

Government of Ghana



MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT

District Assembly Performance Assessment Tool (DPAT)

OPERATIONAL MANUAL

1st cycle
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List of Abbreviations

AAP	Annual Action Plan
ARIC	Audit Report Implementation Committee
AS	Audit Service
CAGD	Controller and Accountant General's Department
CB	Capacity Building
CBG	Capacity Building Grant
DA	District Assembly
DACF	District Assemblies Common Fund
DACF RFG	District Assemblies Common Fund Responsiveness Factor Grant
DANIDA	Danish International Development Assistance
DCD	District Coordinating Director
DCE	District Chief Executive
DDF	District Development Facility
DESSAP	Development of Environmental Sanitation Sub-Sector Strategy and Action Plan
DPAT	District Assembly Performance Assessment Tool
DPCU	District Planning Coordinating Unit
EC	Executive Committee
ESIA	Environmental and Social Assessment
FOAT	Functional and Organisational Assessment Tool
IGF	Internally Generated Funds
ILGS	Institute of Local Government Studies
LI	Legislative Instrument
LOGNET	Local Government Network
M&E	Monitoring and Evaluation
MCs	Minimum Conditions
MLGRD	Ministry of Local Government and Rural Development
MMDAs	Metropolitan, Municipal and District Assemblies
MoF	Ministry of Finance
MTDP	Medium Term Development Plan
NALAG	National Association of Local Authorities in Ghana
NDPC	National Development Planning Commission
ODACF	Office of the Administrator, District Assembly Common Fund
OHLGS	Office of Head of Local Government Service
OM	Operation and Maintenance
PBGS	Performance Based Grant System
PMs	Performance Measures
PPA	Public Procurement Act
RCCs	Regional Coordinating Councils
RFG	Responsive Factor Grant
RPCU	Regional Planning Coordinating Unit
SC	Steering Committee
SWAp	Sector Wide Approach
ToR	Terms of Reference
TWG	Technical Working Group

Foreword

1.0 INTRODUCTION

1.1 Background

The Government of Ghana since 2008 implemented a Performance Based Grant System (PBGS) known as the District Development Facility (DDF) as part of efforts to improve the performance of District Assemblies in terms of efficiency, accountability and delivery of basic community services. Under the DDF mechanism, District Assemblies were assessed on indicators using the Functional Organisational Assessment Tool (FOAT). Assemblies that performed satisfactorily were financially rewarded to implement their Medium-Term Development Plans (MTDPs) and Annual Action Plans (AAPs) which largely contributed significantly to the advancement of the socio economic development of citizens.

After 10 years of implementation, the Government of Ghana decided to mainstream the good practices of the DDF into the District Assemblies Common Fund¹ (DACF) through the responsiveness factor. A new assessment tool known as District Assemblies Performance Assessment Tool (DPAT) has been developed building on the lessons learnt from the FOAT.

1.2 Purpose of the Manual

This manual is developed to foster effective assessment of the performance of District Assemblies by providing operational guidance for the management, implementation and administration of the DPAT. It outlines the principles, processes and indicators for the assessment of Metropolitan, Municipal and District Assemblies' (MMDAs) performance.

1.3 Users of the Manual

- Ministry of Local Government and Rural Development (MLGRD), Ministry of Finance (MoF) and other Ministries, Departments and Agencies (MDAs) involved in the management of the DACF
- Office of the Administrator, DACF
- Office of the Head of the Local Government Service (OHLGS)
- Members of Parliament (Parliamentary Select Committee on Local Government and Rural Development)
- Audit Service
- Functionaries of MMDAs
- Regional Coordinating Councils (RCCs)
- Civil Society and the general public

¹ The District Assemblies' Common Fund (DACF) is a pool of resources created under Article 252 of the 1992 constitution of Ghana. It is a minimum of 5.0% of the national revenue set aside to be shared among all District Assemblies in Ghana with a formula approved by Parliament.

- Consultants
- Development Partners (DPs)

2.0 DISTRICT PERFORMANCE ASSESSMENT TOOL (DPAT)

The DPAT is a diagnostic instrument for assessing the performance of MMDAs and for determining the allocation of the DACF Responsiveness Factor Grant (RFG) to MMDAs.

2.1 Objectives of the DPAT

- Provide information on District Assemblies' compliance with legal and regulatory framework.
- Obtain performance information on the functional capacity of District Assemblies
- Identify capacity gaps of District Assemblies.
- Establish a link between performance and capacity building support.
- Provide a basis for incentivising District Assemblies.

2.2 Guiding Principles

The following principles apply to the development of DPAT and the performance assessment process:

- The MMDAs are strictly assessed against their legal obligations and issues that fall within their direct span of control;
- The indicators acknowledge the specific legal, political, administrative and fiscal environment in which MMDAs operate.
- The indicators capture the roles and responsibilities of functionaries of MMDAs.
- The assessment process is based on indicators that are objectively verifiable and simple in order to minimise discretion.
- The assessment process facilitates the identification of capacity building needs for institutional strengthening.
- Integrate MMDAs performance assessment and capacity-building interventions into the budgeting cycle.

2.3 Components

The DPAT has two components, namely Minimum Conditions (MCs) and Performance Measures (PMs).

2.3.1 Minimum Conditions (MCs)

The MCs are those conditions that a District Assembly (DA) needs to fulfil in order to qualify to access the Basic Grant of the DACF Responsiveness Factor Grant (RFG). The MCs are formulated under the following five (5) themes:

1. Functional Capacity of the Assembly
2. Planning and Budgeting
3. Financial Management and Accounting
4. Public Procurement
5. Plan Implementation

The MCs to be fulfilled are as follows:

- Assembly meetings according to minimum requirements
- Meetings of the Sub-Committees of the Executive Committee and Public Relations and Complaints Committee of the Assembly
- Composition of District Planning Coordinating Units (DPCUs) based on the National Development Planning Commission's (NDPC) guidelines for the operationalisation of DPCUs
- Composite Budget prepared based on the composite Annual Action Plan (AAP)
- AAP of MMDAs formulated based on Departmental AAPs
- Approval of the budget
- Functionality of the Budget Committee
- Preparation and submission of Monthly Financial Reports
- Annual Financial Statement of Accounts prepared and submitted
- Functionality of Internal Audit Unit
- No comments on financial irregularities in audits
- Prompt response to external audit Management Letters
- Functionality of Budget Committees
- District procurement plan prepared based on Public Procurement Act (PPA) 663 of 2003 and Public Procurement Amendment Act 2016 (Act 914)
- Progress reports submitted on implementation of activities in the AAP
- Inclusion of key stakeholders in plan implementation, monitoring and other activities of MMDAs

See Annex 1 for details.

2.3.2 Performance Measures (PMs)

The PMs are those conditions that will be used to determine each MMDA's share of the Performance Grant of the DACF Responsiveness Factor Grant. The PMs involve detailed indicators to measure performance and are classified under ten (10) sub-themes as follows:

1. Management, Coordination, Monitoring and Evaluation
2. Functional capacity in Planning

3. Financial Management and Auditing
4. Procurement
5. Accountability, Transparency, and Participation
6. Social inclusion and Service Delivery
7. Environment and Climate Change
8. Capacity Building
9. Sanitation
10. Local Economic Development

A summary of the thematic areas and the maximum scores that can be obtained is presented in Table 1.

Table 1: Summary of Scores for each DPAT Thematic Area

Performance Measures	Maximum Score
Management, Coordination, Monitoring and Evaluation	7
Functional capacity in Planning	7
Financial Management and Auditing	30
Procurement	10
Accountability, Transparency, and Participation	9
Social inclusion and Service Delivery	7
Environment and Climate Change	9
Capacity Building	5
Sanitation	11
Local Economic Development	5
Total	100

See Annex 1 for details.

3.0 THE ASSESSMENT PROCESS

The assessment process is critical for guaranteeing the credibility of the performance-based grant system. Therefore, it is imperative to conduct the assessment in a transparent and non-compromising manner to ensure the continuous integrity and broad acceptability of the results.

The assessment process is in three phases as follows:

- Pre-assessment phase
- The assessment phase
- Post-assessment phase

3.1 The Pre-assessment phase

The following activities are undertaken:

- Recruitment of Consultants through a competitive bidding process as prescribed in the Public Procurement Act, 2003 Act 663 and Public Procurement Amendment Act 2016 (Act 914).
- Orientation of Consultants on the indicators, scoring and reporting formats.
- Sensitization of MMDAs and the RCCs.
- Notification of MMDAs on the assessment schedule prior to the commencement of the assessment.

3.2 The assessment phase

The assessment is conducted based on the indicators of the MCs and PMs. Details of the indicators are described in Annex 1.

The following activities are undertaken during the assessment:

- Consultants undertake a two-day assessment of each assigned MMDA.
- Consultants hold introductory meetings with key district officials under the leadership of the District Chief Executive (DCE), the District Coordinating Director (DCD) and Presiding Member (PM) to set the agenda for the assessment.
- The MLGRD, RCCs and members of the Technical Working Group (TWG) will monitor the assessment process.
- Consultants will hold an exit meeting with the leadership of the MMDA upon completion of an assessment.

Consultants **MUST** submit a draft assessment report to management of the MMDA with an assessment report form signed by the DCE, DCD, and the authorised representative of the Consultant (i.e., Team Leader) attached to the report irrespective of the outcome of the assessment.

3.2.1 *Identification of Capacity Building Needs*

Identification of capacity building needs of the MMDA is a key element of the assessment process. The consultants will assist the MMDA to determine their capacity building (CB) needs through the following steps:

- Identify logistics, skills and organisational gaps based on the MCs and PMs.
- Analyse and establish the specific implications of the capacity gaps.
- Document all the capacity needs in the format provided.

At the end of the assessment, the Lead Consultant will submit an Assessment Report to the MLGRD on each of the assigned MMDAs using the formats provided.

The Assessment Reports will include an explicit reference to the nature and substance of any disagreement.

3.3 Post-assessment phase

3.3.1 Validation of the assessment reports submitted by consultants

The MLGRD, upon receipt of draft assessment reports from the consultants, will validate the accuracy and consistency of the responses to the indicators and scores under MCs and PMs. In a situation where there is a correction to be made in the consultant's draft assessment report, the consultant will be required to notify the relevant MMDA of the correction.

3.3.2 Complaints

3.3.2.1 Complaint Procedures

Where an MMDA is not satisfied with the outcome of the assessment, a written complaint should be submitted to the Minister, MLGRD not later than two weeks after official notification (exit conference, validation and SC decision).

In submitting the complaint, the MMDA must enclose all relevant documentation in support of the issue(s) in question. A Complaints Resolution Committee will review the complaint and recommend necessary action.

3.3.2.2 Composition of Complaints Resolution Committee:

- Chair, Technical Working Group (TWG)
- Ministry of Local Government and Rural Development (MLGRD)
- Office of the Head of Local Government Service (OHLGS)
- Office of the Head of Civil Service (OHCS)
- Office of District Assemblies Common Fund (ODACF)
- National Association of Local Authorities of Ghana (NALAG)
- Development Partners (DPs)

The Committee may co-opt any person due to his/her competence and technical expertise about a complaint to assist in finding a solution to the complaint.

