Government of Ghana

MINISTRY OF LOCAL GOVERNMENT, DECENTRALISATION AND RURAL DEVELOPMENT (MLGDRD)

District Assemblies' Performance Assessment Tool (DPAT)

OPERATIONAL MANUAL

(DRAFT FINAL DPAT ASSESSMENT TOOL)

5th cycle
Baseline year: 2019
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List of Abbreviations

AAPs	Annual Action Plans
AC	Audit Committee
CAGD	Controller and Accountant General's Department
CIs	Compliance Indicators
CSU	Client Service Unit
DACF	District Assemblies Common Fund
DACF RFG	District Assemblies Common Fund Responsiveness Factor Grant
DACF-RFG	District Assemblies Common Fund – Responsiveness Factor Grant
DAs	District Assemblies
DAS	District Audit Service
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
EPA	Environmental Protection Agency
ESIA	Environmental and Social Assessment
FDU	Fiscal Decentralisation Unit
GAS	Ghana Audit Service
GES	Ghana Education Service
GHS	Ghana Health Service
GSCSP	Ghana Secondary Cities Support Program
IAA	Internal Audit Agency
IGF	Internally Generated Fund
ILGS	Institute of Local Government Studies
IMCC	Inter-Ministerial Coordinating Committee
KfW	Kreditaansatalt fuer Wiederaufbau
LI	Legislative Instrument
LoCAL	Local Climate Adaptive Living Facility
LUSPA	Land Use and Spatial Planning Authority
M&E	Monitoring and Evaluation
MLGDRD	Ministry of Local Government, Decentralisation and Rural Development
MMDAs	Metropolitan, Municipal and District Assemblies
MoF	Ministry of Finance
MTDP	Medium-Term Development Plan

NALAG	National Association of Local Authorities of Ghana
NDPC	National Development Planning Commission
OHLGS	Office of the Head of Local Government Service
PBGS	Performance-Based Grant System
PI	Performance Indicator
PIs	Performance Indicators
PRCC	Public Relations and Complaints Committee
RCCs	Regional Coordinating Councils
RFG	Responsive Factor Grant
SC	Steering Committee
SDGs	Sustainable Development Goals
SDIs	Service Delivery Indicators
SECO	State Secretariat for Economic Affairs
SMTDPs	Sector Medium-Term Development Plans
ToR	Terms of Reference
UNCDF	United Nations Capital Development Fund
UNICEF	United Nations International Children's Education Fund
WB	World Bank

Foreword

1.0 INTRODUCTION

1.1 Background

Since 2018 the Government of Ghana has implemented a Performance Based Grant System (PBGS) known as the District Assemblies Common Fund – Responsive Factor Grant (DACF-RFG) in collaboration with Development Partners and key stakeholders. The programme assesses the performance of Metropolitan, Municipal and District Assemblies (MMDAs) using the District Assembly Performance Assessment Tool (DPAT). The assessment of MMDAs is part of efforts to improve the performance of District Assemblies in terms of efficiency, accountability and delivery of basic community services.

Assemblies that perform satisfactorily are financially rewarded to implement their Medium-Term Development Plans (MTDPs) and Annual Action Plans (AAPs) which largely contributes significantly to the advancement of the socio-economic development of citizens.

Pursuant to the commitment of the Government of Ghana and Development Partners (State Secretariat for Economic Affairs and KfW Development Bank) to strengthen MMDA's delivery of services, the DPAT Indicators for the assessment has been revised after four (4) cycles of implementation for fiscal years 2016 (DPAT I); 2017 (DPAT II); 2018 (DPAT III) and 2019 (DPAT IV). The new set of DPAT Indicators has necessitated a review of the DPAT Operational Manual to guide operations and implementation.

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

The users of the manual will include, but not limited to the under-listed:

- Ministry of Local Government, Decentralisation and Rural Development (MLGDRD),
- Ministry of Finance (MoF)
- 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)
- Institute of Local Government Studies (ILGS)

- Members of Parliament (Parliamentary Select Committee on Local Government and Rural Development)
- Controller and Accountant General's Departments (CAGD)
- Audit Service
- Metropolitan, Municipal and District Assemblies (MMDAs)
- Development Partners (DPs)
- Functionaries of MMDAs
- Regional Coordinating Councils (RCCs)
- Consultants
- Civil Society and the general public

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

The following are the objectives of the DPAT:

i. Incentivise District Assemblies to adhere to good governance principles in the administration of local governance and compliance with legal regulatory frameworks;
ii. Incentivise District Assemblies to focus on improving service delivery to citizens and stakeholders in their jurisdictions;
iii. Promote performance of District Assemblies in the delivery of their mandates and implementation of their DMTDPs;
iv. Facilitate identification of capacity gaps of District Assemblies and allocation of resources for addressing the gaps;
v. Promote implementation of interventions related to the achievement of the Sustainable Development Goals (SDGs) and
vi. Provide a basis for allocating discretionary funding to MMDAs for development

2.2 Guiding Principles

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

i. MMDAs are assessed against their legal obligations and emerging issues for which legal provisions have been made for collaboration with other Agencies to improve service delivery;

ii. The indicators acknowledge the specific legal, political, administrative and fiscal environment in which MMDAs operate;

iii. The indicators capture the roles and responsibilities of functionaries of MMDAs;

iv. The assessment process is based on indicators that are objectively verifiable and simple in order to minimize discretion;

v. The assessment process facilitates the identification of capacity building needs for institutional strengthening;

vi. Integrate MMDAs performance assessment and capacity-building interventions into the budgeting cycle.

vii. MMDAs are expected to align interventions in their MTDPs and AAPs to the Sustainable Development Goals (SDGs) and

viii. Application of the Indicators and associated verification protocols do not allow for any discretion in interpretation.

2.3 Components

MMDAs are required to ensure quality service delivery to their citizens and stakeholders within their jurisdictions. However, these services are expected to be delivered by organs (departments and units) of the MMDAs within the decentralized governance framework of Ghana. MMDAs have the ultimate responsibility to ensure quality service delivery, provision of relevant infrastructure and enabling environments for the improvement of the standards of living of their constituents / citizens. However, an assessment of the performance of MMDAs cannot be done without ensuring that processes follow laid down legal regulations and to ensure MMDAs deliver on implementation of approved work plans and budgets.

The new set of indicators therefore, recognizes three (3) ingredients for a Performance-Based Grant System (PBGS) and has accordingly structured the revised DPAT indicators. The DPAT has three (3) components, namely Compliance Indicators (CIs), Service Delivery Indicators (SDIs) and Performance Indicators (PIs).

Summarily, Compliance Indicators (CIs) are to be fulfilled, whilst the Service Delivery Indicators (SDIs) and Performance Indicators (PIs) are scored and total 100 marks, with SDIs allocated 65 marks and PIs 35 marks.

2.3.1 Compliance Indicators (CIs)

The CIs are those indicators 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 CIs are to ensure that MMDAs adhere to the minimum and critical legal frameworks to facilitate efficient and effective operations. The CIs are formulated under the following four (4) themes:

1. General Assembly Meetings and Approvals
2. Functionality of Statutory and Mandatory Organs of the Assembly (Meetings)
3. Public Financial Management and Auditing
4. Transparency, Accountability and Participation

Table 1 below represents the scoring structure for the CIs:

No.	Thematic Area	Outcomes	
		Fulfilled	**Not Fulfilled**
SECTION A: COMPLIANCE INDICATORS (CI)			
CI. 1	General Assembly Meetings and Approvals		
CI. 2	Other Statutory Meetings / Requirements		
CI. 3	Public Financial Management and Auditing		
CI. 4	Transparency, Accountability & Participation		

See Annex 1 – Section A for details.

2.3.2 Service Delivery Indicators (SDIs)

The SDIs constitutes part of those indicators that will be used to determine each MMDA's share of the Performance Grant of the DACF Responsiveness Factor Grant. The Service Delivery Indicators (SDIs) focuses on the extent to which MMDAs have been responsive to their service delivery responsibilities through the implementation of key decisions taken by General Assembly, Management and Statutory Committees. It also ensures MMDAs efforts at ensuring citizens derive satisfaction from services and the ultimate outcome of such service delivery interventions.

The SDIs are based on six (6) thematic areas for which MMDAs can score a maximum of 65 marks:

1. Management and Coordination – Implementation of Service Delivery Decisions
2. Basic / Social Services
3. Physical and Spatial Planning Services
4. Social Protection, Gender and Nutrition
5. Environmental Health, Sanitation and Climate Action
6. Local Economic Development

A summary of the thematic areas and the maximum scores that can be obtained for the SDIs is presented in Table 2 below:

Table 2: Summary of Scores for Service Delivery Indicators (SDIs)

Summary of Scores for Service Delivery Indicators (SDIs)	Maximum Score
Implementation of Decisions by General Assembly and Management (Follow-up Actions)	5
Basic / Social Services	15
Physical and Spatial Planning Services	9
Social Protection, Gender and Nutrition	14
Environmental Health, Sanitation and Climate Action	12
Local Economic Development	10
Total	**65**

See Annex 1 – Section B for details.

2.3.3 Performance Indicators (PIs)

The PIs constitutes the second set of indicators that will also be used to determine each MMDA's share of the Performance Grant of the DACF Responsiveness Factor Grant.

Performance Indicators (PIs) seek to motivate MMDAs to deliver in key performance areas with indirect implications for service delivery and achievement of key work - plan implementation targets.

The PIs are based on five (5) thematic areas for which MMDAs can score a maximum of 35 marks as follows:

1. Annual Action Plan (AAP) Implementation
2. Capacity Building
3. Revenue Generation
4. Audit Performance and
5. Access to Social Services

A summary of the thematic areas and the maximum scores that can be obtained for the PIs is presented in Table 3 below:

Table 3: Summary of Scores for Performance Indicators

Performance Indicators (Thematic Area)	Maximum Score
Annual Action Plan Implementation	15
Capacity Building	5
Revenue Generation	8
Audit Performance	3
Access to Social Services	4
Total	**35**

See Annex 1 – Section C for details.

3.0 VALIDATION AND PILOTING OF THE NEW DPAT TOOL

In line with the Terms of Reference (TOR) of the assignment, the Draft DPAT Tool had to be validated by the MMDAs, as part of the consultative processes.

3.1 Validation Workshops

Validation workshops were held in Sunyani for a select group of MMDAs from the Northern Zone, whilst another workshop was held in Koforidua for MMDAs drawn from the Southern Zone. The workshops which were held simultaneously, were facilitated by the consultant.

3.2 Outcomes of the Validation Workshops

Participants at the two workshops made submissions in relation to the Draft New DPAT Tool. The comments received were collated and presented to the Technical Working Group (TWG) for consideration.

The comments ranged from general to specific comments touching on specific indicators.

For instance, participants held the view that the new DPAT Indicators should be deployed for the 2021 year of assessment.

They suggested that the Tool should duly consider the impact of COVID-19 on MMDA activities in the year 2020. They specifically mentioned meetings that required large external stakeholder participation.

Quarterly meetings of the Audit Committee, as indicated in the Tool was challenged. Participants wanted that amended to two meetings per annum, since that was what the law stipulated.

Presentation of the Auditor General's Report to the General Assembly was also contested. Participants suggested that it was rather the Finance and Administration and Executive Committees that should deal with the Auditor General's Report and present it the General Assembly.

These and many other comments and suggestions were presented to the TWG which studied them and directed the consultant to work on the issues accordingly.

3.3 Piloting the Draft DPAT Tool

Piloting or testing of the Draft DPAT Tool followed immediately after the successful Validation Workshops. Four field teams were constituted to undertake the exercise, which covered MMDAs across the Northern and Southern Zones. Twenty (20) MMDAs were targeted, however, due to some challenges, seventeen (17) were covered by the piloting. The comments received were many, but very similar to those collated at the Validation workshops. That was not surprising, as participating MMDAs in the Piloting sessions, had also thoroughly studied the draft document.

