services (sections 66-77)

Choice of procurement method will be informed by the threshold and circumstances driven:

- Thresholds to be issued periodically in a Schedule to the Act as provided in the Annexes
- Circumstances defined in the Act and Regulations including:
 - Urgent or emergency requirements
 - Limited number of suppliers
 - Contract extensions
 - Research, experiment, study or development purposes
 - National Security

Evaluation Parameters

1. Statutory Requirements
 - a. IRS
 - b. VAT
 - c. SSNIT
 - d. Company Registration
 - e. Financial Statements
2. General Requirements
 - a. Verifications – verify that all the required documents are submitted.
 - b. Eligibility – check whether the bidder is eligible to bid for the tender.
 - c. Bid Security – check if the bidder has added it and in the right amount required.
3. Technical Responsiveness
 - a. Manufactures' Authorisation (Goods)

- b. Similar Assignment
 - c. Reference check (Value of contract and contact person)
 - d. Country of origin
 - e. Delivery Period
 - f. After Sales Services
 - g. Warranty (Defect Liability Period for works)
 - h. Technical Specifications (Conformity to TOR, SOW, BOQ)
4. Financial Responsiveness
- a. Lowest Evaluated Price (Goods & Works)
 - b. Negotiation (Consultancy)
5. Profile of Firm
- a. Previous experience
 - b. Expertise in thematic area
 - c. Personnel mix
 - d. Regional preferences

SELECTION OF CONSULTANTS BY PROCUREMENT ENTITIES
FORMAT FOR REQUEST FOR EXPRESSION OF INTEREST
[NAME OF PROJECT OR SPECIFIC CONSULTING ASSIGNMENT]
CONSULTING SERVICES

Expressions of Interest

This request for expression of interest follows the general procurement notice for this project that appeared in _____ *[specify publication]* Issue No. *[insert number]* of *[insert date]*.

The _____ *[insert name of Procurement Entity]* intends to apply part of its budgetary allocation to payments under the contract for _____ *[insert name of project/the services]*.

The services include *[brief description, organisation, implementation period...]*.

The _____ *[insert name of Procurement Entity]* now invites eligible consultants to indicate their interest in providing the services. Interested consultants must provide information indicating that they are qualified to perform the services (brochures, description of similar assignments, experience in similar conditions, availability of appropriate skills among staff, etc.). Consultants may associate to enhance their qualifications.

A consultant will be selected in accordance with the procedures set out in the Public Procurement Act, 2003 (Act 663) of the Republic of Ghana.

Interested consultants may obtain further information at the address below *[state address at the end of document]* from ___hrs - to ___hrs GMT *[insert office hours]*.

Expressions of interest must be delivered to the address below by _____ *[insert date]*.

Mailing Address : _____

Street Address: _____

Floor/Room Number: _____

City/Town: _____ Region: _____, Ghana.

Telephone: (233- -) _____

Facsimile Number: (233 - -) _____

Electronic Mail Address: _____

Contact Person: _____

Procurement Threshold

Procurement Method/Advertisement	Contract Value Threshold
(1) Pre-qualification (a) Goods (b) Works (c) Technical Services	Above GHC 3.5 million Above GHC 7 million (not more than 10% of cost of works)
(2) International Competitive Tender (a) Goods (b) Works (c) Technical Services	Above GHC 1.5 million Above GHC 2 million Above GHC 200,000
(3) National Competitive Tender (a) Goods (b) Works (c) Technical Services	More than GHC 20,000 and up to GHC 200,000 More than GHC 50 ,000 up to GHC 1.5 million More than GHC 20,000 up to 200,000
(4) Restricted Tendering	Subject to approval of the PPA
(5) Price Quotation (a) Goods (b) Works (c) Technical Services	Up to GHC 20,000 Up to GHC 50,000 Up to GHC 20,000
(6) Single Source Procurement	Subject to approval of the PPA

Annex 7: Sample Template for Qualification and Certification of Service Providers

To be completed by Firm/organisation submitting Expression of Interest or Technical Proposal

Name of Firm/Organisation..... Registrar General's Registration No..... Date Issued..... Tax Clearance Certificate No..... Date Issued..... SSNIT Clearance Certificate No..... Date Issued.....
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Brief Capability Statement:

Availability of Certified Staff

Name of Staff	Academic/ Professional Qualification	Area of Specialisation	Years of Service	Phone/Email Address
1				
2				
3				
4				
5				

Track Record: Thematic Areas in T&D/Capacity Building

Name of Firm/Organisation	Type of Assignment	Year Provided	Address of Contact Person
1			
2			
3			
4			
5			
6			

Annex 9: Monitoring Report Format for Utilisation of Capacity Building Fund (CBFd)

Year:..... **Region:**..... **MMDA:**.....**Date:**

No	Objective	Activity Output	Start Date	End Date	Service Provider	Beneficiaries		Funding Source(s)	Allocated Amount	Expenditure to Date	Status of Implementation	Remarks
						Type	No.					
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												