The MLGRD will submit a comprehensive report of all complaints and recommendations to the SC based on the reports from the Complaints Resolution Committee. Necessary action recommended by the SC shall be taken within one month upon receipt of the complaint.

Possible outcomes of the review of complaints are the following:

1. Correction of errors
2. Re-assessment in case of a major deviation
3. Rejection of the complaint

3.3.3 Notification of assessment score

The Minister for Local Government and Rural Development will provide official notification of assessment scores to all MMDAs after SC decision.

3.3.4 Consolidation of assessment results

Following the validation and subsequent submission of the final reports by the consultants, the individual results as well as capacity building needs of the MMDAs will be consolidated by the MLGRD with the support of the Technical Working Group.

3.3.5 Consolidation of capacity building needs by OHLGS

The OHLGS will consolidate capacity building needs of all the MMDAs and prepare a mandatory (generic) capacity building plan and budget for review and approval by the Steering Committee (see Sect. 5.1.1).

3.3.6 Preparation of Consolidated Assessment Report

The MLGRD will prepare a consolidated report based on the reports received from the Consultants. The consolidated report will contain an analysis of MMDAs' performance and the individual MMDA scores for the DACF Responsiveness Factor Grant.

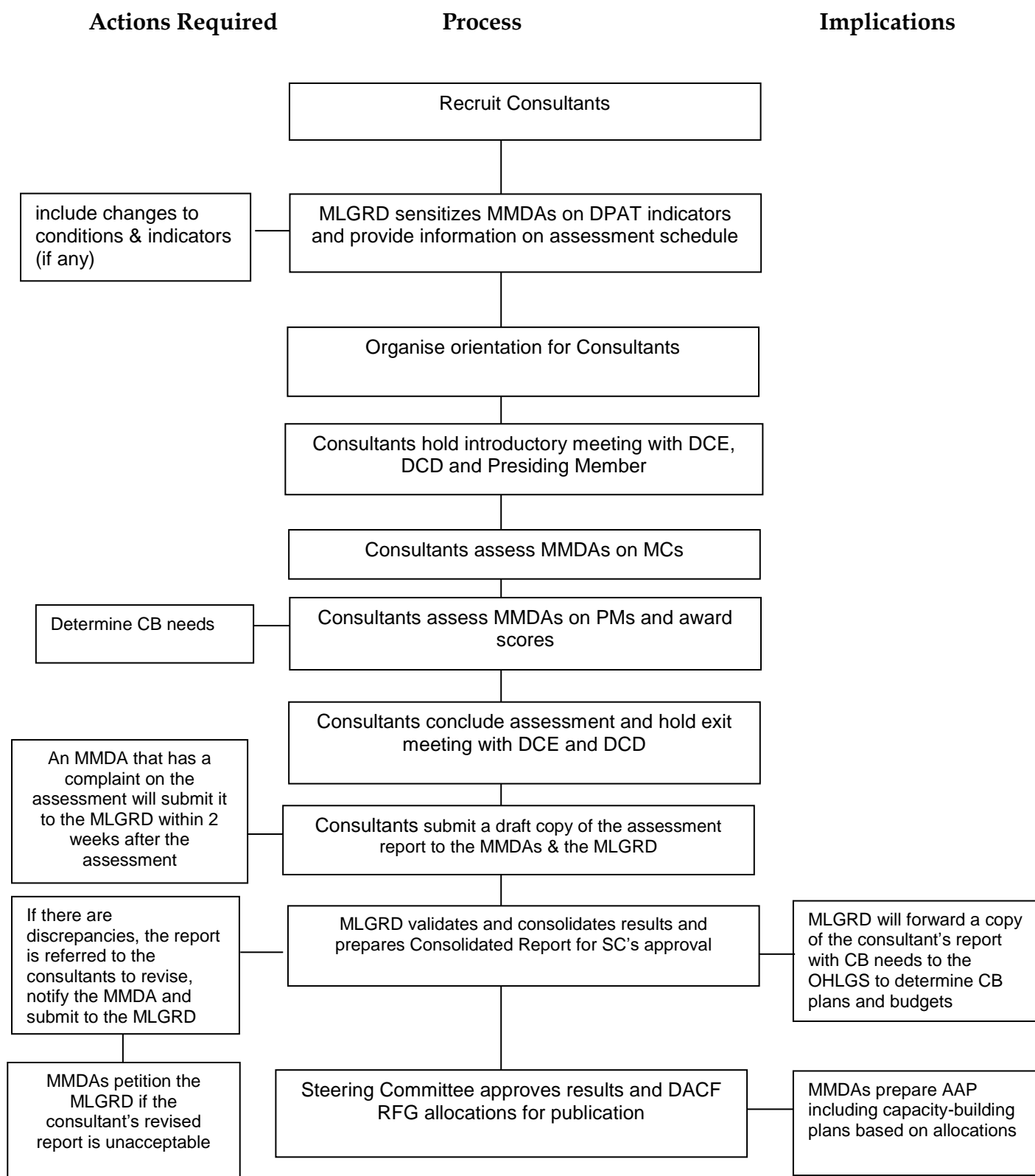
3.3.7 Approval of assessment results by the Steering Committee

The consolidated performance assessment report and copies of assessment reports of all MMDAs will be submitted by the MLGRD for the consideration of the TWG, and subsequently for the Steering Committee's approval.

3.3.8 Dissemination of approved assessment results

To ensure transparency and accountability of the assessment, and to increase stakeholders' involvement, the MLGRD will publish (print media and MLGRD website) the assessment scores and the final consolidated performance assessment report.

4.0 FLOW CHART OF THE ASSESSMENT PROCESS



5.0 GOVERNANCE OF THE PERFORMANCE ASSESSMENT PROCESS

5.1 Steering Committee (SC)

A Steering Committee chaired by the Minister for Local Government and Rural Development exercises oversight responsibility over the management and administration of the DPAT/DACF RFG.

The SC which meets at least twice in a year has the following institutional representation:

- Ministry of Local Government and Rural Development (MLGRD)
- Ministry of Finance (MoF)
- Office of the Administrator, District Assemblies Common Fund (ODACF)
- Inter-Ministerial Coordinating Committee (IMCC) Secretariat
- National Development Planning Commission (NDPC)
- Office of the Head of the Local Government Service (OHLGS)
- Office of Head of Civil Service
- Institute of Local Government Studies (ILGS)
- Audit Service
- Controller and Accountant General's Department (CAGD)
- National Association of Local Authorities in Ghana (NALAG)
- Civil Society Representative (LOGNET)
- Development Partners (DPs)

5.1.1 Responsibilities of the Steering Committee (SC)

- Provide policy guidance and direction to the implementation of MMDAs' performance assessment.
- Approve results of MMDAs assessment, corresponding allocations and ensure their publication.
- Consider recommended actions on complaints of MMDAs and determine necessary action to be taken.
- Approve revisions to strengthen the assessment system
- Endorse work plans and budgets of relevant institutions for the management and implementation of MMDAs' performance assessment.
- Review reports of relevant implementing institutions.

5.2 Technical Working Group (TWG)

The TWG provides technical backstopping to the SC. The Technical Working Group is chaired by the Executive Secretary of the IMCC Secretariat and consists of representatives from the following institutions:

- Ministry of Local Government and Rural Development (MLGRD)

- Ministry of Finance (MoF)
- Office of the Administrator, District Assemblies Common Fund (ODACF)
- Inter-ministerial Coordinating Committee (IMCC) Secretariat
- National Development Planning Commission (NDPC)
- Office of the Head of the Local Government Service (OHLGS)
- Office of Head of Civil Service
- Institute of Local Government Studies (ILGS)
- Audit Service
- Controller and Accountant General’s Department (CAGD)
- National Association of Local Authorities in Ghana (NALAG)
- Civil Society (LOGNET)
- Relevant Development Partners (DPs)

5.2.1 Responsibilities of the Technical Working Group (TWG)

- Support the MLGRD to collate and analyse MMDAs’ performance data.
- Assist in the preparation of Terms of Reference (ToR) for MMDAs performance assessment
- Collaborate to assist in the orientation of consultants selected to conduct the performance assessment
- Coordinate periodic review of indicators in the DPAT
- Monitor activities implemented related to the assessment
- Perform any other functions assigned by the SC

5.2 Roles and Responsibilities of National Institutions

5.2.2 Ministry of Local Government and Rural Development (MLGRD)

- Recruit Consultants to assess the performance of MMDAs
- Organise orientation for Consultants prior to the assessment
- Sensitise MMDAs on indicators of the DPAT
- Manage and coordinate annual performance assessment of MMDAs
- Monitor Consultants during the assessment
- Submit assessment scores to the SC for approval before
- Transmit approved scores to the ODACF
- Present annual workplan and budget to TWG for review before it is submitted to the SC for approval
- Submit a harmonised report of all complaints to the SC for consideration
- Liaise with MoF to mobilise resources
- Authenticate eligibility of MMDA’s planned projects and compliance with environmental and social safeguards.
- Provide data on capacity building needs to the OHLGS.
- Develop a comprehensive monitoring and evaluation system for assessing MMDAs performance.

5.2.1 Ministry of Finance (MoF)

- Ensure timely release of funds to the ODACF
- Comply with provisions of financial agreements between GoG and DPs.
- Resource Audit Service adequately to conduct annual audit of MMDAs

5.2.3 Office of the Head of Local Government Service (OHLGS)

The Office of the Head of Local Government Service performs the following functions:

- Collate capacity building needs from MMDAs performance assessment data
- Coordinate generic and demand driven capacity building training activities
- Identify generic training needs based on MMDAs performance assessment to recruit service providers to deliver training to MMDAs
- Notify MMDAs through RCCs on demand driven capacity building training activities
- Quality assure all training programmes
- Submit generic annual training plan and budget to SC for consideration
- Organise orientation for accredited service providers on demand driven capacity building activities.
- Collate and analyse demand driven and generic capacity building reports
- Submit consolidated CB report to the SC based on generic and demand driven CB activities

5.2.4 Inter-Ministerial Coordinating Committee on Decentralisation (IMCC)

The IMCC coordinates the activities of relevant institutions and will perform the following functions:

- Lead the Technical Working Group (TWG)
- Facilitate periodic review of Operational Manuals for the assessment

5.2.5 Office of the District Assemblies Common Fund (ODACF)

- Expand and incorporate criteria for allocating the DACF RFG into the DACF formula for Parliamentary approval
- Allocate to MMDAs and other relevant institutions based on workplans and budgets approved by SC
- Disburse the DACF RFG

5.2.6 Institute of Local Government Studies (ILGS)

- Deliver selected generic training programmes as agreed with OHLGS

- Submit to the OHLGS, reports and documentation on training programmes executed by the Institute
- Provide quality assurance services to MMDAs on demand driven capacity building activities

5.2.7 Audit Service

The Audit Service (AS) will perform annual operational audits of all MMDAs and other beneficiary agencies. In addition, they will perform special audits, as requested by the SC to address problems identified through regular monitoring. The specific functions of the Audit Service are:

- Carry out annual audits of all MMDAs and other beneficiary agencies.
- Submit annual audit reports on DACF RFG to the MLGRD.