The reports submitted to the TWG comprised comments collated from both the Validation Workshops and the Piloting exercise. As directed by the TWG, the consultant incorporated the comments into the document. A draft Final DPAT Assessment Tool, with Verification Protocols, has been duly submitted to the TWG for further deliberations.

4.0 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

4.1 The Pre-Assessment Phase

The following activities are undertaken:

- Recruitment of Consultants through a National Competitive Bidding (NCB) process as prescribed in the Public Procurement Act, 2003 (Act 663) and Public Procurement Amendment Act, 2016 (Act 914);
- Revision of DPAT Indicators by the DACF-RFG Technical Working Group (TWG);
- Sensitization of RCCs and MMDAs on the DACF-RFG Programme, DPAT Indicators and Grievance Redress Mechanisms (Provisions for Petitions);
- Orientation of Consultants on the Indicators, Scoring and Reporting Formats, and Grievance Redress Mechanisms (Provisions for Petitions) and
- Notification of MMDAs on the Assessment schedule prior to the commencement of the assessment.

4.2 The Assessment Phase

The assessment is conducted based on the DPAT Indicators covering CIs, SDIs and PIs. 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/entry and exit 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 and announce the Provisional Results of the Assessment, respectively;
- Consultants submit draft Assessment Reports to the MMDA and
- The MLGDRD, RCCs and members of the Technical Working Group (TWG) monitor the Assessment process;

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.

4.2.1 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, competencies and organisational gaps based on the CIs, SDIs and PIs;
- Analyse and establish the specific implications of the capacity gaps;
- Document all the capacity needs in the format provided and
- Consultants are to determine the capacity building needs based on MMDA's Training Needs Assessments and emerging capacity gaps from the Assessment

At the end of the Assessment, the Lead Consultant will submit an Assessment Report to the MLGDRD 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.

4.3 Post-Assessment Phase

The following constitutes the post-Assessment activities of the DPAT after the Consultants have submitted their Assessment Reports to the DDF Secretariat not later than one (1) week after the completion of the assignment/assessment:

4.3.1 Validation of the Assessment reports submitted by consultants

The MLGDRD, upon receipt of draft Assessment Reports from the consultants, will validate the accuracy and consistency of the responses to the indicators and scores under CIs, SDIs and PIs. 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 in writing and copy the MLGDRD.

4.3.2 Complaints

4.3.2.1 Complaint Procedures

Where an MMDA is not satisfied with the outcome of the assessment, a written complaint should be submitted directly to the Minister, MLGDRD not later than **two weeks** after official notification of Provisional Results (exit conference) and a copy to the Coordinator, DDF Secretariat.

MMDAs are to submit their Petitions **directly to the MLGDRD** and copy the RCC and relevant stakeholders.

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.

4.3.2.2 Composition of Complaints Resolution Committee:

- Chair, Technical Working Group (TWG)
- Ministry of Local Government, Decentralisation and Rural Development (MLGDRD)
- 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 MLGDRD 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

4.3.3 Notification of Assessment Score

The Minister for Local Government, Decentralisation and Rural Development will provide Official Notification of Assessment scores to all MMDAs after Steering Committee (SC) approval.

4.3.4 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 MLGDRD with the support of the Technical Working Group.

4.3.5 Consolidation of Capacity Building Needs

The OHLGS and ILGS 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.

4.3.6 Preparation of Consolidated Assessment Report

The MLGDRD 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.

4.3.7 Approval of Assessment Results by the Steering Committee (SC)

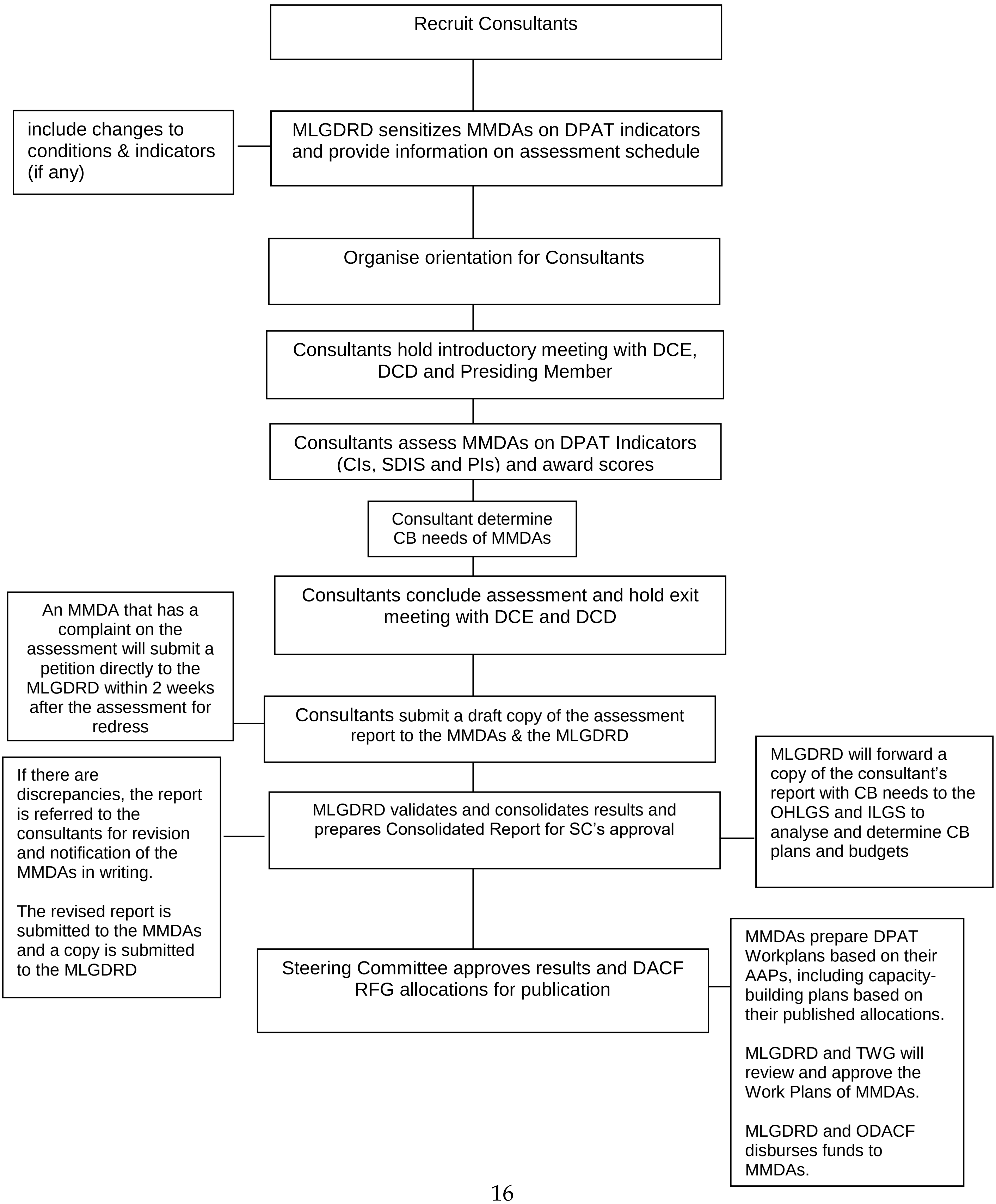
The consolidated performance assessment report of all MMDAs will be submitted by the MLGDRD for the consideration of the TWG, and subsequently for the Steering Committee's approval.

4.3.8 Dissemination of Approved Assessment Results

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

5.0 FLOW CHART OF THE ASSESSMENT PROCESS

Actions Required **Process** **Implications**



6.0 GOVERNANCE OF THE PERFORMANCE ASSESSMENT PROCESS

Refer to the DACF-RFG Operational Manual for details of the Governance / Institutional Arrangements for the Programme and DPAT process.

7.0 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

7.1 Monitoring and Validation (Quality Assurance Review) Schedule

Table 4 below outlines key inputs for the conduct of the monitoring of the DPAT Assessment by Consultants and subsequent validation (Quality Assurance Review) of the Assessment Reports.

Table 4: Activity Schedule for Monitoring and Validation of Assessment Reports

Activity	Responsibility	Timeline	Recipient
Prepare ToR for monitoring and validation	MLGDRD	2 months before assessment	Monitoring Team
Set up Monitoring Team	MLGDRD	1 month before assessment	Monitoring Team
Prepare a Monitoring work plan	Monitoring Team/MLGDRD	2 weeks before assessment	Monitoring Team
Conduct orientation sessions for the Assessment	MLGDRD	At least one (1) week before assessment	Consultants
Undertake Field Monitoring of the Assessment	Monitoring Team	During assessment	MMDAs (& Consultants?)
Prepare and collate field monitoring reports on the Assessment	Monitoring Team	1 week after the monitoring	MLGDRD
Submit findings of monitoring report	MLGDRD	First SC meeting upon completion of MMDAs performance assessment	SC
Undertake and submit report of validation of Assessment Reports	MLGDRD	1-2 weeks after completion of the DPAT Assessment	TWG and Consultants

Annex 1: DPAT Indicators – (Compliance, Service Delivery & Performance)
Annex 1: DPAT Indicators – (Compliance, Service Delivery & Performance)

SECTION A: COMPLIANCE INDICATORS

Thematic Area	Indicator	Assessment Guide/Requirement	Means of verification	Fulfilled	Not Fulfilled
CI 1.0 General Assembly Meetings and Approvals	1.1 Meetings of the General Assembly	From the District Coordinating Director (DCD) receive information on the General Assembly Meetings held in 2020. i. If the Assembly held at least three ordinary Meetings in 2020 with Minutes of Meetings duly recorded and signed by both PM and DCD; ii. If the ordinary meeting was convened through a notice of meeting issued within two weeks before the meeting date and duly signed by the convener; and iii. If there is evidence of decisions (e.g. Resolutions; if applicable) made by the General Assembly during the convened meetings, Then the CI is fulfilled. (Local Governance Act, 2016 (Act 936) Section 18 and the Model Standing Orders for District, Municipal and Metropolitan Assemblies, Sections 2 and 3)	Invitation letters, Minutes of Meetings, Dispatch book, Attendance book, PVs for allowances and receipts for logistics procured for the meeting, WhatsApp, email		
	1.2 Approval of the Budget and Annual Action Plan	From the DCD obtain Minutes of Meeting of the General Assembly approving the 2021 Budget and Annual Action Plan: i. If the budget was presented by the Executive Committee to the General	Minutes of the General Assembly Meeting, Minutes of Meeting of the Executive Committee,		

Thematic Area	Indicator	Assessment Guide/Requirement	Means of verification	Fulfilled	Not Fulfilled
		Assembly and approved latest by 31st October *2020* and ii. If the Annual Action Plan was duly approved by the General Assembly by 31st October, 2020; Then the CI is fulfilled *(Local Governance Act, 2016 (Act 936), Section 12 and 21(2a);* *(Composite Budget Manual, 2012)*	Minutes of Meeting of the DPCU and Budget Committee		
	1.3 Meetings of the Sub-structures	From the District Coordinating Director, receive information on the activities or operations of the established sub-structures (Sub-Metros/ Urban/ Town/ Area/ Zonal Councils) of the Assembly: i. If each of the sub-structures established by the Assembly held at least one (1) Meeting prior to each of the three mandatory Ordinary Meetings of the General Assembly; and ii. If records exist on their establishment, staffing and ceding of 50% of revenue collected, for **all** the established sub-structures. Then the CI is fulfilled (Local Governance Act, 2016 (Act 936) Section 15 & 16 (d & e)	Invitation letters and Minutes of Meetings. Meeting attendance book with members' contact numbers. Records/Files on all established sub-structures Records on revenue collected by all established sub-structures Memos, PVs and Bank Statements on transfer (ceding) of		