GLOSSARY

Term	Definition
A	
Accountability	Obligation of government, public service or funding agencies to demonstrate to citizens that contracted work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis-à-vis mandated roles and/or plans.
Activity	Obligation of government, public service or funding agencies to demonstrate to citizens that contracted work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis-à-vis mandated roles and or plans.
B	
Benchmark	Reference point or standard against which performance or achievements can be compared. A benchmark might refer to what has been achieved in the past, by other comparable organisations, or what could reasonably have been achieved under the circumstances.
Beneficiary Assessments	A beneficiary assessment focuses on understanding the opinions of service users on the quality, relevance and benefits of policies, programmes and projects during and after their implementation.
Baseline Information	Information usually consisting of facts and figures collected at the initial stages of a project that provides a basis for measuring progress in achieving project objectives and outputs.
C	
Capacity	The term refers to the various types and levels of resources available to establish and maintain the framework that can identify and respond to the Local Government Service needs. Capacity also depends on the readiness of the LGS and other stakeholders to actually commit their resources to addressing the identified challenges/problems.
Capacity Building	The activities that enhance the ability of an organisation to meet its intended objectives.
Coaching	This refers to the methods, programmes, tools and assessment systems that support human development at the individual level in an organisation.
D	
Demand-driven Training	This term refers to training in skills, development, logistics and organisational issues by going through the procurement process to select a service provider.
Development	The process of preparing staff not only to perform their present jobs better but to be able to take up future responsibilities.
E	

Effectiveness	A measure of the extent to which a project attains its objectives at the goal or purpose level; efficiently and in a sustainable way.
Efficiency	A measure of how economically inputs (funds, expertise, time etc.) are converted into outputs.
Evaluation	A systematic (and as objective as possible) examination of a planned, ongoing or completed project. It aims to answer specific management questions and to judge the overall value of an endeavour and supply lessons learned to improve future actions, planning and decision making. Evaluations commonly seek to determine the efficiency, effectiveness, impact, sustainability and the relevance of the project or organisation's objectives. An evaluation should provide information that is credible and useful, offering concrete lessons learned to help partners and funding agencies to make decisions.
F	
Framework	This is the basic rigid structure that supports anything or a basic system.
G	
Gap Assessment	Involves the comparison of actual performance with potential or desired performance.
Generic Competency	The term is used to refer to competencies that can be applied across different jobs and life contexts, thus requiring staff to exhibit a "global mindset" which includes the ability to look at the broader context of local governance, be flexible and undertake a variety of different tasks.
Goal	The higher-order programme or sector objective to which a development intervention, such as a project, is intended to contribute. Thus it is a statement of intent.
I	
Impact	The changes in the lives of people, as perceived by them and their partners at the time of evaluation, plus sustainability-enhancing change in their environment to which the project has contributed. Changes can be positive or negative, intended or unintended.
Impact Assessment	Impact Assessment is a generic term that includes Social, Economic and Environmental Impact Assessment (EIA) as well as strategic Environmental Assessment (SEA). It is a comprehensive process and assessment tool used to ensure that programmes, projects and policies are economically stable socially equitable and environmentally sustainable. Impact assessment should also take into account policy impacts in relation to gender equality and women empowerment.
Indicator	Quantitative or qualitative factor or variable that provides a simple and reliable basis for assessing achievement, change or performance. A unit of information measured overtime that can help show changes in a specific condition. A given goal or

	objective can have multiple indicators.
Information Management System	A system of inputting, collating and organising data using a computer software to provide selective data and reports to assist in monitoring and controlling the project organisation, resources, activities and results.
Input	The financial, human and material resources necessary to produce the intended outputs of a project.
Internship/Attachment	This is a structured, credit-bearing work experience in a professional work setting during which a trainee applies and acquires knowledge and skills.
K	
Knowledge Management	• The process of capturing, developing, sharing and effectively using organisational knowledge. • Knowledge Management is a discipline that promotes an integrated approach to identifying, capturing, evaluating, retrieving and sharing all of an enterprise's information assets, example Documents, Databases, Policies, Procedures and previously un-captured expertise and experience of individual workers.
L	
Learning	The process whereby individuals acquire knowledge, skills and attitudes through experience, reflection, study or instruction. Staff training and development are essential to promote efficiency, quality, good work habits and timely service delivery.
Logical framework (Log frame)	This is a tool to help designers of projects to think logically about what the assignment is trying to achieve (Purpose), what things the assignment needs to bring about (Output) and what needs to be done to produce the outputs (Activities). The purpose of the assignment is to serve the higher level objectives (Goals).
Logistic Support	This refers to the provision of office equipment and the materials as required by the annual need assessment of MMDAs.
M	
Management Programmes	These are programmes that seek to provide participants with practical strategies and solutions to specific and known management problems. These include: (i) Practical issues related to line management, planning and supervision. (ii) Focuses on strategic and policy issues and management change and organisational development. The themes will include organisational change and innovation, learning in organisation, staff supervision and development, communication and decision-making and educational planning.
Mid-Term Evaluation	An external evaluation performed towards the middle of the period of implementation of the project, whose principal goal is to draw conclusions for reorienting the project strategy.
Monitoring	The regular collection and analysis of information to assist