5.2.8 Regional Coordinating Councils (RCCs)

The main roles and responsibilities of the Regional Coordinating Councils (RCCs) with respect to the implementation of DACF RFG are:

- Provide technical support to MMDAs
- Review and collate district annual action plans and budgets on the utilization of DACF RFG funds and submit consolidated reports to the MLGRD/OHLGS within two weeks of receiving the annual action plan
- Monitor and evaluate the implementation of district annual action plans and budgets
- Submit quarterly and annual monitoring reports that include DACF RFG related operations to the ODACF, NDPC and MLGRD

5.2.9 District Assemblies

District Assemblies will plan, implement and account for funds in accordance with GoG planning, budgeting and financial management systems in accordance with the Financial Administration Act.

The MMDAs will:

- Prepare annual action plans and budget including DACF RFG in line with the DMTDP and submit it to RCC/MLGRD by the end of November
- Ensure that demand driven capacity-building needs form an integral part of the Annual Action Plan for implementation in the following year
- Acknowledge to ODACF/MLGRD within two weeks of receipt of DACF RFG funds
- Utilize DACF RFG based on existing public financial management regulations

- Conduct environmental and social impact assessment on infrastructure projects
- Submit monthly and annual financial reports to ODACF/MLGRD
- Submit quarterly and annual progress reports on investment grant to the RPCU, ODACF, MLGRD and NDPC
- Submit quarterly and annual progress report on capacity building grant to OHLGS, ODACF, RPCU and NDPC

All MMDAs will keep records of receipts and disbursements for the period in accordance with GoG procedures.

MMDAs will keep the requisite books of accounts and records (including cash books, expenditure analysis ledgers, stock ledger, fixed assets register, funds ledger, contract register and working advances and payable ledger);

All contracts and consultancy services must be procured in accordance with the Public Procurement Act with emphasis on competitive bidding.

6.0 MONITORING, REPORTING AND REVIEW PROCESS

Monitoring, reporting and review of the performance assessment process will be coordinated by the TWG and will entail the following:

- Task monitoring teams to quality assure MMDAs' performance assessment
- Periodically review indicators of the DPAT
- Create and update a database annually on assessment scores
- Periodically analyse MMDAs' performance data for reference, comparison and decision making

6.1 Monitoring Schedule

Table 2: Activity Schedule for Monitoring

Activity	Responsibility	Timeline	Recipient
Prepare ToR for monitoring	MLGRD	2 months before assessment	Monitoring Team
Set up Monitoring Team	MLGRD	1 month before assessment	Monitoring Team
Prepare a Monitoring work plan.	Monitoring Team/MLGRD	2 weeks before assessment	Monitoring Team
Conduct orientation sessions	MLGRD	1 week before assessment	Consultants
Undertake Field Monitoring	Monitoring Team	During assessment	MMDAs (& Consultants?)

Activity	Responsibility	Timeline	Recipient
Prepare and collate monitoring reports	Monitoring Team	1 week after the monitoring	MLGRD
Submit findings of monitoring report	MLGRD	First SC meeting upon completion of MMDAs performance assessment	SC

Annex 1: Outline of Minimum Conditions and Performance Measures

DPAT MINIMUM CONDITIONS (MCs)

Minimum Condition	Indicators	Information Source and Assessment Procedure	Means of Verification	Fulfilled (√)	Not Fulfilled (√)
1. Functional Capacity of Assembly	1.1 Assembly meeting according to minimum requirements	From the District Coordinating Director (DCD) receive a copy of invitation letters, list of participants and signed minutes of three ordinary meetings of the General Assembly held in 2016. i. If the assembly has held at least three ordinary meetings and minutes duly recorded and signed by both PM and DCD in 2016; ii. If actions have been taken on all decisions based upon the previous meetings and results achieved iii. If Participant list is available, the MC is fulfilled. <i>(Local Government Act, Act 462, Section 18)</i>	Invitation letters, list of participants and minutes of meeting		
	1.2 Meetings of the Sub-committees of the Executive Committee and Public Relations and Complaints	From the DCD receive and confirm the composition, attendance and minutes of the meetings of the 5 Statutory Sub-Committees in 2016.	Invitation letters and minutes of meeting		

	<p>Committee of the Assembly</p>	<p>If each of the 5 Statutory Sub-committees held at least one meeting prior to each of the three meetings of the EC/A in 2016 and minutes are recorded and signed by both the secretary and the chairperson of sub-committees and, If PRCC is functional and Minutes of meetings, recommendations and evidence of Actions taken and results achieved are available, then MC is fulfilled</p> <p><i>(Local Government Act, Act 462, section 24)</i></p>			
<p>2. Functional Capacity in Planning & Budgeting</p>	<p>2.1 Composition of a DPCU based on the Guidelines for the Operationalisation of DPCUs</p>	<p>From the DCD obtain information on membership and signed minutes of the quarterly meetings as well as dated invitation letters to members of the DPCU (11)</p> <ul style="list-style-type: none"> i. If a minimum of 8 heads of departments attended i. If a minimum of one week notice of the meeting was given; i. If actions have been taken on previous decisions and results achieved and v. If each meeting minutes were duly recorded and signed by both the Secretary and the Chairman, the MC is fulfilled. 	<p>Invitation letters and minutes</p>		

		<p><i>(Guideline for Operationalisation of DPCUs & RPCUs, 2004, Section 2.2)</i></p> <p>NDPC Guidelines</p>			
	<p>2.2 Composite budget has been prepared based on Composite AAP</p>	<p>From DCD receive a copy of the 2017 approved Composite Budget and Annual Action Plan (AAP)</p> <p>If all programmes and projects in the Composite Budget are from the 2017 AAP, the MC is fulfilled.</p> <p><i>(Section 2.1 of Composite Budget Manual)</i></p>	<p>Approved Composite Budget, AAP</p>		
	<p>2.3 Work planning by departments of the District Assembly</p>	<p>From the DCD receive copy of 2016 Annual Action Plans (AAPs) of all existing departments (Schedule 1) and review this in line with 2016 Composite AAP of the District Assembly.</p> <p>If all programmes and projects in 2016 composite AAP of the Assembly are from the AAPs of the existing departments of the Assembly, the MC is fulfilled.</p> <p><i>(Local Government Act, Act 462 & L.I 1961)</i></p>	<p>Approved Composite Budget, AAP, Departmental AAPs</p>		

	<p>2.4 Approval of the Budget</p>	<p>From the DCD obtain minutes of General Assembly meeting for the approval of the 2017 budget</p> <p>If the budget was presented by the Executive Committee to the General Assembly and approved latest by 31st October 2016.</p> <p>Then the MC is fulfilled</p> <p><i>(Section 11 of the Local Government Act 462 , composite budget guidelines</i></p>	<p>Minutes of General Assembly meeting</p>		
<p>3. F3. Functional Capacity in Financial Management & Accounting</p>	<p>3.1 Functionality of Budget Committee</p>	<p>From the DCD receive information on the composition and functionality of the Budget Committee.</p> <p>If Budget Committee was functional and duly submits recorded and signed minutes of at least 4 quarterly meetings with minimum of 8 out of 11 for District Assembly, 10 out of 13 for Municipal Assembly and 13 out of 16 for Metropolitan Assembly of members present, the MC is fulfilled.</p> <p><i>(Regulation 150 & 151, Financial Administration Regulations: LI 1802)</i></p>	<p>Minutes</p>		

	<p>3.2 Preparation and submission of monthly financial reports</p>	<p>From DCD obtain and review copies of monthly financial reports (Trial Balance, Revenue and Expenditure Statement, Balance Sheet and Notes to the Accounts, Cash analysis returns) and Transcript prepared and submitted to CAGD and DACF</p> <p>If all monthly (12) financial reports for 2016 were prepared in the manner prescribed above and submitted to CAGD and Transcript to DACF within 15 days after the month to which they relate and confirmed in the dispatch book, the MC is fulfilled.</p> <p><i>(Part VII, Section 75 of the Financial Memoranda, 2004 of the MLGRD)</i></p>	<p>Messenger’s receipt Dispatch books</p>		
	<p>3.3 Annual Financial Statement of Accounts prepared and submitted.</p>	<p>From the District Office of the Audit Service obtain information on whether the Annual Statement of Accounts for 2016 has been submitted by the 31st March 2017.</p> <p>If the Annual Statement of Accounts for 2016 was prepared and submitted by 31st March 2017, the MC is fulfilled.</p>	<p>Letters receipt book</p>		

		<i>(Financial Administration Act, and Financial Administration Regulation LI1802, Financial Memorandum)</i>			
	3.4 Functionality of Internal Audit Unit	<p>From the DCD obtain quarterly Internal Audit Reports submitted to the Presiding Member through the DCD of the Assembly.</p> <ul style="list-style-type: none"> i. If all quarterly Internal Audits have been conducted and ii. If the quarterly reports have been submitted to the Presiding Member of the Assembly 30 days after the end of the quarter, and iii. If actions have been taken on the recommendations and results achieved, the MC is fulfilled <p><i>Section 120(3) of the Local Govt. Act 462</i></p>	<p>Internal Audit Reports</p> <p>Management response</p>		
	3.5 No financial irregularities in audits conducted.	<p>From the DCD receive a copy of the Auditor General’s Annual Audit Reports for 2016.</p> <ul style="list-style-type: none"> i. If the 2016 Auditor General’s Annual Audit Reports have no financial irregularities reported on embezzlement and /or misappropriation; and ii. If the sum total of Cash irregularities is less than 1% of the 	<p>Both Auditor-General’s Reports for 2016 on IGF and DACF and other Statutory Funds</p>		

		<p>consolidated expenditure of the Assembly for 2016, and</p> <p>iii. If the sum total of all other financial irregularities is less than 5% of the consolidated expenditure of the Assembly for 2016 then the MC is fulfilled.</p> <p>Percentage of financial irregularities is calculated as: (financial irregularities/ total expenditure) * 100 for Cash and other irregularities</p> <p><i>(Financial Administration Act, 654, Financial Administration Regulation, LI1802/ and Financial Memorandum)</i></p> <p><u>Proposed detail financial Irregularities to include are:</u></p> <p><u>Cash Irregularities:</u> <i>Unapproved loans, Unapproved overdraft, Direct disbursement from revenues, Revenue collected but not accounted for, Un-presented value books, Unsubstantiated payments, Unrecovered loans, Unearned salaries, Unrecovered rent and imprest, Missing PVs, Failure to pre-audit PVs & warrants, Fuel purchases and vehicle maintenance cost not recorded in the vehicle log book.</i></p>			
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		<p><u>Contract Management Irregularities:</u> <i>Award of contract not covered by PPL, Payment without engineer’s certificate, Payment without bank guarantee, Overpayment of contract sum, Unsubstantiated payments, Payment of contingencies without justification, Failure to pay retention after the defect liability period, Variation of contract without approval, Completed projects not in use, Abandoned projects.</i></p> <p><u>Procurement and Stores Irregularities:</u> <i>Non-competitive procurement, Purchase without multiple quotations, Unsubstantiated payments, Unrecorded stores, Stores not accounted for, Fuel not accounted for, Purchase not recorded in store ledger, breaking of bulk to circumvent PPA provisions, Payments for goods not supplied, Good not routed through stores;</i></p> <p><u>Tax Irregularities:</u> <i>Statutory tax/social security irregularities, Purchase from non-VAT registered entities, Failure to withhold tax, Failure to obtain VAT invoices for payment, Penalty for delayed tax or SSNIT payment.</i></p>			
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	<p>3.6 Prompt responsiveness to recommendation in the External Audit Management Letters</p>	<p>From DCD obtain evidence on queries from the Management Letter for 2016 on the External Audit and whether the Report was submitted to the Audit Report Implementation Committee (ARIC) within the specified period and actions taken on the queries.</p> <p>If the Management Letter was submitted to ARIC/ Audit Committee by Management and Management responded on appropriate action taken on all recommendations and the report submitted to GAS within 30 days of receipt of Management Letter, then the MC is fulfilled.</p> <p><i>(Section 29 of Audit Service Act, Act 584, 2000)/ Act 462</i></p>	<p>Minutes of ARIC meetings ARIC Report</p>		
<p>4. Functional Capacity in Procurement</p>	<p>4.1 District Procurement Plan available and prepared based on Public Procurement Act (PPA) 663 of 2003</p>	<p>From the DCD receive information on the preparation and approval of the 2017 Procurement Plan by 30th November 2016 and obtain quarterly updated Procurement Plans on the Procurement Plan for 2016.</p> <p>i. If the 2017 Annual Procurement Plan is linked to the 2017 Composite Budget</p>	<p>Minutes of entity committee meeting</p>		