Thematic Area	Indicator	Assessment Guide/Requirement	Means of verification	Fulfilled	Not Fulfilled
		(Local Government (Urban, Zonal and Town Councils and Unit Committees) Establishment Instrument of 2010, LI 1967)	50% of revenue collected by all established sub-structures		
CI 2.0 Functionality of Statutory & Mandatory Organs of the Assembly	2.1 Executive Committee Meetings	From the DCD receive and review the composition, attendance and minutes of meetings of the Executive Committee/Authority (EC/A): If at least a meeting of the EC/A was held prior to each of the three mandated General Assembly meetings in 2020, and minutes duly recorded and signed by both DCD and DCE Then the CI is fulfilled. (Local Governance Act, 2016 (Act 936) Sections 19, 21 & 22)	Minutes of Meeting, Attendance List, List of Recommendations made		
	2.2 Meetings of the Sub Committees of the Assembly	From the DCD receive and confirm the composition, attendance and minutes of the meetings of the 5 Statutory Sub-Committees in 2020. 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 2020 and minutes are recorded and signed by both the secretary and the chairperson of sub-committees, Then the CI is fulfilled *(Local Governance Act, 2016 (Act 936), sections 23 & 24)*	Minutes of Meeting, List of Members and List of Decisions taken		

Thematic Area	Indicator	Assessment Guide/Requirement	Means of verification	Fulfilled	Not Fulfilled
	2.3 Management Meetings	From the DCD receive copies of duly recorded and signed Minutes of Meetings of Management in 2020 If Management Meetings were held, at least quarterly, and duly attended by at least 8 out 11 for District Assemblies; 10 out of 13 for Municipal Assemblies and 13 out of 16 for Metropolitan Assemblies of HoDs, Then the CI is fulfilled. *(Local Governance Act, 2016 (Act 936) Second Schedule)* *Schedule 1 of the Departments of District Assemblies (Commencement) Instrument, 2009 (L.I. 1961)*	Invitation Letters, Minutes of Management meetings, List of decisions taken		
	2.4 Meetings of the Public Relations and Complaints Committee of the Assembly	From the DCD, obtain Minutes of Meeting of the Public Relations and Complaints Committee meetings i. If PRCC is functional and Minutes of Meetings and recommendations from the meetings are available, ii. If **all complaints** reported have been duly processed and recommendations made, and iii. If action has been taken on all the recommendations, in (ii) Then, the CI is fulfilled	Minutes of Meetings, List of Members, List of cases submitted to the PRCC and Reports on actions taken on the committee's recommendations		

Thematic Area	Indicator	Assessment Guide/Requirement	Means of verification	Fulfilled	Not Fulfilled
		(Local Governance Act, 2016 (Act 936), sections26 & 27)			
	2.5 Meetings of the Spatial Planning Committee ( )	From the DCD obtain information on the membership of the Spatial Planning Committee, invitation letters to meetings and minutes of monthly meetings for 2020. i. If the spatial planning committee is duly constituted and have Minutes of Meeting of all monthly Meetings recorded and duly signed by secretary and chairperson; and ii. If there is evidence in the form of Minutes of Meetings approving the preparation/ revision of local plans, Then the CI is fulfilled. (Land Use and Spatial Planning Act, 2016 (Act 925); Section 41 (1)	Spatial Planning committee file, Minutes of Meetings Signed Attendance and allowances sheets, and payment vouchers		
CI 3.0 Public Financial Management and Auditing	3.1 Meetings of the Entity Tender Committee (ETC) and Procurement Plans Approval	From the DCD receive information on the preparation and approval of the 2021 Procurement Plan by 30th November 2020 and obtain quarterly updated Procurement Plans from the Procurement Plan for 2020. i. If the Entity Tender Committee met as required by law (at least once in every quarter and have duly recorded and signed Minutes of Meeting; ii. If the 2021 Annual Procurement Plan is linked to the 2021 Composite Budget and Annual Action Plan (AAP)	Minutes of Meeting of the Entity Tender Committee, Annual Procurement Plan, PPA Guidelines, Updated Procurement Plans,		

Thematic Area	Indicator	Assessment Guide/Requirement	Means of verification	Fulfilled	Not Fulfilled
		and approved by 30th November 2020 by the Entity Tender Committee, as evidenced by minutes of meeting and follows the PPA guidelines; and iii. If all the 2020 quarterly updated Procurement Plans were duly prepared by the Procurement Unit and were approved at the quarterly meetings of the Entity Tender Committee, Then the CI is fulfilled. *(Part III, Section 21, Sub section 1, PPA Act 663 2003, as amended with Act 914)*	List of Members of the Entity Tender Committee		
	3.2 Functionality of the Internal Audit Unit	From the DCD obtain information on the Internal Audit Unit of the Assembly: i. If the Internal Audit Unit has submitted the Annual Audit Work Plan to the DCD and Audit Committee within 30 days after the beginning of the financial year; and ii. If all quarterly Internal Audits have been conducted and reports submitted to the DCD and the Chair of the Audit Committee of the Assembly within thirty (30) days after the end of each quarter, Then the CI is fulfilled.	Annual Audit Work Plan, Memo, Letters Quarterly Internal Audit Reports Verification of submission of Audit Report dates from the Chair of Audit Committee and DCD Transmittal letters, Dispatch book		

Thematic Area	Indicator	Assessment Guide/Requirement	Means of verification	Fulfilled	Not Fulfilled
		(PFM Act 2016, (Act 921) Sections 83 (6&7); Internal Audit Agency Act 2003 (Act 658)) *(Local Governance Act, 2016 (Act 936), sections 175 (4b))*			
	3.3 Functionality of the Audit Committee	From the District Coordinating Director (DCD) receive information on the Audit Committee of the Assembly: i. If the Audit Committee is duly constituted and met at least twice during 2020, with Minutes of Meeting duly signed by the Secretary and Chairperson; ii. If Management has submitted responses to both Internal Audit reports and Management Letter within 30 days as stipulated by law and have taken action on all audit observations, Then the CI is fulfilled. *PFM Act 2016, Act 921, Sections 87 & 88.* *Audit Service Act 584, Section 29*	List of Audit Committee Membership Management responses Minutes of Meeting Signed Audit Committee Reports Signed attendance sheet/book		
	3.4 Preparation and submission of monthly financial reports	From MLGDRD and ODACF receive data on the submission 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 Inspectorate Unit (MLGDRD) and ODACF If both monthly Financial Reports and Transcripts for 2020 were prepared in the manner prescribed above	Messenger's receipt Dispatch books. Inspectorate Unit (MLGDRD Head office),		

Thematic Area	Indicator	Assessment Guide/Requirement	Means of verification	Fulfilled	Not Fulfilled
		and submitted to the Inspectorate Unit and Transcript to ODACF within 15 days after the month to which they relate, Then the CI is fulfilled. *(Part VII, Section 75 of the Financial Memoranda, 2004 of the MLGDRD)*	Monthly Submission from ODACF		
CI 4.0 Transparency, Accountability & Participation	4.1 Functionality of Client Service Unit (CSU)	From the DCD receive information on the Client Service Unit: i. If the Client Service Unit has been established with a schedule Officer and functional; and ii. If there is a report on activities of the Client Service Unit, Then the CI is fulfilled. *(Local Governance Act, 2016* Act 936 Section 27 (Sub section 1d)	Established CSU, Activity Report, Complaint's book / Forms Physical verification		
	4.2 Availability of Approved Annual Budget & Annual Action Plan	From the DCD receive copies of the approved 2021 Annual Budget and Annual Action Plan: i. If the approved Annual Budget and Annual Action Plan were published on the Assembly's website and ii. If the approved Annual Budget and Annual Action Plan were distributed to members of the	Transmittal Letters, Dispatch Book, Website, Copies of Annual Budget and Annual Action Plan		

Thematic Area	Indicator	Assessment Guide/Requirement	Means of verification	Fulfilled	Not Fulfilled
		DPCU, Assembly Members and Sub-Structures, Then the CI is fulfilled *(Local Governance Act, 2016 (Act 936) Section 172; National Development Planning (System), Regulations, 2016 (LI 2232))*			
	4.3 Presentation of Auditor General's Report to the General Assembly	From the DCD, receive Minutes of Meeting of the General Assembly. If the 2019 Auditor General's report was discussed by the Finance and Administration subcommittee and the Executive Committee and subsequently presented to the General Assembly for discussion. Then the CI is fulfilled Local Governance Act, 2016 Act 936 [Section 176 (5)]	Minutes of General Assembly Meetings Minutes of Finance and Administration subcommittee Meetings Minutes of Executive Committee Meetings		
	4.4 Organization of Town Hall Meetings & MMDCEs Engagement with Communities	From the DCD receive reports on Town Hall Meetings and MMDCEs engagements with communities: i. If the Assembly organized at least two (2) Town Hall Meetings on Annual Budget and Work Plans on Implementation (in the first quarter) and preparation of the Annual Budget and Work Plans (in the third quarter) respectively, using PFM templates; and	Minutes of Meetings of Town Hall Meetings (with pictures), Reports of MMDCE's community engagements (with pictures),		

Thematic Area	Indicator	Assessment Guide/Requirement	Means of verification	Fulfilled	Not Fulfilled
		ii. If the MMDCE held Community Durbars in at least **20%** of communities in District Assemblies; **30%** in Municipal Assemblies and **50%** in Metropolitan Assemblies addressing grievances of the communities, Then the CI is fulfilled (Local Governance Act, 2016 (Act 936), Section 40]	PFM Templates, List of all communities in the District, MMDCE's itinerary for Community Engagements, Annual Progress Reports (APR)		

SECTION B: SERVICE DELIVERY INDICATORS (SDIs)

THEMATIC AREA: MANAGEMENT & COORDINATION – IMPLEMENTATION OF SERVICE DELIVERY DECISIONS (5)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
SDI 1.0	**1.1 General Assembly Decisions**	From the DCD, receive signed Minutes of Meetings of the three mandatory Meetings of the General Assembly: i. If the General Assembly took at **least 50% decisions** on improving service delivery in any sector of the District, **score 1;** **Examples of services:** Water, Electric power, Health, Education, Hospitality, Telecom, Banking, Transportation, Insurance, Roads, Sanitation and Recreational services. *(Local Governance Act, 2016 (Act 936) Section 18)3*	Minutes of Assembly Meetings Reports, Pictures, Payment Vouchers for sitting allowances, (with signed list of collection by GA members) List of Decisions taken at each Ordinary General Assembly Meetings	**1**	
	1.2 Management Actions taken on Assembly decisions	From the DCD, receive signed minutes of meetings of the Management of the Assembly: i. If Management has implemented at least 50% of the service delivery improvement decisions (1.1i) of the General Assembly, evidenced by reports and relevant supporting documents, **score 2.** *Local Governance Act, 2016 (Act 936) Section 18*	GA minutes of meeting Minutes of meeting of Management Implementation reports Physical verification	**2**	
	1.3 Assembly Support to Sub-structures	From the DCD, receive reports on the activities of all established sub-structures of the Assembly and Assembly's DACF allocation to Sub-structures:	File on ceded revenue, Reports on communal service, Memos, pictures, etc	**2**	