	timely decision making, ensure accountability and provide the basis for evaluation and learning. It is a continuing function that uses methodical collection of data to provide management and the main stakeholders of an on-going project or programme with early indications of progress and achievement of objectives.
M&E Matrix	A table describing the performances questions, information gathering requirements (including indicators), reflection and review events with stakeholders, and resources and activities required to implement the functional M&E system. This matrix lists how data will be collected, when, by whom and where.
O	
Objectives/Purpose	A specific statement detailing the desired accomplishment of outcomes of projects at different levels (short to long term). A good objective means criteria of being impact-oriented, measurable, time-limited, specific and practical.
Organisational strengthening	This has to do with how MMDAs ensure that appropriate organisational systems operate effectively.
Orientation/Induction	Newly employed staff goes through an induction/orientation programmes while on probation to acquaint themselves with the operations and administrative procedures of the organisation.
Outcome	The results achieved at the level of “purpose” in the objective hierarchy
Outputs	The tangible (easily measurable, practical), immediate and intended results to be produced through sound management of the agreed inputs. Examples of outputs include goods, services or infrastructure produced by a project and meant to help realise its purpose.
Ownership	This implies that the process and outcomes of an assessment mechanism which must be owned by the assessed, the assessors and the stakeholders. At the institutional level, ownership involves public service institutions and their stakeholders: • Setting the performance targets together. • Agreeing on the assessment mechanisms within government policy framework; and • Ensuring that their strategic plans are part of the assessment framework.
P	
Participation	One or more processes in which an individual (or group) takes part in specific decision making and action, and over which s/he may exercise specific controls. It is often used to refer specifically to processes in which primary stakeholders take an active part in planning and decision-making, implementation, learning and evaluation. This often has the intention of sharing control over the resources generated and responsibility for their future use.
Participatory Monitoring	A broad term for the involvement of primary and other

and Evaluation	stakeholders in monitoring and evaluation.
Performance Measurement	This is a process of collecting, analysing data and reporting on the performance of individuals, groups or organisations to determine the extent to which outcomes are in line with the intended objectives.
Performance Planning	The process of defining an employee's job and setting a jointly agreed performance targets within a specific period.
Policy Statement	The Local Government Service has a responsibility to provide high quality services to ensure fulfilment of its mandate, and is committed to ensuring that all employees are given opportunity to deliver and maintain a high level of performance at work. It aims to support employees to work effectively.
Q	
Quality Assurance	A system of maintaining standards in a programme/product by testing a sample of the output against the specification and to confirm its authenticity.
S	
Scheme of Service	Scheme of service provides specific areas of training, development and learning for serving officers to build their capacity for effective and efficient performance and prepare for higher responsibilities.
Scheme of Service of Training	These programmes provide specific areas of training, development and learning for service officers to build their capacity in the following areas: (i) Professional development courses; (ii) Tertiary certificates, diplomas and degrees; (iii) Competency/Proficiency based programmes.
Specialist Programmes	These programmes cover the following areas: (i) Programmes targeted at specific LGS functions; (ii) Programmes targeted at particular technical needs. The aim is to create internal pool of experts to match the external training service providers.
Strategic Evaluation	An evaluation of a particular issue aiming to advance a deeper understanding of the issue and reduce the range of uncertainties associated with the different options for addressing it. Strategic Evaluation is done when the urgency of an issue poses high risks to stakeholders or has generated conflicting views. A study of this nature will help to reach an acceptable working agreement among the parties concerned.
Study Tour	A travel experience with specific learning goals of each study tour vary, but are always spelt out in the course syllabus that is distributed to each learner before the tour.

T	
Target	A specified objective that indicates the number, timing and location of that which is to be realised.
Thematic Evaluation	A Thematic Evaluation or study is used to assess the effectiveness of thematic policies, programmes and projects from the experiences gained during implementation of sector strategies.
Training	The process of imparting specific knowledge and developing skills of staff to make them perform their jobs effectively.
Training Needs Assessment	The purpose of TNA is to understand the context, the people, the working environment and to identify the gap between the requirement of the job and the knowledge, skills and attitude needed to perform.
V	
Validation	The process of cross-checking to ensure that the data obtained from one monitoring method are confirmed by the data obtained from a different method.
Validity	The extent to which something is reliable and actually measures up to or makes a correct claim. This includes data collection strategies and instruments.