		<p>and approved by 30th November 2016 by the Entity Tender Committee as evidenced by meeting minutes and follows the PPA guidelines; and</p> <p>i. If the 2016 quarterly updated Procurement Plans were done and approved by the Entity Tender Committee, the MC is fulfilled.</p> <p><i>(Part III, Section 21, Sub section 1, PPA 663, 2003/ Act 914 on the preparation of procurement plan)</i></p>			
5. Functional Capacity in Plan Implementation	5.1 Progress Reports on the implementation of activities in the Annual Action Plan	<p>From the RCD obtain information on whether the MMDA has submitted four Quarterly and Annual Progress Reports on the implementation of the 2016 Composite Annual Action Plan to the Regional Coordinating Council (RCC).</p> <p>i. If the quarterly reports for 2016 have been submitted by the 15th of April 15th of July, 15th of October 2016 and 15th of January 2017; and</p> <p>ii. If the 2016 annual report was submitted by the 28th of February 2017, then the MC is fulfilled.</p> <p><i>(NDPC District M&E guideline, 2009)</i></p>	<p>Quarterly and Annual Progress Reports</p> <p>RCC receipt book</p> <p>MMDA Dispatch books</p>		

	<p>5.2 Participation: Involvement of key stakeholders in plan implementation, monitoring and other activities of MMDAs</p>	<p>From DCD receive and review implementation reports on key stakeholders’ participation in the implementation of 2016 AAP</p> <p>i. If minutes or records exist for participation by key stakeholders (beneficiaries, DA members and service providers, CSOs) in 80-100% of the activities implemented in 2016 AAP, the MC is fulfilled.</p> <p><i>(Chapter 5, NDPC M&E Guidelines, 2009)</i> <i>Local Government Act 462</i></p>	<p>Implementation reports</p>		
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DPAT PERFORMANCE MEASURES (PMs) - DPAT I (2016) INDICATORS

PMs	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
<p>1. Management Coordination, Monitoring and Evaluation</p> <p><i>Sub-total Score - 7</i></p>	<p>1.1 Meetings of the political structure</p>	<p>From the DCD receive and review the composition, attendance and minutes of the meetings of the Executive Committee/ Authority (EC/ A):</p> <p>If at least a meeting of the EC/ A was held prior to each of the three mandated General Assembly meetings in 2016 and minutes duly recorded and signed by both DCD and DCE respectively, score 3, else score 0</p> <p><i>(Section 22 of the Local Government Act, Act 462)</i></p>	<p>Letters, Minutes of meetings</p>	<p>3</p>	
	<p>1.2 Regular management meetings</p>	<p>From the DCD, receive copies of duly recorded and signed minutes of management (Departments of the District Assembly) meetings held in 2016.</p> <p>If management meetings were held at least quarterly and duly attended by at least minimum of 8 out of 11 for District Assembly, 10 out of 13 for Municipal Assembly and 13 out of 16 for Metropolitan Assembly of heads of departments, score 1 else score 0.</p> <p><i>Local government (Departments of the District Assemblies) (commencement) instrument 2009 as stated under schedule 1)</i></p>	<p>Letters, Minutes</p>	<p>1</p>	

	1.3 Follow up to management meetings	<p>From the DCD, receive signed minutes of meetings and review it against implementation reports on decisions taken in 2016.</p> <p>If at least 85% or more of decisions have been implemented score 3, If 60-84% score 2, below 60% score 0.</p>	<p>Signed minutes,</p> <p>Implementation reports</p>	3	
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PMs	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
<p>2 Functional Capacity in Planning and Budgeting</p> <p><i>Sub-total Score - 7</i></p>	2.1 Publication of draft Annual Composite Budget	<p>From DCD receive documentation of publication of 2017 draft Annual Composite Budget.</p> <p>If the 2017 draft Composite Budget was made available to DA members two weeks before Assembly meeting, score 1, if not score 0.</p> <p><i>(Part V, Section 40 of the Financial Memoranda, MLGRD, Composite Budget, 2004)</i></p>	<p>Forwarding letter to DA members</p> <p>Despatch book</p> <p>2017 draft Annual Composite Budget.</p>	1	
	2.2 Operation and Maintenance (O&M) Plan	<p>From the DCD obtain information on the availability of 2016 O & M plan and compute the percentage of the approved budget for Operation and Maintenance as against capital budget.</p>	<p>O&M plan Budget,</p> <p>Annual financial statement</p>	4	

PMs	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
		<p>If there is a plan for O&M and activities are captured with provisions made in the 2016 annual budget, Score 1</p> <p>If the percentage for O&M is 10% or higher as against the capital budget score 1, If 60% of the budgetary provision for O&M has been disbursed then score 2</p>			
	<p>2.3 Level of plan implementation</p>	<p>From DCD obtain information on the status of implementation of Projects & Programmes based on the Composite Annual Action Plan for 2016.</p> <p><i>Calculation will be as follows:</i></p> <p><i>No. of programmes & projects in composite AAP of 2016 = X</i></p> <p><i>No. of programmes & projects implemented & being implemented in 2016= Y</i></p> <p><i>Total budget in Composite Annual planned budget for 2016 = A GHS</i></p> <p><i>Total budget released in 2016 = B GHS</i></p> <p><i>Calculate the ratio of 2016 annual programmes and projects implemented and are being implemented to 2016 annual planned programmes and projects = Y/X % = M%</i></p>	<p>Annual Action Plan, Implementation/progress reports, Approved budgets, Annual Financial report,</p>	<p>2</p>	

PMs	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
		<p>Calculate the Ratio of Annual Released Budget to Annual Planned Composite Budget = $B/A\% = N\%$</p> <p>Calculate the Ratio of M to N = $M/N\% = R\%$</p> <p>If R% is 90% or more Score 2</p> <p>If R% is 80% - 89% score 1</p> <p>If R% is less than 80% score 0</p>			

PMs	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
<p>3. PFM: Functional Capacity in Financial Management & Accounting</p> <p><i>Sub-total Score - 30</i></p>	<p>3.1 Publication of Annual Statement of Accounts</p>	<p>From the DCD receive documentation of publication of the 2016 Annual Statement of Accounts which should include the following:</p> <ul style="list-style-type: none"> • Balance Sheet; • Revenue and Expenditure Statement; and • Notes to the account. <p>If copies of 2016 Statement of Accounts have been given to DA members, score 2.</p>	<p>Forwarding letter</p> <p>Dispatch book</p>	<p>2</p>	

PMs	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
		Local Government Act, Act 462, Section 125; Part VII, Section 77 of the Financial Memorandum)			
	3.2 Responsive-ness to the Internal Audit observations	<p>From the DCD obtain evidence on ARIC’s comments on the Internal Audit Reports for 2016, and management’s actions on the recommendations.</p> <p>If management (DCE / DCD) has acted on the recommendations in the 4 quarterly internal audit reports score 3, else score 0.</p>	implementati on reports	3	
	3.3 Availability of the External Auditor’s Report	<p>From DCD receive a copy of the latest External Auditor’s Report.</p> <p>If the 2016 (latest) audit report has been made available to the public (Assembly Members, notice boards, website or in other ways) score 1, else score 0.</p> <p><i>(Section 125 of the Local Government Act, Act 462)</i></p>	Letters, websites, notices	1	

PMs	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
	3.4 Revenue Improvement Action Plan	<p>From the DCD obtain a copy of the Revenue Improvement Action Plan and the information on the actual IGF collection.</p> <p>If the actual IGF amount collected in 2016 is 90% and above the estimated IGF in the Revenue Improvement Action Plan score 2 points.</p>	Trial balance, Revenue improvement plan, Financial statement	2	
	3.5 Absolute Size of IGF	<p>From the DCD obtain information on average annual growth in IGF between 2015 and 2016.</p> <p>If growth is equal or higher than 30% for Metropolitan, 20% for Municipal and 10% District Assemblies, score 2 else score 0.</p>	Trial balance for Dec. 2015 & Dec. 2016	2	
	3.6 Share of Internally Generated Fund (IGF) used for Development Expenditure	<p>From the DCD obtain information from the 2016 trial balance on the use of the IGF for development (investment) and maintenance.</p> <p>If more or at least 20% of MMDA’s IGF was spent on investment and maintenance in 2016, score 2, else score 0.</p>	Annual Financial statement	2	
	3.7 Share of Internally Generated Fund (IGF) to departments	From the DCD obtain information on IGF budget allocation and releases to the Departments.	Annual Financial statement,	3	

PMs	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
		<p>If 10% or more of IGF has been released to departments of the Assembly excluding central administration, score 2</p> <p>If the releases were initiated through memos emanating from the departments score additional 1</p>	<p>Trial balance, Memos from departments. Annual budgets</p>		
	3.8 Property Rate Collection	<p>From the DCD obtain information on the Property Rate collection for 2016.</p> <p>If the year on year percentage growth in Property Rate Collection between 2015 and 2016 was 30% or more, score 5 points.</p> <p>If it was 20% and less than 30%, score 2 points.</p> <p>If it is lower than 20%, score 0 point. <i>The 'year-on-year percentage growth' should be calculated by subtracting the last year figure from this year's figure and dividing the difference with last year's figure and multiply it with 100.</i></p>	<p>Annual Financial statement, Trial balance</p>	5	
	3.9 Revenue from Building Permits	<p>From the DCD obtain information on revenue from Building Permit Fees for 2016.</p> <p>If the year-on-year percentage growth in Building Permit Fees is more than 30%, score 4 points</p>	<p>Annual Financial statement, Trial balance</p>	4	