THEMATIC AREA: MANAGEMENT & COORDINATION – IMPLEMENTATION OF SERVICE DELIVERY DECISIONS (5)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
		i. If all the sub-structures utilized at least **30%** of their ceded Revenue to support activities that benefit the Community, **score 1,** else **score 0** ii. If the Assembly has spent at least **90%** of the up-to 2% DACF release to its Sub-Structures, to support the substructures, **score 1**, else **score 0.** *(Local Government (Urban, Zonal and Town Councils and Unit Committees) Establishment Instrument of 2010, LI 1961)* *Guidelines for the Disbursement and Management of the District Assembly Common Fund Allocation*	Substructures Files/ reports, pictures of activities supported Financial Reports		
		TOTAL		**5**	

THEMATIC AREA: BASIC / SOCIAL SERVICES (15)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
SDI 2.0	**2.1 Water Services**	From the DCD, receive information on Collaboration between the Assembly and Ghana Water Company Limited (GWCL) on Service Delivery in the District; **i. If there is evidence of collaboration/ facilitation between the Assembly and GWCL/CWSA/Small Water System/ and the provision of water in the District, score 1;** **ii.** If at least **80%** of applications for Service has been processed **score 1;** *iii.* If at least **70%** of the applications processed for service has been provided to applicant/communities as a result of the collaboration/ facilitation, **score additional 1;** *Local Governance Act, 2016 (Act 936) Section 12 (Sub Sections 4 b, d & e, Sub-Section 5, Sub-Section 7); Goal 6 of the Sustainable Development Goals, the 2030 Agenda)*	List of Water Service Applicants, Data on applications approved, Minutes of Meetings Letters on collaborations and requests Interview with Coordinating Director/ Assembly members of beneficiary communities Annual Progress Reports	**3**	
	2.2 Electricity Services	From the DCD, receive information on collaboration between the Assembly and Electricity Company of Ghana (ECG)/ **VRA/ NEDCO** on Service Delivery in the District; **i.** If there is evidence of collaboration/ facilitation between the Assembly and ECG/ VRA/ NEDCO in the District, **score 1;** *ii.* If at least **80%** of applications for Service has been processed **score 1**;	List of electric power Applicants, Copies of applications approved, **Evidence of payment Letters from the Assembly to Service Provider	**3**	

THEMATIC AREA: BASIC / SOCIAL SERVICES (15)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
		iii. If at least 70%of the application processed for service has been provided to applicants/ Communities as a result of the collaboration/ facilitation **score additional 1**; *Local Governance Act, 2016 (Act 936) Section 12 (Sub Sections 4 b, d & e, Sub-Section 5, Sub-Section 7)* *Goal 6 of the Sustainable Development Goals, the 2030 Agenda*	Interview with Coordinating Director/ Assembly members of beneficiary communities Annual Progress Reports		
	2.3 Sanitation Services	From the DCD receive information on the utilisation of the IGF collected for the year: **i.** If at least **20%** of the IGF was spent on sanitation improvement services in the District and there is evidence of implementation, **score 2**; **Eligible Expenditures are below:** • Activities and programmes on Solid Waste Management – Collection, Haulage or Transportation, Disposal or Treatment or Reuse • Activities and programmes on Liquid Waste Management and Drain Cleansing – Containment, Collection, Transportation/Conveyance, Disposal or Treatment or Reuse • Activities on Food Hygiene and Safety • Sanitation Legislation and Enforcement Management • Evidence of Monthly Sanitation Day Exercises	Sanitation reports IGF PVs Physical verification	**2**	

THEMATIC AREA: BASIC / SOCIAL SERVICES (15)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
		Local Governance Act, 2016 (Act 936) Section 12 (Sub sections 4 b, c & d) *Goal 6 of the Sustainable Development Goals, the 2030 Agenda)*			
	2.4 Maintenance of Infrastructure of Public Interest	From the DCD receive information on the Operations & Maintenance Plan and its implementation: i. If the plan includes public places of interest such as Markets, Community Centres, Lorry Parks, U-Drains, Schools, Hospitals or Clinics, CHPS Compounds, etc, **score 1**; ii. If the budget allocation for O&M is at least **10%** of Capital expenditure budget, **score 1;** and iii. If there is evidence of expenditure for O&M Budget proportional to 10% of the Capital Expenditure and there is evidence of implementation of the O&M Plan, score 1 *Local Governance Act, 2016 (Act 936) Section 12 (Sub section 3)*	Financial statements O&M plan O&M implementation reports Warrants	**3**	
	2.5 Availability of Client Service Charter	From the DCD receive a copy of the Client Service Charter of the Assembly: i. If the Assembly has a Client Service Charter evidenced by a resolution of the General	Assembly's Client Service Charter,	**1**	

THEMATIC AREA: BASIC / SOCIAL SERVICES (15)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
		Assembly approving the Charter, have been displayed on the Notice Board or the Assembly premises or website; **score 1;**	Minutes of GA Meeting approving the Charter, Assembly's website Notice Boards of Assembly and substructures		
	2.6 Services on the Transportation network	From the DCD, receive information on the Operations & Maintenance Plan and its implementation: i. If the Assembly has included road safety interventions or activities in their Medium-Term Development Plan and Annual Action Plan, **score 1** ii. If the Assembly has implemented at least 60% of the road safety interventions in their Annual Action Plan, **score 1** iii. If the District has a register of public transport operators, vehicles, drivers and terminals, **score 1** Road Traffic Regulation (2012) L.I 2180	MTDP Annual Progress Report Roads maintenance reports O&M Plan Register for Public transport network	**3**	
		TOTAL		**15**	

THEMATIC AREA: PHYSICAL AND SPATIAL PLANNING SERVICES (9)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
SDI 3.0	**3.1 Establishment of Planning and Building Inspectorate Unit**	From the DCD receive information on the Planning and Building Inspectorate Unit of the Assembly: i. If the Planning and Building Inspectorate Unit has been established with Office and Staff or if the function has been performed by the Assembly's Works Department, **score 1**, and ii. If there is a detailed report on the activities of the Unit with actions taken on all recommendations, **score 2** else **score 0.**	Building and Inspection File Inspection reports Physical verification Quarterly Monitoring reports . Field Visits to confirm activities	**3**	
	3.2 Building Permit Processing & Issuance	From the DCD obtain information on the number of Building Permit applications and Management response to Applications for 2020: i. If at least **90%** of permit applications received were processed, approved, issued and communicated to applicants within 90 days of receipt of applications, by the Spatial Planning Committee, **score 2** and ii. If all the building permits approved and issued to applicants in 2020 are traceable to the Local Plans, **score 1,** else score **0.** (*Land Use and Spatial Planning Act 2016, (Act 925); Section 38(1c&e)) & 41 (1)) and Land Use and Spatial Planning Regulation 2019 LI 2384; Regulation 44 (10))*	Building permit file, Spatial Planning Committee Meeting minutes. Monitoring and Inspection File Application Register/ Book Technical Sub-committee meetings Letters to Applicants on approved permits	**3**	

THEMATIC AREA: PHYSICAL AND SPATIAL PLANNING SERVICES (9)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
			Physical verification of Local Plan Sites Field visits Report of Building and Planning Inspectorate unit		
	3.3 Street Naming Database and Property Addressing	From the DCD obtain detailed information on street naming and property addressing database: **i.** If the Assembly has a functional street naming and property addressing database, **score 1;** **ii.** If the database has been mapped out, printed and displayed at the Assembly premises and sub-structures , **score 1;** **iii.** If the Assembly has installed at least **60%** of its named streets, **score 1,** if less than **60%** **score 0**. *(Regulations 83 of Land Use and Spatial Planning Regulation 2019 LI 2384)*	Functional Street Naming Database (Appropriate Software, not excel), Street Addressing map of District, List of Street Names and Report on installation of street addressing/directional signage, Local Plans Evidence and report on Property Addressing & Embossments, PVs, Memos, Printed Database displayed	**3**	
		TOTAL		**9**	

THEMATIC AREA: SOCIAL PROTECTION, GENDER & NUTRITION (14)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
SDI 4.0	**4.1 Social Protection Services available in the District**	From the DCD and Head of Department of Social Welfare and Community Development receive information on the operations of the Department of Social Welfare & Community Development: **i.** If the list of Social Services is available to the citizens, **score 1;** **ii.** If the District has implemented at least 60% of its action plans on social protection from their AAP, **score 1;** **iii.** If there is a report on services rendered including referrals and collaborations with other stakeholders in Social Protection, **score 1.**	List of social services Activity implementation Reports Social Welfare Annual report MMDA Annual Progress report	**3**	
	4.2 Availability of Shelters (Transitional Housing) in the District	From the DCD and Head of Department of Social Welfare and Community Development receive information on the operations of Residential Home Centres (RHCs) (Transitional Housing) in the District: i. If the Department has at least one (1) Residential Home Centre **and there** is report on the operations of the centre, score 1	Transitional Housing reports Physical verification Housing Facility documents Building contract/Rental documents	**1**	
	4.3 Availability of Dedicated Hotline for the Vulnerable	From the DCD and Head of Department of Social Welfare and Community Development receive information on the operations of the Department of Social Welfare and Community Development:	Physical verification (Posted) at the Assembly premises, Substructures, Public places, schools, etc	**1**	

THEMATIC AREA: SOCIAL PROTECTION, GENDER & NUTRITION (14)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
		i. If the District has a dedicated functional hotline for vulnerable groups, **score 1, else score 0.**			
	4.4 Service to People Living with Disabilities (PWDs)	From the DCD and Head of Department of Social Welfare and Community Development receive information on the management of People Living with Disabilities (PWD): i. If the District has enrolled at least **90%** of PWDs registered with the District on National Health Insurance Scheme, **score 1;** ii. If the District has provided resources and engaged at least **50%** of the registered PWDs on Productive Inclusive / Income Generating Activities (IGAs), **score 1**; and iii. If the District has built the capacity of at least **30%** of the registered PWDs in a vocation or skill, **score 1.** *(Section 5 of the Guidelines for the Disbursement and Management of the District Assembly Common Fund Allocation to Persons with Disability (NCPD/GFD, 2010)*	List of PWDs registered on NHIS Registered List of PWDs PWDs training reports Annual Progress Reports PVs Distribution List Store Received Vouchers (SRVs)	**3**	
	4.5 Deepening Gender Mainstreaming	From the DCD, receive information on the Gender mainstreaming activities for 2020: i. If at least 20% of Members on each of the Statutory Sub-Committees are Women, score 2	Social Welfare Progress Reports List of Members of the Sub-Committees	**4**	

THEMATIC AREA: SOCIAL PROTECTION, GENDER & NUTRITION (14)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
		ii. If the District Assembly supports 80% of Gender activities to promote equality and non-discrimination against women and girls in the District, **score 1;** iii. If there is evidence of planning of infrastructural projects and programmes according to women needs, **score 1 else score 0.** *Goal 5 of the Sustainable Development Goals, the 2030 Agenda)*	Scope of infrastructure Minutes of meetings Annual Progress Reports Gender Desk Reports		
	4.6 Nutrition Services	From the DCD, receive information on Nutrition activities in the District: i. If the Environmental Health Unit has list of nutrition-oriented interventions or linkages available and published on the Assemblies website or notice board, **score 1**; ii. If the Assembly has oriented food vendors and school feeding programme contractors on nutrition, **score 1** *(Goal 2 of the Sustainable Development Goals, the 2030 Agenda)*	Social Welfare Progress Reports Environmental Health Reports Websites/Notice boards List of food vendors List of nutrition-oriented interventions	**2**	
		TOTAL		**14**	

THEMATIC AREA: ENVIRONMENTAL HEALTH, SANITATION & CLIMATE ACTION (12)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
SDI 5.0	**5.1 Availability of Sanitation Service Providers**	From the DCD, receive information on sanitation management i. If the District has an approved list of sanitation service provider(s) or if Assembly provides the services by itself, **score 1;** ii. If there is evidence of monitoring and evaluation of the services of the service provider(s), **score 1**; *Goal 6 of the Sustainable Development Goals, the 2030 Agenda)*	Register of Service Providers Sanitation reports Contracts with service providers Monitoring reports Environmental Sanitation Strategy and Action Plan	**2**	
	5.2 Availability of Final Dumping Site	From the DCD receive information on disposal of refuse and dumping sites i. If there is availability of a well-maintained dumping site or Engineered Landfills according to Environmental Health Standards, **score 1** ii. If the District has a functional final disposal site or Co-ownership for Solid/liquid waste with documentary evidence, **score 2.** *Goal 6 of the Sustainable Development Goals, the 2030 Agenda)*	Environmental Health Reports/ EPA Certification Sanitation reports Solid/Liquid Waste disposal reports Ownership documents Contractual Agreement	**3**	

THEMATIC AREA: ENVIRONMENTAL HEALTH, SANITATION & CLIMATE ACTION (12)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
	5.3 Monitoring and Issuance of Certificates to Food and Beverage Vendors	From the DCD receive information on the operations of food and beverage vendors i. If the District has a register of food and beverage vendors, **score 1,** ii. If the District has conducted screening (medical tests with reports provided) for food vendors and at least **80%** of the screened food vendors were issued with certificates for year 2020, **score 1.** iii. If there is evidence of monitoring and follow-up actions on food hygiene, etc, **score 1.** *Goal 3 of the Sustainable Development Goals, the 2030 Agenda)*	List of food vendors Medical Screening reports Certification reports on food vendors Food hygiene monitoring reports	**3**	
	5.4 Availability of Institutional Toilet facilities and Water in Public Schools	From the DCD and Director, GES receive information on public schools in the District: i. If **at least 80%** of Public schools in the District have functional Institutional Toilet facilities and Water facilities as at 2020, **score 2** *Goal 6 of the Sustainable Development Goals, the 2030 Agenda)*	Lists of public schools Database on facilities in public schools Physical verification Report from GES Director	**2**	
	5.5 Climate Change Interventions	From the DCD receive information on Climate Change interventions activity implementation; i. If the District has delivered or implemented **at least 80%** of climate adaptation activities from their Annual Action Plan (AAP), **score 1;**	AAP Progress reports on AAP Climate change activity reports	**2**	

THEMATIC AREA: ENVIRONMENTAL HEALTH, SANITATION & CLIMATE ACTION (12)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
		ii. If the District has a programme on tree planting / afforestation and there is evidence of implementation, **score 1.** *Goal 13 of the Sustainable Development Goals, the 2030 Agenda)*			
		TOTAL		**12**	

THEMATIC AREA: LOCAL ECONOMIC DEVELOPMENT (LED) (10)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
SDI 6.0	**6.1 Availability of District LED activities in the AAP**	From the DCD receive information on LED activities: If the District has implemented **at least 50%** of the LED activities in the Annual Action Plan (AAP), **score 2**	AAP LED Plan LED Activity reports Annual Progress Report	**2**	
	6.2 Engagement with Business Community	From the DCD receive information on LED activities: i. If the District has organized at least 2 **business forums/ Platform meetings** with the business community in the District, **score 1**; ii. If there is evidence of follow-up action on agreed actions from all the engagements in (i) above, **score 1.**	Lists of businesses Reports on business forums Implementation reports on engagements decisions	**2**	
	6.3 Availability of Demarcated Land Banks & Industrial Zone	From the DCD receive information on the local planning scheme of the District: i. If the District has a local plan with demarcated land banks, **score 1;** ii. If the District has a local plan with a dedicated industrial zone, **score 1;** iii. If there is evidence of action to engage land owners to acquire Land Banks , **score 1**	Local planning scheme Documents on industrial enclave Reports on investor engagements Correspondence and memos Traditional authority documents letter on lands released.	3	

THEMATIC AREA: LOCAL ECONOMIC DEVELOPMENT (LED) (10)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
	6.4 Support to Agricultural activities	From the DCD,, receive information on Agricultural services: i. If the District has a list of Agricultural Extension Agents (AEAs) and information on their mapping to Operational Areas for delivery of support services to farmers, etc, **score 1;** ii. If there are records on linkage of farmers or stakeholders to government programmes in Agriculture, **score 1**; **iii.** If there is evidence of actions taken to modernize agriculture in the District and there is evidence that at least 80% of funds allocated to Agriculture has been released and spent, **score 1.** Examples of interventions in **"modernizing agriculture"** are: Processing of agriculture products, introduction of high-yielding seedlings, modern post-harvest technology, meat processing centres, cold-chain transportation of meat, use of gas to process slaughtered animals. *Goal 2 of the Sustainable Development Goals, the 2030 Agenda)*	Report on farmer support Reports on agricultural activities Pictures on activities and facilities.	**3**	
		TOTAL		**10**	
		SDI SUB-TOTAL		**65**	

SECTION C: PERFORMANCE INDICATORS (PIs)

THEMATIC AREA: ANNUAL ACTION PLAN IMPLEMENTATION (14)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
PI 1.0	**1.1 Implementation of AAP**	From DCD receive reports on the implementation of projects and programmes in the Annual Action Plan. If there is evidence that **at least 90%** of activities implemented in 2020 are from the approved Annual Action Plan, score 2, else 0. *Local Governance Act, 2016 (Act 936) Section 12 (Sub section 3), Section 82 (Sub section 2)*	Annual progress reports AAP	**2**	
	1.2 Monitoring of District Projects and Activities	From DCD receive monitoring reports on all district programmes and projects i. If a clear budgetary provision has been made for M&E and **80%** of Budgetary allocation released for the implementation of planned monitoring activities, **score 1**, else score 0. ii. If there is evidence of multi-stakeholder participation in monitoring activities, **score 1** *Local Governance Act, 2016 (Act 936) Section 12 (Sub section 4e) Section 40*	AAPs List of members of monitoring team Monitoring Report Progress Report Monitoring checklist	**2**	
	1.3 Records on Contract Management and Administration	From the DCD, obtain information on contract management and administration i. If final completion reports on all completed projects are available and all completed projects are in use, **score 2, else score 0.**	Signed Minutes of Meeting of site meetings, Contracts register, Final Completion Reports (Closure)	**3**	

THEMATIC AREA: ANNUAL ACTION PLAN IMPLEMENTATION (14)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
		ii. If contingency has been provided for works and used with written justification and duly approved, **score 1,** or If contingency has not been used score 1 else **score 0.** (*Conditions of contract section 3 paragraph E56*)	Auditor General 's report Project Files, Procurèrent plan		
	1.4 Record on follow up of deduction at source	From the DCD, receive a copy of the list of Contracts/Services related to Deductions at Source: i. If a copy of the contract(s) is/are available, score 1 ii. If there is evidence of implementation (contract implementation reports), score 1 iii. If there is no adverse findings on Central Government Deductions, score 1, else score 0	Auditor General's report. Signed Contract Agreement Environmental Health Quarterly Monitoring Reports Reports of Other Contracts Evidence of Certification of Payment	3	
	1.4 Environmental & Social Safeguards	From the DCD, receive information on all ongoing physical projects (works):	List of Safeguards Team, Screening Forms for ongoing Projects,	4	

THEMATIC AREA: ANNUAL ACTION PLAN IMPLEMENTATION (14)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
		i. If the MMDA has screening forms for all ongoing projects (physical works) on Project Files, **score 1;** ii. If the MMDA has acquired EPA permits for all ongoing projects (physical works), **score 2;** iii. If the works department's report on adherence to occupational health and safety standards is available, **score 1.** *(Goal 15 of the Sustainable Development Goals, the 2030 Agenda)*	EPA Permits, Memos, PVs, Works Department Monitoring report Minutes of Site meetings		
		TOTAL		**14**	

THEMATIC AREA: CAPACITY BUILDING (5)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
PI 2.0	**2.1 Implementation Capacity building plan**	From the DCD and OHLGS receive a copy of the TNA and Capacity Building Plan and Reports. i. If all quarterly reports on capacity building activities from the capacity building plan and DPAT recommendations, were received with sex disaggregated data, within 15 days after the end of the quarter, **score 1**, else **score 0**. ii. If the Assembly has implemented 80% of its capacity building plan, score 1 *Local Governance Act, 2016 (Act 936) Section 52 (Sub section f),*	Quarterly Training Reports from OHLGS Accredited consulting firm Technical and financial proposals Signed contract, and signed participants' list with contacts details, Training manuals/course handouts Training Needs Assessment (TNA), PVs and supporting documents	**2**	
	2.2 Post-training impact assessment	From the DCD receive a copy of the 2020 implementation of Capacity Building/training reports. If there is evidence of post-training impact assessment conducted by the Human Resource Management Department (HRMD) at least three months after the training was held, **score 3** *Local Governance Act, 2016 (Act 936) Section 52 (Sub section f),*	Impact assessment reports	**3**	
		TOTAL		**5**	

THEMATIC AREA: REVENUE GENERATION (8)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
PI 3.0	**3.1 Payment Points**	From the DCD obtain detailed information on all established payment points and options available to citizens in the District: If the Assembly established at least 5 payment points for Metros, 3 or more for Municipals, 2 or more for Districts (including payment points sited within the Assembly premises), **score 3;** else **score, 0.** *(Local Governance Act, 2016 (Act 936), section 161)*	Files on payment points Physical verification	**3**	
	3.2 Revenue from Rateable Properties and Businesses	From the DCD obtain information on rateable properties and businesses database. i. If there is an established computerized billing system, linked to property rate roll and business inventory, **score 1;** ii. If property rates and business operating permit bills have been generated and delivered to **all property and business owners** before **31st December, 2020**, **score 2; and** iii. If there is evidence of follow-up actions by the MMDA on defaulters/non-payers of 2019 Bills by the **31st March 2020; score 2, else score 0.** *Local Governance Act, 2016 (Act 936), sections 154 and 161)*	Billing system Reminders/notifications Reports, Software in operation, Billing notices and records Revenue Improvement Action Plan	**5**	

		TOTAL		**8**	

THEMATIC AREA: AUDIT PERFORMANCE (3)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**	**Maximum score**	**Actual score**
PI 4.0	4.1 Responsiveness to Audit Reports and Management Letters	From the District Coordinating Director (DCD) receive information on the Audit Committee of the Assembly: i. If the Audit Committee has reviewed responses to **all Audit Observations** in Quarterly Internal Audit Reports and the **Management Letter for 2020**, score 1	Minutes of the Audit Committee Meetings	**1**	
	4.2 Adverse Audit Findings / Audit Infractions	From the DCD receive a copy of the Auditor General's Annual Audit Report for 2020 on financial irregularities reported on embezzlement and /or misappropriation; i. If the sum total of Cash irregularities is less than 1% of the total expenditure of the Assembly for 2020, score 1 ii. If the sum total of all other financial irregularities is less than 3% of the consolidated expenditure of the Assembly for 2020, score 1, else score 0 ****Percentage of financial irregularities is calculated as: (financial irregularities/ total expenditure) * 100 for Cash and other irregularities* *Public Financial Management Act, 2016 (Act 921); Section 84 (Local Governance Act, 2016 (Act 936); Section 176; The Constitution of Ghana, Articles 187 & 253; Audit Service Act, 2000 (Act 584); section 29)* ***NB: Audit Irregularities are determined by the Auditor-General.***	Auditor-General's Reports for 2020 on IGF, DACF and other Statutory Funds	**2**	
		TOTAL	**3**		