PMs	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
		<p>If it is more than 20% but less than 30%, score 1 point</p> <p>If it is lower than 20 %, score 0 point.</p> <p><i>The 'year-on-year percentage growth' should be calculated by subtracting the last year figure from this year's figure and dividing the difference with last year's figure and multiply it with 100.</i></p>			
	<p>3.10 Revenue from Business Operating Permits</p>	<p>From the DCD obtain information on revenues from Business Operating Permits for 2016.</p> <p>If the year-on-year revenue percentage growth in business-operating permits is more than 20%, score 3 points.</p> <p>If it is more than 10% but less than 20%, score 1 point</p> <p>If it less than 10%, score 0 point.</p> <p><i>The 'year-on-year percentage growth' should be calculated by subtracting the last year figure from this year's figure and dividing the difference with last year's figure and multiply it with 100.</i></p>	<p>Annual Financial statement,</p> <p>Trial balance</p>	<p>3</p>	
	<p>3.11 Revenue sharing between Assembly and Sub-structures</p>	<p>From the DCD obtain information (payment voucher/ receipts) on transfer or remittance of 50% of revenue collected to sub-structures on behalf of the District Assembly, 2016.</p>	<p>Payment vouchers,</p> <p>Receipts</p>	<p>3</p>	

PMs	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
		<p>If 50% of revenue collected by any of the Sub-structures are remitted, score 2</p> <p>Score additional 1 point, if 50% or more Sub-structures are functioning (defined as collecting revenue), else score 0 (Legislative Instrument, 1967)</p>			

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
4. Procurement <i>Sub-total Score - 10</i>	4.1 Meetings of Procurement Entities	<p>From the DCD obtain information on minutes of meetings of the Entity Tender Committee, 2016.</p> <p>If the Tender Committee met as required by law (at least once in every quarter) and have duly recorded and signed minutes, score 2, else score 0. (Section 17-20 of Public Procurement Act, Act 663)</p>	<p>Invitation letters,</p> <p>Minutes</p>	2	
	4.2 Record on Procurement Proceedings	<p>From the DCD obtain information on the record of Procurement Proceedings.</p> <p>If invitation to tender is available, (publication) score 1.</p>	<p>All Signed contracts</p> <p>Award letters</p>	5	

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
		If signed minutes of tender opening are available score 1 If tender evaluation report(s) is /are available, score 1.... If all awarded contracts have been duly signed, score 2 <i>(Section 28 of Public Procurement Act, Act 663)</i>			
	4.3 Records on Contract Management and Administration	From the DCD, obtain information on contract management and administration If evidence of site meetings exists, score 1 If final completion reports on all completed contracts exist score 2 <i>(Conditions of contract section 3 paragraph E56)</i>	Signed minutes of site meetings, contract register	3	

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
5.0 Accountability, Transparency & Participation	5.1 Public Financial Management (PFM)	From the DCD obtain signed minutes/report on town hall/ consultation meetings on Public Financial Management (PFM) held in 2016.	signed minutes/report on Public	3	

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
<p><i>Sub-total Score - 9</i></p>		<p>If 2 PFM town hall or consultation meetings with civil society participation (as required per existing regulation) and</p> <p>If 1 meeting in the first quarter was about the annual budget performance reporting and the other meeting in the third quarter was on budget/ planning as evident by the minutes of the meetings, score 3 points.</p> <p>If only 1 meeting score 1 If no town hall or consultation meeting was held, score 0 point.</p>	<p>Financial Management</p>		
	<p>5.2 Establishment and functionality of the Public Relations and Complaints Committee (PRCC)</p>	<p>From the DCD receive information on complaints lodged, and actions taken and sensitization</p> <p>If there has been 3 sensitisations, score 2</p> <p>If action has been taken on all public complaints from the client service unit/PRCC, score an additional 3.</p> <p>If no complaint is lodged, score 0 <i>(Section 27 of the Local Government Act, Act 462)</i></p>	<p>Sensitization reports,</p> <p>Minutes of meetings,</p> <p>Complaints register</p>	<p>5</p>	

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
	5.3 Information to the Public	<p>From the DCD receive information on evidence of dissemination of the Assembly’s activities to the public (e.g. public hearings, consultations, publications, available newsletters, letters on notice boards, receipts for radio discussions and announcements).</p> <p>If evidence of dissemination to public exist score 1, else score 0.</p> <p><i>(Chapter 3, Step 10, NDPC M&E Guidelines)</i></p>	<p>Reports on public hearings, consultations, publications, available newsletters, letters on notice boards, receipts for radio discussions and announcements</p>	1	

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
6. Policy implementation towards Social Inclusion and	6.1 Vulnerability and social protection programmes	<p>From the DCD receive the Annual Progress Report:</p> <p>If all Social Protection/ Vulnerability programmes are reported on with sex disaggregated data in the Annual Progress Report, score 2, else score 0.</p>	Annual progress report	2	

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
Service Delivery <i>Sub-total Score - 7</i>					
	6.2 Disbursement of disability funds	From the DCD receive information on disbursement of disability funds. If 100% of disability funds received have been disbursed to support PWDs then score 2	Financial statement, Cash analysis, Report to DACF Bank statement	2	
	6.3 Gender Mainstreaming	From the DCD receive the district’s Annual Action Plan. If there are clear and specific gender mainstreaming programmes and projects addressing the social protection and vulnerability issues and gaps identified, score 2, else score 0. <i>(NDPC District Planning Guidelines section 3.3 step 10 (iv) and (v))</i>	Annual action plan, Annual progress report	2	
		From the DCD receive the Annual Progress Report.		1	

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
		If all gender mainstreaming interventions are reported on with sex disaggregated data in the 2016 Annual Progress Report, score an additional 1; else score 0.			
7.0 Environment and climate change <i>Sub-total Score</i> 9	7.1 Climate Change interventions	<p>From DCD receive information on Climate Change and Disaster Risk Reduction (CC-DRR) programmes in the District.</p> <p>If 5% or more of the programme and (1) project in the 2016 AAP focus specifically on CC-DRR issues score 1, if not score 0.</p> <p>If there is evidence of awareness creation and action taken on prevention and restoration of environmental degradation eg sand winning, deforestation, Score 2, if not score 0</p>	Annual progress Report, AAP	3	
	7.2 Climate Change Data Analysis	<p>From the DCD receive information on Climate change data analysis.</p> <p>If climate change data analysis was conducted in 2016 plan showing list of risks, issues and areas and analysis applied in the planning, then score 1</p>	DMTDP	1	
	7.3 Climate change awareness	From the DCD receive information on Involvement of and information to citizens in climate change (sensitisation).	Sensitization Reports	1	

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
		If sensitization was undertaken, score 1, else score 0			
	7.4 Environmental and social impact assessments	From the DCD obtain information on the number of projects of the Assembly taken through the Environmental and Social Impact Assessment (ESIA)/ Strategic Environmental Assessment (SEA) If all physical projects implemented in 2016 were registered with EPA and permits obtained, Score 2 Else score 0	SEA Report EPA Receipts	2	
		If all projects implemented in 2016 have ESIA/SEA reports, Score 2 Else score 0		2	
8. Capacity building <i>Sub-total Score</i> 5	8.1 Implementation of Training Plan	From the DCD receive a copy of the 2016 implementation of Capacity Building/ training Reports. If 60% or more of programmes in the Training Plan have been implemented, score 2.	Training plans and reports, Needs assessment report	5	
		If all quarterly reports on capacity building activities (both generic and demand driven) have been submitted to OHLGS within 15 days after the end of quarter, score 2.	Forwarding letter Dispatch book		

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
		If all the reports included sex-disaggregated data, score an additional 1.	Quarterly reports		
9. Sanitation <i>Sub-total Score</i> 11	9.1 Development and Update of the District Environmental Sanitation Sub-Sector Strategy and Action Plan (DESSAP)	From the DCD obtain a copy of the DESSAP and Annual Action Plan If provision was made for DESSAP activities in the Assembly’s 2016 Annual Action Plan and approved Composite Budget for implementation, score 1 If 75% of the DESSAP activities in the Action Plan were implemented, score 1 If DESSAP has been updated, score 1 <i>(National Environmental Sanitation Policy 2010 National Environmental Sanitation Strategic action Plan , NESSAP, 2010)</i>	Annual Action Plan and approved Composite Budget for implementation of DESSAP	3	
	9.2 Expenditure on Sanitation	From the DCD receive the district’s 2016 Annual Financial Statement. If the total expenditure on sanitation activities from IGF is at least 10% of the total IGF expenditure, score 3, else score 0 . <i>** What will constitute sanitation activities</i>	Annual Financial Statement	3	

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
		<ul style="list-style-type: none"> - <i>Activities and programmes on Solid Waste Management. This includes collection, haulage or transportation, disposal or treatment or reuse.</i> - <i>Activities and programmes on Liquid Waste Management and Drain Cleansing. This includes containment, collection/sewerage, transportation/conveyance, disposal or treatment or reuse</i> - <i>Activities on food hygiene and safety</i> - <i>Activities on sanitation legislation and enforcement management</i> - <i>Promotion and sensitisation activities</i> - <i>Capacity Building, M & E, Data Management</i> 			
	<p>9.3 Submission of Comprehensive Annual Report</p>	<p>From the DCD obtain a copy of the Annual Report on Sanitation Activities</p> <p>If the Annual Monitoring and Evaluation Data Report is available and was submitted to the DCD by 28th February 2017, score 2;</p> <p><i>(National Environmental Sanitation Policy 2010 National Environmental Sanitation Strategic action Plan , NESSAP, 2010)</i></p>	<p>Annual report on sanitation</p>	<p>2</p>	

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Scoring
	9.4 Progress made in improved sanitation and waste management	From DCD receive copies of the 2015 and 2016 Annual Report If evidence of 5 percent increase in household toilet exist score 3, if not score 0. <i>(National Environmental Sanitation Policy 2010 National Environmental Sanitation Strategic action Plan, NESSAP, 2010)</i>	Annual Report	3	
10. LED <i>Sub-total Score</i> 5	10.1 Establishment of LED platforms (teams)	From the DCD, receive information on the membership of the LED platforms, If the members met and minutes of meeting are available score 1	Minutes, Membership list	1	
	10.2 Integrate LED activities into MTDPs	From the DCD receive a copy of the DMTDP If LED activities have been integrated in the MTDP score 1	MTDP	1	
	10.3 Budget and implementation of LED activities	From the DCD receive copy of the composite budget and annual progress report If LED activities budgeted for in the 2016 composite budget are from the MTDP, score 2 If 50% of LED activities in the composite budget were implemented, score 1.		3	