THEMATIC AREA: ACCESS TO SOCIAL SERVICES (4)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Means of verification**		**Actual score**
PI 5.0	**5.1 Support to Education Services**	From the DCD and District Director of Education receive information on the list of public schools in the District and challenges faced by the schools: i. If the Assembly has supported at least 15% of the Public Schools within the district to address their challenges furniture, teaching and learning materials (TLMs), etc, **score 2**. *Local Governance Act, 2016 (Act 936) Section 12 (Sub section 3). Section 81 (Sub section 4) Goal 4 of the Sustainable Development Goals, the 2030 Agenda)*	List of Public schools Support to Schools reports District education progress reports	**2**	
	5.2 Support to Health Services	From the DCD and District Director of Health receive information on the list of public health facilities in the District and challenges faced by the centres: i. If the Assembly has supported at least 15% of the public health centres to address their challenges, **score 2.** *Local Governance Act, 2016 (Act 936) Section 12 (Sub section 3), Section 81 (Sub section 4) Goal 3 of the Sustainable Development Goals, the 2030 Agenda)*	List of public health facilities, Support to health centres reports, District health progress reports	**2**	
		TOTAL		**4**	
		SUB-TOTAL (PIs)		**35**	

Annex 2: Consultant's Assessment Reporting Format

SECTION A: COMPLIANCE INDICATORS

Thematic Area	Indicator	Assessment Guide/Requirement	Fulfilled	Not Fulfilled	Findings/Observations & Conclusion
CI 1.0 General Assembly Meetings and Approvals	1.1 Meetings of the General Assembly	From the District Coordinating Director (DCD) receive information on the General Assembly Meetings held in 2020. iv. If the Assembly held at least three ordinary Meetings in 2020 with Minutes of Meetings duly recorded and signed by both PM and DCD; v. If the ordinary meeting was convened through a notice of meeting issued within two weeks before the meeting date and duly signed by the convener; and vi. If there is evidence of decisions (e.g. Resolutions; if applicable) made by the General Assembly during the convened meetings, Then the CI is fulfilled. (Local Governance Act, 2016 (Act 936) Section 18 and the Model Standing Orders for District, Municipal and Metropolitan Assemblies, Sections 2 and 3)			
	1.2 Approval of the Budget and Annual Action Plan	From the DCD obtain Minutes of Meeting of the General Assembly approving the 2021 Budget and Annual Action Plan: iii. If the budget was presented by the Executive Committee to the General			

Thematic Area	Indicator	Assessment Guide/Requirement	Fulfilled	Not Fulfilled	Findings/Observations & Conclusion
		Assembly and approved latest by 31st October *2020* and iv. If the Annual Action Plan was duly approved by the General Assembly by 31st October, 2020; Then the CI is fulfilled *(Local Governance Act, 2016 (Act 936), Section 12 and 21(2a);* *(Composite Budget Manual, 2012)*			
	1.3 Meetings of the Sub-structures	From the District Coordinating Director, receive information on the activities or operations of the established sub-structures (Sub-Metros/ Urban/ Town/ Area/ Zonal Councils) of the Assembly: iii. If each of the sub-structures established by the Assembly held at least one (1) Meeting prior to each of the three mandatory Ordinary Meetings of the General Assembly; and iv. If records exist on their establishment, staffing and ceding of 50% of revenue collected, for **all** the established sub-structures. Then the CI is fulfilled (Local Governance Act, 2016 (Act 936) Section 15 & 16 (d & e)			

Thematic Area	Indicator	Assessment Guide/Requirement	Fulfilled	Not Fulfilled	Findings/Observations & Conclusion
		(Local Government (Urban, Zonal and Town Councils and Unit Committees) Establishment Instrument of 2010, LI 1967)			
CI 2.0 Functionality of Statutory & Mandatory Organs of the Assembly	2.1 Executive Committee Meetings	From the DCD receive and review the composition, attendance and minutes of meetings of the Executive Committee/Authority (EC/A): If at least a meeting of the EC/A was held prior to each of the three mandated General Assembly meetings in 2020, and minutes duly recorded and signed by both DCD and DCE Then the CI is fulfilled. (Local Governance Act, 2016 (Act 936) Sections 19, 21 & 22)			
	2.2 Meetings of the Sub Committees of the Assembly	From the DCD receive and confirm the composition, attendance and minutes of the meetings of the 5 Statutory Sub-Committees in 2020. 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 2020 and minutes are recorded and signed by both the secretary and the chairperson of sub-committees, Then the CI is fulfilled *(Local Governance Act, 2016 (Act 936), sections 23 & 24)*			

<table>
<tr><th>Thematic Area</th><th>Indicator</th><th>Assessment Guide/Requirement</th><th>Fulfilled</th><th>Not Fulfilled</th><th>Findings/Observations & Conclusion</th></tr>
<tr><td></td><td>2.3 Management Meetings</td><td>From the DCD receive copies of duly recorded and signed Minutes of Meetings of Management in 2020

If Management Meetings were held, at least quarterly, and duly attended by at least 8 out 11 for District Assemblies; 10 out of 13 for Municipal Assemblies and 13 out of 16 for Metropolitan Assemblies of HoDs,

Then the CI is fulfilled.

(Local Governance Act, 2016 (Act 936) Second Schedule)

Schedule 1 of the Departments of District Assemblies (Commencement) Instrument, 2009 (L.I. 1961)</td><td></td><td></td><td></td></tr>
<tr><td></td><td>2.4 Meetings of the Public Relations and Complaints Committee of the Assembly</td><td>From the DCD, obtain Minutes of Meeting of the Public Relations and Complaints Committee meetings

iv. If PRCC is functional and Minutes of Meetings and recommendations from the meetings are available,

v. If all complaints reported have been duly processed and recommendations made, and

vi. If action has been taken on all the recommendations, in (ii)

Then, the CI is fulfilled</td><td></td><td></td><td></td></tr>
</table>

Thematic Area	Indicator	Assessment Guide/Requirement	Fulfilled	Not Fulfilled	Findings/Observations & Conclusion
		(Local Governance Act, 2016 (Act 936), sections26 & 27)			
	2.5 Meetings of the Spatial Planning Committee ( )	From the DCD obtain information on the membership of the Spatial Planning Committee, invitation letters to meetings and minutes of monthly meetings for 2020. iii. If the spatial planning committee is duly constituted and have Minutes of Meeting of all monthly Meetings recorded and duly signed by secretary and chairperson; and iv. If there is evidence in the form of Minutes of Meetings approving the preparation/ revision of local plans, Then the CI is fulfilled. (Land Use and Spatial Planning Act, 2016 (Act 925); Section 41 (1)			
CI 3.0 Public Financial Management and Auditing	3.1 Meetings of the Entity Tender Committee (ETC) and Procurement Plans Approval	From the DCD receive information on the preparation and approval of the 2021 Procurement Plan by 30th November 2020 and obtain quarterly updated Procurement Plans from the Procurement Plan for 2020. i. If the Entity Tender Committee met as required by law (at least once in every quarter and have duly recorded and signed Minutes of Meeting; ii. If the 2021 Annual Procurement Plan is linked to the 2021 Composite Budget and Annual Action Plan (AAP)			

Thematic Area	Indicator	Assessment Guide/Requirement	Fulfilled	Not Fulfilled	Findings/Observations & Conclusion
		and approved by 30th November 2020 by the Entity Tender Committee, as evidenced by minutes of meeting and follows the PPA guidelines; and iii. If all the 2020 quarterly updated Procurement Plans were duly prepared by the Procurement Unit and were approved at the quarterly meetings of the Entity Tender Committee, Then the CI is fulfilled. *(Part III, Section 21, Sub section 1, PPA Act 663 2003, as amended with Act 914)*			
	3.2 Functionality of the Internal Audit Unit	From the DCD obtain information on the Internal Audit Unit of the Assembly: iii. If the Internal Audit Unit has submitted the Annual Audit Work Plan to the DCD and Audit Committee within 30 days after the beginning of the financial year; and iv. If all quarterly Internal Audits have been conducted and reports submitted to the DCD and the Chair of the Audit Committee of the Assembly within thirty (30) days after the end of each quarter, Then the CI is fulfilled.			

<table>
<tr><th>Thematic Area</th><th>Indicator</th><th>Assessment Guide/Requirement</th><th>Fulfilled</th><th>Not Fulfilled</th><th>Findings/Observations & Conclusion</th></tr>
<tr><td></td><td></td><td>(PFM Act 2016, (Act 921) Sections 83 (6&7); Internal Audit Agency Act 2003 (Act 658))
(Local Governance Act, 2016 (Act 936), sections 175 (4b))</td><td></td><td></td><td></td></tr>
<tr><td></td><td>3.3 Functionality of the Audit Committee</td><td>From the District Coordinating Director (DCD) receive information on the Audit Committee of the Assembly:

iii. If the Audit Committee is duly constituted and met at least twice during 2020, with Minutes of Meeting duly signed by the Secretary and Chairperson;

iv. If Management has submitted responses to both Internal Audit reports and Management Letter within 30 days as stipulated by law and have taken action on all audit observations,

Then the CI is fulfilled.

PFM Act 2016, Act 921, Sections 87 & 88.
Audit Service Act 584, Section 29</td><td></td><td></td><td></td></tr>
<tr><td></td><td>3.4 Preparation and submission of monthly financial reports</td><td>From MLGDRD and ODACF receive data on the submission 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 Inspectorate Unit (MLGDRD) and ODACF

If both monthly Financial Reports and Transcripts for 2020 were prepared in the manner prescribed above</td><td></td><td></td><td></td></tr>
</table>

Thematic Area	Indicator	Assessment Guide/Requirement	Fulfilled	Not Fulfilled	Findings/Observations & Conclusion
		and submitted to the Inspectorate Unit and Transcript to ODACF within 15 days after the month to which they relate, Then the CI is fulfilled. *(Part VII, Section 75 of the Financial Memoranda, 2004 of the MLGDRD)*			
CI 4.0 Transparency, Accountability & Participation	4.1 Functionality of Client Service Unit (CSU)	From the DCD receive information on the Client Service Unit: iii. If the Client Service Unit has been established with a schedule Officer and functional; and iv. If there is a report on activities of the Client Service Unit, Then the CI is fulfilled. *(Local Governance Act, 2016* Act 936 Section 27 (Sub section 1d)			
	4.2 Availability of Approved Annual Budget & Annual Action Plan	From the DCD receive copies of the approved 2021 Annual Budget and Annual Action Plan: iii. If the approved Annual Budget and Annual Action Plan were published on the Assembly's website and iv. If the approved Annual Budget and Annual Action Plan were distributed to members of the DPCU, Assembly Members and Sub-Structures,			

Thematic Area	Indicator	Assessment Guide/Requirement	Fulfilled	Not Fulfilled	Findings/Observations & Conclusion
		Then the CI is fulfilled *(Local Governance Act, 2016 (Act 936) Section 172; National Development Planning (System), Regulations, 2016 (LI 2232))*			
	4.3 Presentation of Auditor General's Report to the General Assembly	From the DCD, receive Minutes of Meeting of the General Assembly. If the 2019 Auditor General's report was discussed by the Finance and Administration subcommittee and the Executive Committee and subsequently presented to the General Assembly for discussion. Then the CI is fulfilled Local Governance Act, 2016 Act 936 [Section 176 (5)]			
	4.4 Organization of Town Hall Meetings & MMDCEs Engagement with Communities	From the DCD receive reports on Town Hall Meetings and MMDCEs engagements with communities: iii. If the Assembly organized at least two (2) Town Hall Meetings on Annual Budget and Work Plans on Implementation (in the first quarter) and preparation of the Annual Budget and Work Plans (in the third quarter) respectively, using PFM templates; and iv. If the MMDCE held Community Durbars in at least **20%** of communities in District Assemblies; **30%** in Municipal Assemblies and			

Thematic Area	Indicator	Assessment Guide/Requirement	Fulfilled	Not Fulfilled	Findings/Observations & Conclusion
		50% in Metropolitan Assemblies addressing grievances of the communities, Then the CI is fulfilled (Local Governance Act, 2016 (Act 936), Section 40]			