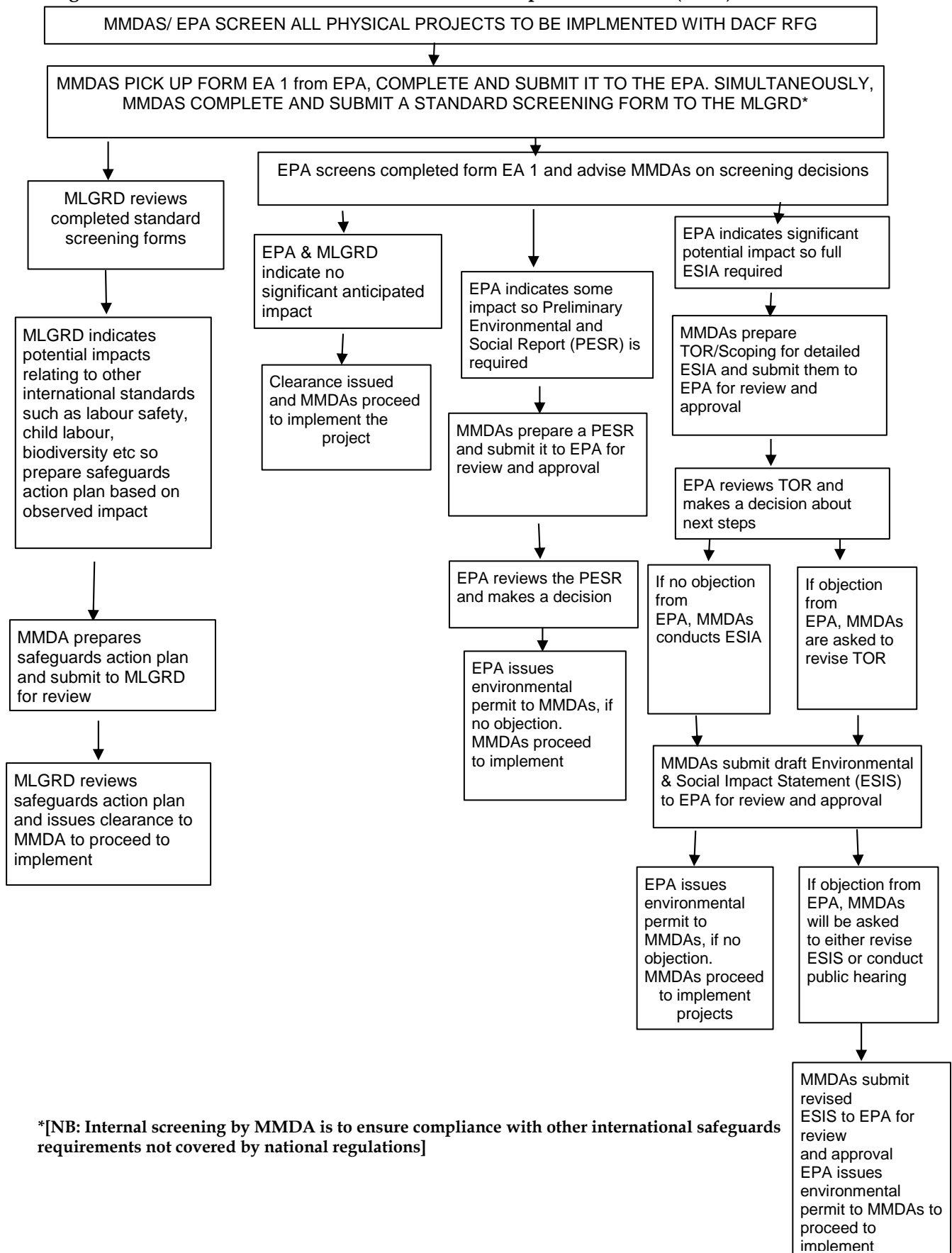
Annex 2: Environmental and Social Safeguards

MMDAs' infrastructure projects financed with the DACF RFG are generally small scale and any anticipated environmental and social impact or risks may be site specific and minimal. Yet, the magnitude of some site-specific impacts or risks may trigger or require environmental and social impact assessment because some projects produce, or are vulnerable to adverse environmental consequences. This is why it is critical for MMDAs to adhere to environmental and social safeguards by complying with relevant laws such as Environmental Assessment Regulations (LI 1652) and other international labour and climate change standards.

The MLGRD will verify projects of MMDAs in accordance with international safeguard requirements such as labour safety, child labour, biodiversity and climate change standards and other emerging social standards based on the standard screening template in **annex 3**. Infrastructure subprojects financed from MMDAs' allocations of the DACF RFG will be screened by respective MMDAs and cleared by the Environmental Protection Agency (EPA). MMDAs **MUST** register subprojects with the nearest EPA's regional, zonal or district office to ensure compliance with existing national regulations.

A step-by-step process of assessing environmental and social impact of DACF RFG projects is outlined in diagram 1.

Diagram 1: A Flow-chart of Environmental and Social Impact Assessment (ESIA)



***[NB: Internal screening by MMDA is to ensure compliance with other international safeguards requirements not covered by national regulations]**

Environmental and social safeguards enforcement procedures

Issues of environmental and social safeguards are important to physical projects such as small-scale civil works financed with the DACF RFG. Important safeguard issues will be included in agreements on the DACF RFG signed between the GoG and DPs. In order to minimize the environmental and social impact of projects under the DACF RFG, all sub-projects shall be screened by the MMDAs under the guidance of the MLGRD unit responsible for enforcing environmental policies, principles and regulations. The Environmental and Social Safeguards Officer at MLGRD will provide technical support to MMDAs on the type and level of environmental and social consequences that may emerge and the requisite safeguards that must be enforced. Given that most of the issues that may emerge are sector and site specific, the procedures outlined below will be used during project formulation, design, implementation and monitoring.

Step 1: The Screening Process

The screening process is the first step in the safeguard compliance process. One objective of screening is to rapidly identify subprojects which have no significant environmental or social impacts so that they can proceed to the implementation phase in accordance with pre-approved standards or codes of practices or other pre-approved guidelines for environmental and social management.

For each relevant sub-project of an MMDA, the MMDAs Schedule Officer for Safeguards in close collaboration with the Metropolitan, Municipal or District Planning Officer, will internally screen the sub-project using the Standard Screening Form (**Copy attached as annex 6**). The Safeguards Schedule Officer will submit a completed Standard Screening Form to the MLGRD unit responsible for safeguards for review that could trigger screening against other international safeguards requirements not currently covered by existing national regulations such as labour safety, child labour standards/requirements. Simultaneously, the MMDA officer will submit a completed EPA's form EA1 to the nearest EPA office to screen and identify any potential environmental and social impacts that ought to be addressed in compliance with national environmental assessment regulations (ie:LI 1652)

Step 2: Determining the extent of Environmental and Social Impact Assessment

Based on screening results, the appropriate environmental and social category for the proposed subproject will be determined and a decision taken on whether the sub-project will require an action plan (ESMP) to address issues related to international labour, climate change or standards. Where there is the need to prepare an ESMP, the template in **annex 7** will apply.

The EPA will determine the correct environmental category for subprojects after they are screened to determine issues excluded from the negative list based on the EPA schedules 1-5 of the Environmental Assessment Regulation LI 1652.

The extent of environmental work required could be:

- a) Unnecessary and therefore a permit is issued for work to commence;
- b) A preliminary Environmental Assessment report due to potentially minimum impacts;
- c) A detailed Environmental and Social Impact Assessment (ESIA) and Environmental Report prepared.

The distinction between categories will be determined based on the EPA schedules 1-5 of LI 1652. Where ESIA needs to be undertaken, the steps outlined below will be followed:

- 1) Identify and assess potential environmental impacts of the subproject;
- 2) Prepare a draft ToR for the ESIA and submit to EPA for review and clearance
- 3) Undertake studies and prepare ESIA (*This activity can be financed under the DACF RFG*)
- 4) Submit draft ESIA report to EPA for review and approval
- 5) Implement all recommendations, mitigation, institutional and monitoring measures stated in the ESIA report during subproject, implementation and operation to eliminate, reduce or mitigate environmental and social impacts

Strengthening capacities to implement safeguards

To effectively perform environmental and social management responsibilities for the implementation of sub-projects, strengthening institutions through capacity building to enforce safeguards will be an integral part of implementing physical projects finance with the DACF RFG. Capacity strengthening activities will be led by the Institute of Local Government Studies and will benefit staff from the MLGRD, OHLGS and MMDAs that would be directly involved in project implementation. The following are broad areas that safeguards related capacity building efforts would focus on:

- Environmental and social management process;
- Use of screening forms and checklist;
- Preparation of terms of reference for carrying out an Environmental and Social Assessment (ESIA)
- Preparation of Action Plans;
- Design of appropriate mitigation measures;
- Review of relevant safeguard documents such as ESIA, ESMP;
- Public consultations in the Environmental and Social Assessment process;
- Ensure the implementation of mitigation and monitoring measures proposed in ESIA, ESMP

- Integrate ESMP and ESIA recommendations into sub-projects implementation plans.

Each training program will respond to gaps identified in a needs assessment and this will be sequenced to ensure that it does not disrupt project implementation.

Environmental and social compliance monitoring

MMDAs shall monitor and report on the status and progress of safeguard measures associated with subprojects in their quarterly, bi-annual and annual reports.

Environmental and social performance audit

The MLGRD shall commission an annual environmental and social audit to identify weaknesses or gaps in environmental and social safeguards compliance procedures and measures and provide an opportunity to improve upon them. A copy of the annual environmental and social performance audit shall be submitted to Development Partners (DPs).

Documentation of safeguards, disclosure and reporting

The MPCUs/ DPCUs of the MMDAs must store records of all proposals received, screening decisions and approvals, permits received, and documentation for consultations with stakeholders on safeguards. These records should be accessible during post implementation review by MLGRD, DPs or any other interested external stakeholder or regulator. Information on safeguards must be shared with stakeholders, especially persons who are likely to be affected by the issue in question. MMDAs will submit monthly safeguards reports to the Unit in MLGRD responsible for safeguards for onward submission to the relevant Regulatory Agencies (EPA inclusive) and DPs for review. The reporting format should be consistent with the one prescribed by the Regulatory Agency (EPA) and DPs.

Annex 3: Standard Screening Form for DACF RFG SUBPROJECTS

Name of MMDA.....

Name of Officer filling form.....

Contact: Tel/email.....signature.....date.....

1. Description of Sub-Project

1.1 Nature of Sub-Project and Duration

.....
.....
.....

1.2 Scope of Sub-Project [Size of labour force, area covered or length & width of road, type of raw materials (quantities and sources), types of equipment, implements, machinery, etc.]

.....
.....
.....
.....
.....

ENVIRONMENTAL SAFEGUARDS ISSUES:

2.0 Subproject siting:

2.1 Location [attach a site plan or a map (if available)]

i. Location or Area (and nearest town(s):

ii. Land take (total area for sub-project and related activities):

.....
.....

2.2 Land Use of the Area for the Sub-Project:

- | | | | | | |
|---------------|--------------------------|-----------------|--------------------------|-----------------|--------------------------|
| Agriculture | <input type="checkbox"/> | Residential | <input type="checkbox"/> | Existing Dugout | <input type="checkbox"/> |
| Existing Road | <input type="checkbox"/> | Reservation | <input type="checkbox"/> | Park/Recreation | <input type="checkbox"/> |
| Industrial | <input type="checkbox"/> | Other (specify) | <input type="checkbox"/> | | |

2.3 Site Description [Attach photographs and sketches showing distances]

i. Distance from nearest water body or drainage channel (minimum distance measured from the edge of proposed site to the bank of the water body or drain).

- More than 100 meters 100 meters Less than 100 meters

- ii. Number of water bodies and/or drainage channels/depressions crossed by the route/road corridor:
.....
- iii. Distance to nearest community (house) and/or other existing structures from the proposed site:
.....
- iv. Number of communities (structures) along the entire stretch of the Sub-project road:
.....