SECTION B: SERVICE DELIVERY INDICATORS (SDIs)

THEMATIC AREA: MANAGEMENT & COORDINATION – IMPLEMENTATION OF SERVICE DELIVERY DECISIONS (5)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings / Observations & Conclusion**
SDI 1.0	**1.1 General Assembly Decisions**	From the DCD, receive signed Minutes of Meetings of the three mandatory Meetings of the General Assembly: ii. If the General Assembly took at **least 50% decisions** on improving service delivery in any sector of the District, **score 1;** **Examples of services:** Water, Electric power, Health, Education, Hospitality, Telecom, Banking, Transportation, Insurance, Roads, Sanitation and Recreational services. *(Local Governance Act, 2016 (Act 936) Section 18)3*	**1**		
	1.2 Management Actions taken on Assembly decisions	From the DCD, receive signed minutes of meetings of the Management of the Assembly: ii. If Management has implemented at least 50% of the service delivery improvement decisions (1.1i) of the General Assembly, evidenced by reports and relevant supporting documents, **score 2.** *Local Governance Act, 2016 (Act 936) Section 18*	**2**		
	1.3 Assembly Support to Sub-structures	From the DCD, receive reports on the activities of all established sub-structures of the Assembly and Assembly's DACF allocation to Sub-structures:	**2**		

THEMATIC AREA: MANAGEMENT & COORDINATION – IMPLEMENTATION OF SERVICE DELIVERY DECISIONS (5)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings / Observations & Conclusion**
		iii. If all the sub-structures utilized at least **30%** of their ceded Revenue to support activities that benefit the Community, **score 1,** else **score 0** iv. If the Assembly has spent at least **90%** of the up-to 2% DACF release to its Sub-Structures, to support the substructures, **score 1**, else **score 0.** *(Local Government (Urban, Zonal and Town Councils and Unit Committees) Establishment Instrument of 2010, LI 1961)* *Guidelines for the Disbursement and Management of the District Assembly Common Fund Allocation*			
		TOTAL		**5**	

THEMATIC AREA: BASIC / SOCIAL SERVICES (15)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
SDI 2.0	**2.1 Water Services**	From the DCD, receive information on Collaboration between the Assembly and Ghana Water Company Limited (GWCL) on Service Delivery in the District; **iv. If there is evidence of collaboration/ facilitation between the Assembly and GWCL/CWSA/Small Water System/ and the provision of water in the District, score 1;** **v.** If at least **80%** of applications for Service has been processed **score 1;** *vi.* If at least **70%** of the applications processed for service has been provided to applicant/communities as a result of the collaboration/ facilitation, **score additional 1;** *Local Governance Act, 2016 (Act 936) Section 12 (Sub Sections 4 b, d & e, Sub-Section 5, Sub-Section 7); Goal 6 of the Sustainable Development Goals, the 2030 Agenda)*	3		
	2.2 Electricity Services	From the DCD, receive information on collaboration between the Assembly and Electricity Company of Ghana (ECG)/ **VRA/ NEDCO** on Service Delivery in the District; **iv.** If there is evidence of collaboration/ facilitation between the Assembly and ECG/ VRA/ NEDCO in the District, **score 1;** *v.* If at least **80%** of applications for Service has been processed **score 1**;	3		

THEMATIC AREA: BASIC / SOCIAL SERVICES (15)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
		vi. If at least 70%of the application processed for service has been provided to applicants/ Communities as a result of the collaboration/ facilitation **score additional 1**; *Local Governance Act, 2016 (Act 936) Section 12 (Sub Sections 4 b, d & e, Sub-Section 5, Sub-Section 7)* *Goal 6 of the Sustainable Development Goals, the 2030 Agenda*			
	2.3 Sanitation Services	From the DCD receive information on the utilisation of the IGF collected for the year: **ii.** If at least **20%** of the IGF was spent on sanitation improvement services in the District and there is evidence of implementation, **score 2**; **<u>Eligible Expenditures are below:</u>** • Activities and programmes on Solid Waste Management – Collection, Haulage or Transportation, Disposal or Treatment or Reuse • Activities and programmes on Liquid Waste Management and Drain Cleansing – Containment, Collection, Transportation/Conveyance, Disposal or Treatment or Reuse • Activities on Food Hygiene and Safety • Sanitation Legislation and Enforcement Management • Evidence of Monthly Sanitation Day Exercises	**2**		

THEMATIC AREA: BASIC / SOCIAL SERVICES (15)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
		Local Governance Act, 2016 (Act 936) Section 12 (Sub sections 4 b, c & d) *Goal 6 of the Sustainable Development Goals, the 2030 Agenda)*			
	2.4 Maintenance of Infrastructure of Public Interest	From the DCD receive information on the Operations & Maintenance Plan and its implementation: i. If the plan includes public places of interest such as Markets, Community Centres, Lorry Parks, U-Drains, Schools, Hospitals or Clinics, CHPS Compounds, etc, **score 1**; ii. If the budget allocation for O&M is at least **10%** of Capital expenditure budget, **score 1;** and iii. If there is evidence of expenditure for O&M Budget proportional to 10% of the Capital Expenditure and there is evidence of implementation of the O&M Plan, score 1 *Local Governance Act, 2016 (Act 936) Section 12 (Sub section 3)*	**3**		
	2.5 Availability of Client Service Charter	From the DCD receive a copy of the Client Service Charter of the Assembly: ii. If the Assembly has a Client Service Charter evidenced by a resolution of the General	**1**		

THEMATIC AREA: BASIC / SOCIAL SERVICES (15)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
		Assembly approving the Charter, have been displayed on the Notice Board or the Assembly premises or website; **score 1;**			
	2.6 Services on the Transportation network	From the DCD, receive information on the Operations & Maintenance Plan and its implementation: iv. If the Assembly has included road safety interventions or activities in their Medium-Term Development Plan and Annual Action Plan, **score 1** v. If the Assembly has implemented at least 60% of the road safety interventions in their Annual Action Plan, **score 1** vi. If the District has a register of public transport operators, vehicles, drivers and terminals, **score 1** Road Traffic Regulation (2012) L.I 2180	**3**		
		TOTAL	**15**		

THEMATIC AREA: PHYSICAL AND SPATIAL PLANNING SERVICES (9)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
SDI 3.0	**3.1 Establishment of Planning and Building Inspectorate Unit**	From the DCD receive information on the Planning and Building Inspectorate Unit of the Assembly: i. If the Planning and Building Inspectorate Unit has been established with Office and Staff or if the function has been performed by the Assembly's Works Department, **score 1**, and ii. If there is a detailed report on the activities of the Unit with actions taken on all recommendations, **score 2** else **score 0.**	**3**		
	3.2 Building Permit Processing & Issuance	From the DCD obtain information on the number of Building Permit applications and Management response to Applications for 2020: i. If at least **90%** of permit applications received were processed, approved, issued and communicated to applicants within 90 days of receipt of applications, by the Spatial Planning Committee, **score 2** and ii. If all the building permits approved and issued to applicants in 2020 are traceable to the Local Plans, **score 1,** else score **0.** (*Land Use and Spatial Planning Act 2016, (Act 925); Section 38(1c&e)) & 41 (1)) and Land Use and Spatial Planning Regulation 2019 LI 2384; Regulation 44 (10))*	**3**		

THEMATIC AREA: PHYSICAL AND SPATIAL PLANNING SERVICES (9)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
	3.3 Street Naming Database and Property Addressing	From the DCD obtain detailed information on street naming and property addressing database: **iv.** If the Assembly has a functional street naming and property addressing database, **score 1;** **v.** If the database has been mapped out, printed and displayed at the Assembly premises and sub-structures , **score 1;** **vi.** If the Assembly has installed at least **60%** of its named streets, **score 1,** if less than **60% score 0**. *(Regulations 83 of Land Use and Spatial Planning Regulation 2019 LI 2384)*	3		
		TOTAL	**9**		

THEMATIC AREA: SOCIAL PROTECTION, GENDER & NUTRITION (14)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
SDI 4.0	**4.1 Social Protection Services available in the District**	From the DCD and Head of Department of Social Welfare and Community Development receive information on the operations of the Department of Social Welfare & Community Development: **iv.** If the list of Social Services is available to the citizens, **score 1;** **v.** If the District has implemented at least 60% of its action plans on social protection from their AAP, **score 1;** **vi.** If there is a report on services rendered including referrals and collaborations with other stakeholders in Social Protection, **score 1.**	**3**		
	4.2 Availability of Shelters (Transitional Housing) in the District	From the DCD and Head of Department of Social Welfare and Community Development receive information on the operations of Residential Home Centres (RHCs) (Transitional Housing) in the District: ii. If the Department has at least one (1) Residential Home Centre **and there** is report on the operations of the centre, score 1	**1**		
	4.3 Availability of Dedicated Hotline for the Vulnerable	From the DCD and Head of Department of Social Welfare and Community Development receive information on the operations of the Department of Social Welfare and Community Development:	**1**		

THEMATIC AREA: SOCIAL PROTECTION, GENDER & NUTRITION (14)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
		ii. If the District has a dedicated functional hotline for vulnerable groups, **score 1, else score 0.**			
	4.4 Service to People Living with Disabilities (PWDs)	From the DCD and Head of Department of Social Welfare and Community Development receive information on the management of People Living with Disabilities (PWD): iv. If the District has enrolled at least **90%** of PWDs registered with the District on National Health Insurance Scheme, **score 1;** v. If the District has provided resources and engaged at least **50%** of the registered PWDs on Productive Inclusive / Income Generating Activities (IGAs), **score 1**; and vi. If the District has built the capacity of at least **30%** of the registered PWDs in a vocation or skill, **score 1.** *(Section 5 of the Guidelines for the Disbursement and Management of the District Assembly Common Fund Allocation to Persons with Disability (NCPD/GFD, 2010)*	**3**		
	4.5 Deepening Gender Mainstreaming	From the DCD, receive information on the Gender mainstreaming activities for 2020:	**4**		

THEMATIC AREA: SOCIAL PROTECTION, GENDER & NUTRITION (14)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
		iv. If at least 20% of Members on each of the Statutory Sub-Committees are Women, score 2 v. If the District Assembly supports 80% of Gender activities to promote equality and non-discrimination against women and girls in the District, **score 1;** vi. If there is evidence of planning of infrastructural projects and programmes according to women needs, **score 1 else score 0.** *Goal 5 of the Sustainable Development Goals, the 2030 Agenda)*			
	4.6 Nutrition Services	From the DCD, receive information on Nutrition activities in the District: iii. If the Environmental Health Unit has list of nutrition-oriented interventions or linkages available and published on the Assemblies website or notice board, **score 1**; iv. If the Assembly has oriented food vendors and school feeding programme contractors on nutrition, **score 1** *(Goal 2 of the Sustainable Development Goals, the 2030 Agenda)*	**2**		
		TOTAL	**14**		

THEMATIC AREA: ENVIRONMENTAL HEALTH, SANITATION & CLIMATE ACTION (12)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
SDI 5.0	**5.1 Availability of Sanitation Service Providers**	From the DCD, receive information on sanitation management iii. If the District has an approved list of sanitation service provider(s) or if Assembly provides the services by itself, **score 1;** iv. If there is evidence of monitoring and evaluation of the services of the service provider(s), **score 1**; *Goal 6 of the Sustainable Development Goals, the 2030 Agenda)*	**2**		
	5.2 Availability of Final Dumping Site	From the DCD receive information on disposal of refuse and dumping sites iii. If there is availability of a well-maintained dumping site or Engineered Landfills according to Environmental Health Standards, **score 1** iv. If the District has a functional final disposal site or Co-ownership for Solid/liquid waste with documentary evidence, **score 2.** *Goal 6 of the Sustainable Development Goals, the 2030 Agenda)*	**3**		