2.4 Land Cover and Topography

- i. Land cover of the site consists (completely or partly or noticeably) of:

Vegetation	<input type="checkbox"/>	Sparse Vegetation	<input type="checkbox"/>	Physical Structure(s)	<input type="checkbox"/>
Flood Plain	<input type="checkbox"/>	Agriculture (Animals)	<input type="checkbox"/>	Cultural Resource	<input type="checkbox"/>
Water	<input type="checkbox"/>	Agriculture (Crops)	<input type="checkbox"/>	Other specify.....	
- ii. Elevation and topography of the area for the Sub-Project:

Flat	<input type="checkbox"/>	Valley	<input type="checkbox"/>	Slope	<input type="checkbox"/>	Undulating	<input type="checkbox"/>
Hill	<input type="checkbox"/>	Mountain	<input type="checkbox"/>	Depression	<input type="checkbox"/>		
- iii. Elevation and topography of the adjoining areas (within 500 meters radius of the site):

Flat	<input type="checkbox"/>	Valley	<input type="checkbox"/>	Slope	<input type="checkbox"/>	Undulating	<input type="checkbox"/>
Hill	<input type="checkbox"/>	Mountain	<input type="checkbox"/>	Depression	<input type="checkbox"/>		

3.0 Infrastructure

- i. The Sub-project would be developed in/on:

Undeveloped site	<input type="checkbox"/>	Partly developed site	<input type="checkbox"/>	Existing route	<input type="checkbox"/>	Other (specify)
------------------	--------------------------	-----------------------	--------------------------	----------------	--------------------------	--------------------------
- ii. The Sub-project would involve excavation Yes No
- iii. Estimated number and depth of the excavations, etc):
.....
- vi. Are any of the following located on-site or within 50 metres from the edge of the proposed site?

Water supply source	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Pipeline	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Power supply source (electric pylon)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Drainage	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other(s) specify:		

4. Waste Generation Issues:

4.1 Waste Generation

- i. Types: Solid Liquid Gaseous Other
- ii. Quantity:
- iii. Means/Place of Disposal:

4.2 Air Quality - Would the proposed Sub-project:

- i. Emit during construction
 - Dust Smoke VOCs
- ii. Expose workers or the public to substantial emissions? Yes No
- iii. Result in cumulatively increased emissions in the area? Yes No
- vi. Create objectionable odour affecting people? Yes No

4.3 Biological Resources - Would the proposed Sub-project:

- i. Is the project to be sited in/ around a galamsey area? Yes No
- ii. Have adverse effect on wetland, Ramsar site areas through removal, filling, hydrological interruption or other means? Yes No
- iii. Interfere substantially with the movement of any wildlife species or organisms? Yes No
- vi. Be located within 100m from an Environmentally Sensitive Area? (EG. Forest reserve, wildlife reserve, sacred groves etc) Yes No

4.4 Cultural Resources - Would the proposed Sub-project:

- i. Disturb any burial grounds or cemeteries? Yes No
- ii. Cause substantial adverse effect on any archeological or historic site? Yes No
- iii. Alter the existing visual character of the area and surroundings, including trees and rock outcrops? Yes No

4.5 Water Quality and Hydrology - Would the proposed Sub-project:

- i. Generate and discharge during construction:
 - Liquid waste Liquid with oily substance
 - Liquid with human or animal waste Liquid with chemical substance

Liquid with pH outside 6-9 range Liquid with odour/smell

- ii. Lead to changes in the drainage pattern of the area, resulting in erosion or siltation? Yes No
- iii. Lead to increase in surface run-off, which could result in flooding on or off-site? Yes No
- iv. Increase runoff, which could exceed the capacity of existing storm water drainage? Yes No

4.6 Noise Nuisance - Would the proposed Undertaking:

- i. Generate noise in excess of established permissible noise level? Yes No
- ii. Expose persons to excessive vibration and noise Yes No

SOCIAL SAFEGUARDS ISSUES

5.0 Will the subproject cause any social concern?

- i. Temporary loss of land, farms or other land resources for any families? Yes No
- ii. Permanent loss of land, farms or other land resources for any families? Yes No
- iii. Conflicts in water use rights and related social conflicts? Yes No
- iv. Impediments to movements of people and animals? Yes No
- v. Temporary displacement/dislocation of people? Yes No
- vi. Permanent displacement /dislocation of people? Yes No
- vii. Involuntary resettlement of people? Yes No
- viii. Potential social conflicts arising from land tenure and land use issues? Yes No
- ix. Deterioration of livelihoods or living conditions of women or the poorest families in the subproject area? Yes No
- x. Will the subproject affect women headed households? Yes No
- xi. Will subproject involve salaried activities that employ children below the age of 16 years? Yes No

6.0 Other Environmental and Social Impacts

.....

.....
.....

7.0 Management of Environmental and Social Impacts

7.1 Air Quality

.....
.....
.....

7.2 Biological Resources

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.....
.....

7.3 Cultural Resources

.....
.....
.....

7.4 Water Quality and Hydrology

.....
.....
.....

7.5 Noise

.....
.....
.....

7.6 Any Other issues (Eg. Land compensation/ crop compensation issues

.....
.....
.....

8.0 CONCLUSIONS/RECOMMENDATIONS BY MLGRD

.....
.....
.....
.....

MAIN ANTICIPATED ENVIRONMENTAL AND SOCIAL IMPACTS/ISSUES

The overall environmental impacts of the Subproject are expected to be minimal. The project will not negatively alter the ecosystem nor cause significant environmental harm or lead to displacement of people and their livelihoods. The likely impacts and the proposed mitigation actions/ measures are presented as follows:

Operation Phase/environmental component	Activity	Likely Impacts	Remarks
Physical environment			
Soils			
Farming/grazing lands			
Water resources			
Social environment			
Land displacement			
Livelihood disruption			
Compensation issues			
Human health			

PROPOSED MITIGATION/ENHANCEMENT MEASURES/ACTIONS AND MONITORING PLAN

Activity (operation) & phase	Potential environmental & social impact/issues	Mitigation measures/actions required	Implementing schedule (timing)	Implementing responsibility	Monitoring Schedule/frequency	Monitoring responsibility	Estimated costs
Planning / design phase							
	Compliance with National Regulations & Provisions in LGCSP ESMF /RPF	Register subproject with EPA Acquire Assembly Development Permit					
	Environmental /social safeguards orientation meetings and training	Keta MA Project Staff Contractor & workers					

	Community /key stakeholders sensitization /consultation	Implement public consultation plan					
	Health and safety issues	Hold briefing /training for MTTU / Assembly Traffic Guards mgt of traffic obstruction & vehicular - pedestrian Conflict, acquire safety equipment / Conduct site access & traffic mgt/ grievance /complaints handling procedures awareness campaigns					
Construction phase							
	Landuse, acquisition, compensation issues	Subproject site is government land Former traders well settled at new market					
	Loss of vegetation	Demolition of old delapidated structure will be done with guidance from Assembly Technical staff 70% of existing trees will be maintained as shown on block plan					
	Solid waste	Demolish materials will be properly stored and evacuated from site Waste collection receptacles will be provided during construction					

	Traffic obstruction and risk of accidents						
	Dust pollution	Vehicles transporting debris /construction materials will covered and enforce overloading & speed limit					
	Noise Pollution	Use equipment with noise reduction provision					
	Occupational Health and safety	Contractor to acquire PPE and ensure use by workers Sensitise stakeholders and community about ongoing works through public announcements, notice boards, reflective liners and detours					
Operation & maintenance phase							

Institutional Arrangements for Implementing ESMP:

.....

Attachments:

- Location (contextual) map of MMA Area
- Site Plan of subproject area: (Drawings of targeted land and land use of adjoining lands)
- Block Plan of subproject (Drawing of buildings or facility and layout of surroundings)
- Minutes of consultation meetings (comments, questions, responses and agreed actions)
- List of persons at consultation meetings & their contacts & pictures
- Site access and traffic management plan (where needed)
- Emergency Response plan
- Any other relevant documents

Annex 5: Reporting Formats

A. DOCUMENTS REQUIRED FOR ASSESSMENT

Name of MMDA:

Zone:.....

Date of Assessment:.....

MINIMUM CONDITION

Thematic Areas	Needed Documents	Tick If available
Functional Capacity of Assembly	Minutes of meetings of the General Assembly for 2016	
	Invitation letters for General Assembly Meetings 2016	
	Minutes of meetings of the Executive Committee (EC)	
	Minutes of meetings of the statutory sub committees of the EC	
Functional Capacity in Planning & Budgeting	2016 Annual Action Plan	
	2016 Annual Action Plans of existing departments	
	2016 Composite Budget	
	Membership and minutes of quarterly meetings of the Functional DPCU for 2016	
	Invitation letters for Quarterly DPCU Meetings in 2016	
	Minutes of General Assembly Meeting	
Functional Capacity in Financial Management & Accounting	Composition and minutes of meetings of the Budget Committee	
	Monthly expenditure returns and incomes of the MMDA	
	Bank Reconciliation Statement	
	Monthly Trial Balance	
	Annual Balance Sheet	
	Annual Statement of Accounts	
	Report on internal audit work carried out and submitted to the Presiding Member of the MMDA	
	Minutes of Audit Review Implementation Committee meeting	

	Copies of ARIC implementation reports	
	Auditor-General’s Management Letters for 2016	
	Minutes of management meetings	
	Minutes of General Assembly meeting	
	Despatch Book & Messenger Receipt Book	
	Management Letters	
Functional Capacity in Procurement	Procurement Plan for 2017	
	Minutes of the procurement entity meetings	
	2016 Annual Procurement Plan and quarterly updates	
Functional Capacity in Plan Implementation	Quarterly and Annual Progress Reports on the implementation of projects in the 2016 Annual Action Plan (Indicate actual documents seen)	
	2016 Composite Annual Action Plan	
	Monitoring reports of previous years projects and programmes	
	Minutes of half-year composite review meetings on planning, implementation and monitoring of MTDP.	
	Reports on public hearings at sub district structure levels in connection with the preparation of Medium Term Development Plan	

DDF PERFORMANCE MEASURES

Thematic Area	Needed Documents	Tick if available
Management Coordination, Monitoring and Evaluation	Minutes of meetings of the Executive Committee (EC)	
	Minutes of meetings of the statutory sub committees of the EC	
	Minutes of management (heads of departments+ DA core staff) meetings during 2016	
	Minutes and reports on actions taken	
	Copy of annual staff development plans	
Planning & Budgeting	Implementation Report for the previous year	
	Monitoring reports of previous years projects and programmes	
	Annual Plan and Budget	
	Trial balance	
	Minutes of half year composite review meetings on planning, implementation and monitoring of MTDP.	
	Assets Register	
	Operation and maintenance plan	
	2016 Annual Action Plans of existing departments	

	Annual Statement of Accounts	
Financial Management and Accounting	Composition and minutes of meetings of the Budget Committee	
	Monthly expenditure returns and incomes of the MMDA	
	Bank Reconciliation Statement	
	Monthly Trial Balance	
	Annual Balance Sheet	
	Annual Statement of Accounts	
	Report on internal audit work carried out and submitted to the Presiding Member of the MMDA.	
	Minutes of Audit Review Implementation Committee meeting	
	Auditor-General's Management Letters for 2016	
	Copies of ARIC implementation reports	
	Minutes of management meetings	
	Minutes of General Assembly Meeting	
	Despatch Book	
Fiscal Capacity	Monthly Trial Balances	
	Revenue Improvement Action Plan	
	Revenue and expenditure records	
	December 2015 & 2016 Trial Balance Statement	
	Annual budget	
Procurement	Record of transfer of funds to sub district structures	
	Document describing the procedure for inviting tenders	
Plan Implementation	Minutes of the procurement entities	
	Annual Progress Reports on the implementation of projects in the 2016	
	2016 Composite Budget	
	Environmental and Social Impact Assessment Reports	
Accountability, Transparency & Participation	Screening Reports	
	Minutes of Public Finance Management Town Hall meetings	
Social Inclusion and Service Delivery	Reports on public sensitization on PRCC activities	
	Annual Progress Reports on the implementation of projects in the 2016	
	Gender profile of the MTDP	
	Development of District Environmental Sanitation Sub-Sector Strategy and Action Plan	

B. DPAT MINIMUM CONDITIONS

Name of MMDA: **Zone:**..... **Date of Assessment:**.....

Tick as appropriate

Minimum Condition	Indicators of Minimum Condition (Insert the basis of Assessment below each indicator)	Fulfilled	Not Fulfilled	Responses incl. Capacity Building Requirements (indicate source documents to support response)
1. Functional Capacity of Assembly	1.1 Assembly meeting according to minimum requirements			
	1.2 Meetings of the Sub-Committees of the Executive Committee of the Assembly			
2. Functional Capacity in Planning & Budgeting	2.1 Composition of a DPCU based on the Guidelines for the Operationalisation of DPCUs			
	2.2 Composite budget has been prepared based on Composite AAP			
	2.3 Work planning by departments of the District Assembly			
	2.4 Approval of the Budget			

3. Functional Capacity in Financial Management & Accounting	3.1 Functionality of Budget Committee			
	3.2 Preparation and submission of monthly financial reports to CAGD			
	3.3 Annual Statement of Accounts prepared and submitted.			
	3.4 Functionality of Internal Audit Unit			
	3.5 No adverse comments on financial in-discipline in audits conducted.			
	3.6 Prompt responsiveness to recommendation in the External Audit Management Letters			
4. Functional Capacity in Procurement	4.1 District Procurement Plan available and prepared based on Public Procurement Act 2003 Act 663 & PPA amended Act 2016 Act 914			

5. Functional Capacity in Plan Implementation	5.1 Progress Reports on the implementation of activities in the Annual Action Plan			
	5.2 Participation: Involvement of key stakeholders in plan implementation, monitoring and other activities of MMDAs			

C. DPAT PERFORMANCE MEASURES

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

Date of Assessment:.....

INDICATORS FOR MANAGEMENT, COORDINATION, MONITORING AND EVALUATION	Maximum Total Score	Actual score	Responses incl. Capacity Building Requirements (indicate source documents to support Response)
1.1 Meetings in the political management institutions: <ul style="list-style-type: none"> • Executive Committee (EC) 	3		
1.2 Regular Management Meetings	1		
1.3 Follow up to Management Meetings	3		
SUB TOTAL	7		Please transfer sub total score to composite score sheet

DPAT PERFORMANCE MEASURES

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

Date of Assessment:.....

Indicators for FUNCTIONAL CAPACITY IN PLANNING & BUDGETING	Maximum Total Score	Actual score	Responses incl. Capacity Building Requirements (indicate source documents to support Response)
2.1 Publication of draft Annual Composite Budget	1		
2.2 Operation and Maintenance (O&M) Plan	4		
2.3 Level of Plan implementation	2		
SUB TOTAL	7		Please transfer sub total score to composite score sheet

DPAT PERFORMANCE MEASURES

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

Date of Assessment:.....

Indicators for FUNCTIONAL CAPACITY IN FINANCIAL MANAGEMENT & ACCOUNTING	Maximum Total Score	Actual score	Responses incl. Capacity Building Requirements (indicate source documents to support Response)
3.1 Publication of Annual Statement of Accounts	2		
3.2 Responsive-ness to the Internal Audit observations.	3		
3.3 Availability of the External Auditor’s Report	1		
3.4 Revenue Improvement Action Plan	2		
3.5 Absolute size of Internally Generated Funds (IGF)	2		
3.6 Share of Internally Generated Fund (IGF) used for Development Expenditure	2		
3.7 Share of Internally Generated Fund (IGF) to Departments	3		
3.8 Growth in Property Rate Collection	5		
3.9 Revenue from Building Permit	4		

3.10 Revenue from Business Operating Permit	3		
3.11 Revenue Sharing between Assembly and Sub-structure	3		
SUB TOTAL	30		Please transfer sub total score to composite score sheet

DPAT PERFORMANCE MEASURES

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

Date of Assessment:.....

Indicators for PROCUREMENT	Maximum Total Score	Actual score	Responses incl. Capacity Building Requirements (indicate source documents to support Response)
4.1 Meetings of Procurement Entities	2		
4.2 Record on Procurement Proceedings	5		
4.3 Records on Contract Management and Administration	3		
SUB TOTAL	10		Please transfer sub total score to composite score sheet

DPAT PERFORMANCE MEASURES

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

Date of Assessment:.....

Indicators of ACCOUNTABILITY, TRANSPARENCY & PARTICIPATION	Maximum Total Score	Actual score	Responses incl. Capacity Building Requirements (indicate source documents to support response)
5.1 Public Finance Management (PFM) town hall meetings	3		
5.2 Establishment and functionality of the Public Relations and Complaints Committee (PRCC)	5		
5.3 Information to the Public	1		
SUB TOTAL	9		Please transfer sub total score to composite score sheet

DPAT PERFORMANCE MEASURES

Name of MMDA: Zone:.....

Date of Assessment:.....

Indicators of SOCIAL INCLUSION AND SERVICE DELIVERY	Maximum Total Score	Actual score	Responses incl. Capacity Building Requirements (indicate source documents to support Response)
6.1 Vulnerability and social protection programmes	2		
6.2 Disbursement of Disability Fund	2		
6.3 Gender Mainstreaming	3		
SUB TOTAL	7		Please transfer sub total score to composite score sheet

DPAT PERFORMANCE MEASURES

Name of MMDA: Zone:.....

Date of Assessment:.....

Indicators for ENVIRONMENT AND CLIMATE CHANGE	Maximum Total Score	Actual score	Responses incl. Capacity Building Requirements (indicate source documents to support response)
7.1 Climate Change interventions	3		
7.2 Climate Change Data Analysis	1		
7.3 Climate Change awareness	1		
7.4 Environmental and Social impact assessment	4		
SUB TOTAL	9		Please transfer sub total score to composite score sheet

DPAT PERFORMANCE MEASURES

Name of MMDA: Zone:.....

Date of Assessment:.....

Indicators for CAPACITY BUILDING	Maximum Total Score	Actual score	Responses incl. Capacity Building Requirements (indicate source documents to support response)
6.1 Implementation of Training Plan	5		
SUB TOTAL	5		Please transfer sub total score to composite score sheet

DPAT PERFORMANCE MEASURES

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

Date of Assessment:.....

Indicators for SANITATION	Maximum Total Score	Actual score	Responses incl. Capacity Building Requirements (indicate source documents to support response)
9.1 Development and update of District Environmental Sanitation Sub-Sector Strategy and Action Plan (DESSAP)	3		
9.2 Expenditure on Sanitation from IGF	3		
9.3 Submission of Comprehensive Annual Report	2		
9.4 Progress made in improved Sanitation & Waste Management	3		
SUB TOTAL	11		Please transfer sub total score to composite score sheet

DPAT PERFORMANCE MEASURES

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

Date of Assessment:.....

Indicators for LED	Maximum Total Score	Actual score	Responses incl. Capacity Building Requirements (indicate source documents to support response)
10.1 LED Platforms	1		
10.2 Integration of LED activities into MTDP	1		
10.3 Budget and implementation of LED activities	3		
SUB TOTAL	5		Please transfer sub total score to composite score sheet

D. SUMMARY SCORING SHEET FOR DPAT PERFORMANCE MEASURES

Name of MMDA: Zone:.....

Date of Assessment:

Performance Measures	Maximum Score	Actual Score
Management, Coordination, Monitoring and Evaluation	7	
Planning & Budgeting	7	
Financial Management & Auditing	30	
Procurement	10	
Accountability, Transparency & Participation	9	
Social Inclusion and Service Delivery	7	
Environment and Climate Change	9	
Capacity Building	5	
Sanitation	11	
LED	5	
Total	100	

E. SUMMARY OF CAPACITY BUILDING REQUIREMENTS

Name of MMDA: Zone:.....

Date of Assessment:.....

MINIMUM CONDITIONS	Capacity Requirements
Functional Capacity of Assembly	
Functional Capacity in Organisation & Management	
Functional Capacity in Planning & Budgeting	
Functional Capacity in Financial Management & Accounting	
Functional Capacity in Procurement	
Functional Capacity in Plan Implementation	
DDF Performance Measures Functional Area	
Management, Coordination, Monitoring and Evaluation	
Planning & Budgeting	
Financial Management & Auditing	
Procurement	

Accountability, Transparency & Participation	
Social Inclusion and Service Delivery	
Environment and Climate Change	
Capacity Building	
Sanitation	
LED	

F. COMPLAINT FORM

Name of MMDA:

Zone:.....

Date of Assessment:.....

MINIMUM CONDITIONS	Specific Disagreements
Functional Capacity of Assembly	
Functional Capacity in Organisation & Management	
Functional Capacity in Planning & Budgeting	
Functional Capacity in Financial Management & Accounting	
Functional Capacity in Procurement	
Functional Capacity in Plan Implementation	
DDF Performance Measures	
Capacity of Assembly	
Organisation & Management	
Planning & Budgeting	
Financial Management & Auditing	
Internal Generated Fund	
Procurement	
Plan Implementation	
Accountability, Transparency & Participation	
Social Inclusion and Service Delivery	

G. Assessment Report

MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT

DISTRICT ASSEMBLY PERFORMANCE ASSESSMENT PROCESS

YEAR (.....)

ASSESSMENT REPORT

NAME OF MMDA:.....

REGION:.....

PERIOD OF THE ASSESSMENT:.....

DATE OF SIGNATURES:

NAME OF DCE:.....

DCE's SIGNATURE:.....

NAME OF DCD:.....

DCD's SIGNATURE:.....

NAME AND SIGNATURE OF ASSESSMENT TEAM LEADER:

.....

ASSESSMENT TEAM MEMBERS (NAMES AND SIGNATURES):

.....

.....

H. CONTENT OF THE ASSESSMENT REPORT²

1. Acknowledgement
2. Methodology used for the assessment
3. Summary of the results (fill in overview schemes for MCs and DPAT PMs and draw conclusions)
4. Summary of Capacity Building Requirements
5. Challenges in the Assessment
6. Specific and General Comments to individual aspects of the Assessment Process (a summary of the most important comments during the assessment of the MCs and both sets of PMs)
7. Notification of disagreement with the outcome of the Assessment

- | | |
|---------|---|
| Annex 1 | Assessment of the Minimum Conditions |
| Annex 2 | Separate scoring sheets for the DPAT Performance Measures |
| Annex 3 | Summary Scoring Table for both Performance Measures (DPAT) |
| Annex 4 | Summary of capacity building requirements (by districts and region) |
| Annex 5 | Summary of Complaints |
| Annex 6 | List of persons met (provide name and designation of persons) |
| Annex 7 | List of documents consulted (from the checklist) |

² This format is to be used for district specific and consolidated reports

I. LIST OF PERSONS CONTACTED³

Name of MMDA:

Zone:.....

Date of Assessment:.....

No	Name	Position	Tel/Email	Signature

³ This is only required for the District Report