THEMATIC AREA: ENVIRONMENTAL HEALTH, SANITATION & CLIMATE ACTION (12)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
	5.3 Monitoring and Issuance of Certificates to Food and Beverage Vendors	From the DCD receive information on the operations of food and beverage vendors ii. If the District has a register of food and beverage vendors, **score 1,** ii. If the District has conducted screening (medical tests with reports provided) for food vendors and at least **80%** of the screened food vendors were issued with certificates for year 2020, **score 1.** iii. If there is evidence of monitoring and follow-up actions on food hygiene, etc, **score 1.** *Goal 3 of the Sustainable Development Goals, the 2030 Agenda)*	**3**		
	5.4 Availability of Institutional Toilet facilities and Water in Public Schools	From the DCD and Director, GES receive information on public schools in the District: ii. If **at least 80%** of Public schools in the District have functional Institutional Toilet facilities and Water facilities as at 2020, **score 2** *Goal 6 of the Sustainable Development Goals, the 2030 Agenda)*	**2**		
	5.5 Climate Change Interventions	From the DCD receive information on Climate Change interventions activity implementation; iii. If the District has delivered or implemented **at least 80%** of climate adaptation activities from their Annual Action Plan (AAP), **score 1;**	**2**		

THEMATIC AREA: ENVIRONMENTAL HEALTH, SANITATION & CLIMATE ACTION (12)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
		iv. If the District has a programme on tree planting / afforestation and there is evidence of implementation, **score 1.** *Goal 13 of the Sustainable Development Goals, the 2030 Agenda)*			
		TOTAL	**12**		

THEMATIC AREA: LOCAL ECONOMIC DEVELOPMENT (LED) (10)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
SDI 6.0	**6.1 Availability of District LED activities in the AAP**	From the DCD receive information on LED activities: If the District has implemented **at least 50%** of the LED activities in the Annual Action Plan (AAP), **score 2**	**2**		
	6.2 Engagement with Business Community	From the DCD receive information on LED activities: iii. If the District has organized at least 2 **business forums/ Platform meetings** with the business community in the District, **score 1**; iv. If there is evidence of follow-up action on agreed actions from all the engagements in (i) above, **score 1.**	**2**		
	6.3 Availability of Demarcated Land Banks & Industrial Zone	From the DCD receive information on the local planning scheme of the District: iv. If the District has a local plan with demarcated land banks, **score 1;** v. If the District has a local plan with a dedicated industrial zone, **score 1;** vi. If there is evidence of action to engage land owners to acquire Land Banks , **score 1**	3		
	6.4 Support to Agricultural activities	From the DCD,, receive information on Agricultural services: iv. If the District has a list of Agricultural Extension Agents (AEAs) and information on their	**3**		

THEMATIC AREA: LOCAL ECONOMIC DEVELOPMENT (LED) (10)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
		mapping to Operational Areas for delivery of support services to farmers, etc, **score 1;** v. If there are records on linkage of farmers or stakeholders to government programmes in Agriculture, **score 1**; **vi.** If there is evidence of actions taken to modernize agriculture in the District and there is evidence that at least 80% of funds allocated to Agriculture has been released and spent, **score 1.** Examples of interventions in **“modernizing agriculture”** are: Processing of agriculture products, introduction of high-yielding seedlings, modern post-harvest technology, meat processing centres, cold-chain transportation of meat, use of gas to process slaughtered animals. *Goal 2 of the Sustainable Development Goals, the 2030 Agenda)*			
		TOTAL	**10**		
		SDI SUB-TOTAL	**65**		

SECTION C: PERFORMANCE INDICATORS (PIs)

THEMATIC AREA: ANNUAL ACTION PLAN IMPLEMENTATION (14)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
PI 1.0	**1.1 Implementation of AAP**	From DCD receive reports on the implementation of projects and programmes in the Annual Action Plan. If there is evidence that **at least 90%** of activities implemented in 2020 are from the approved Annual Action Plan, score 2, else 0. *Local Governance Act, 2016 (Act 936) Section 12 (Sub section 3), Section 82 (Sub section 2)*	**2**		
	1.2 Monitoring of District Projects and Activities	From DCD receive monitoring reports on all district programmes and projects ii. If a clear budgetary provision has been made for M&E and **80%** of Budgetary allocation released for the implementation of planned monitoring activities, **score 1**, else score 0. ii. If there is evidence of multi-stakeholder participation in monitoring activities, **score 1** *Local Governance Act, 2016 (Act 936) Section 12 (Sub section 4e) Section 40*	**2**		
	1.3 Records on Contract	From the DCD, obtain information on contract management and administration			

THEMATIC AREA: ANNUAL ACTION PLAN IMPLEMENTATION (14)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
	Management and Administration	i. If final completion reports on all completed projects are available and all completed projects are in use, **score 2, else score 0.** ii. If contingency has been provided for works and used with written justification and duly approved, **score 1,** or If contingency has not been used score 1 else **score 0.** (*Conditions of contract section 3 paragraph E56*)	**3**		
	1.4 Record on follow up of deduction at source	From the DCD, receive a copy of the list of Contracts/Services related to Deductions at Source: iv. If a copy of the contract(s) is/are available, score 1 v. If there is evidence of implementation (contract implementation reports), score 1 vi. If there is no adverse findings on Central Government Deductions, score 1, else score 0	**3**		
	1.4 Environmental & Social Safeguards	From the DCD, receive information on all ongoing physical projects (works):	**4**		

THEMATIC AREA: ANNUAL ACTION PLAN IMPLEMENTATION (14)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
		iv. If the MMDA has screening forms for all ongoing projects (physical works) on Project Files, **score 1;** v. If the MMDA has acquired EPA permits for all ongoing projects (physical works), **score 2;** vi. If the works department's report on adherence to occupational health and safety standards is available, **score 1.** *(Goal 15 of the Sustainable Development Goals, the 2030 Agenda)*			
		TOTAL	**14**		

THEMATIC AREA: CAPACITY BUILDING (5)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
PI 2.0	**2.1 Implementation Capacity building plan**	From the DCD and OHLGS receive a copy of the TNA and Capacity Building Plan and Reports. iii. If all quarterly reports on capacity building activities from the capacity-building plan and DPAT recommendations were received with sex-disaggregated data, within 15 days after the end of the quarter, **score 1**, else **score 0**. iv. If the Assembly has implemented 80% of its capacity building plan, score 1 *Local Governance Act, 2016 (Act 936) Section 52 (Sub section f),*	**2**		
	2.2 Post-training impact assessment	From the DCD receive a copy of the 2020 implementation of Capacity Building/training reports. If there is evidence of post-training impact assessment conducted by the Human Resource Management Department (HRMD) at least three months after the training was held, **score 3** *Local Governance Act, 2016 (Act 936) Section 52 (Sub section f),*	**3**		
		TOTAL	**5**		

THEMATIC AREA: REVENUE GENERATION (8)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
PI 3.0	**3.1 Payment Points**	From the DCD obtain detailed information on all established payment points and options available to citizens in the District: **i.** If the Assembly established at least 5 payment points for Metros, 3 or more for Municipals, 2 or more for Districts (including payment points sited within the Assembly premises), **score 3;** else **score, 0.** *(Local Governance Act, 2016 (Act 936), section 161)*	**3**		
	3.2 Revenue from Rateable Properties and Businesses	From the DCD obtain information on rateable properties and businesses database. i. If there is an established computerized billing system, linked to property rate roll and business inventory, **score 1;** ii. If property rates and business operating permit bills have been generated and delivered to **all property and business owners** before **31st December, 2020**, **score 2; and** iii. If there is evidence of follow-up actions by the MMDA on defaulters/non-payers of 2019 Bills by the **31st March 2020; score 2, else score 0.** *Local Governance Act, 2016 (Act 936), sections 154 and 161)*	**5**		
		TOTAL	**8**		

THEMATIC AREA: AUDIT PERFORMANCE (3)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum score**	**Actual score**	**Findings/Observations & Conclusion**
PI 4.0	4.1 Responsiveness to Audit Reports and Management Letters	From the District Coordinating Director (DCD) receive information on the Audit Committee of the Assembly: ii. If the Audit Committee has reviewed responses to **all Audit Observations** in Quarterly Internal Audit Reports and the **Management Letter for 2020**, score 1	**1**		
	4.2 Adverse Audit Findings / Audit Infractions	From the DCD receive a copy of the Auditor General's Annual Audit Report for 2020 on financial irregularities reported on embezzlement and /or misappropriation; i. If the sum total of Cash irregularities is less than 1% of the total expenditure of the Assembly for 2020, score 1 ii. If the sum total of all other financial irregularities is less than 3% of the consolidated expenditure of the Assembly for 2020, score 1, else score 0 ****Percentage of financial irregularities is calculated as: (financial irregularities/ total expenditure) * 100 for Cash and other irregularities* *Public Financial Management Act, 2016 (Act 921); Section 84* *(Local Governance Act, 2016 (Act 936); Section 176;*	**2**		

		The Constitution of Ghana, Articles 187 & 253; Audit Service Act, 2000 (Act 584); section 29) ***NB: Audit Irregularities are determined by the Auditor-General.***			
		TOTAL	3		

THEMATIC AREA: ACCESS TO SOCIAL SERVICES (4)					
No.	**Indicator**	**Assessment Guide/Requirement**	**Maximum Score**	**Actual score**	**Findings/Observations & Conclusion**
PI 5.0	**5.1 Support to Education Services**	From the DCD and District Director of Education receive information on the list of public schools in the District and challenges faced by the schools: ii. If the Assembly has supported at least 15% of the Public Schools within the district to address their challenges furniture, teaching and learning materials (TLMs), etc, **score 2**. *Local Governance Act, 2016 (Act 936) Section 12 (Sub section 3). Section 81 (Sub section 4) Goal 4 of the Sustainable Development Goals, the 2030 Agenda)*	**2**		
	5.2 Support to Health Services	From the DCD and District Director of Health receive information on the list of public health facilities in the District and challenges faced by the centres: ii. If the Assembly has supported at least 15% of the public health centres to address their challenges, **score 2.** *Local Governance Act, 2016 (Act 936) Section 12 (Sub section 3), Section 81 (Sub section 4) Goal 3 of the Sustainable Development Goals, the 2030 Agenda)*	**2**		

		TOTAL		**4**	
		SUB-TOTAL (PIs)		**35**	

Annex 3: Reporting Formats

A. DOCUMENTS REQUIRED FOR ASSESSMENT

Name of MMDA: ……………………………………………………
Zone:…………………………………………………………………..

Date of Assessment: ………………….

No.	Indicators	Documents	Tick
COMPLIANCE INDICATORS			
CI. 1	General Assembly Meetings and Approvals	Minutes of Meeting of the General Assembly for 2020,	
		Invitation letters for General Assembly Meetings for 2020,	
		Signed Attendance sheet for General Assembly Meetings	
CI. 2	Other Statutory Meetings / Requirements	Minutes of Meetings of the Executive Committee/ Authority (EC/ A) for 2020, Invitation letters for Executive Committee/ Authority Meetings for 2020	
CI. 3	Public Financial Management and Auditing	Minutes of Meetings of the Entity Tender Committee (ETC)	
		Procurement Plan	
		Signed Quarterly Internal Audit Report for 2020,	
		Messenger Receipt Dispatch Book	
CI. 4	Transparency, Accountability & Participation	CSU activity report and Complaint's book	
		Minutes of Meetings of Town Hall Meetings,	
		List of all Communities in the District,	
		MMDCE's itinerary for Community Engagements Annual Progress Reports (APR)	
		Reports of Community engagements,	

No.	Indicators	Documents	Tick
SERVICE DELIVERY INDICATORS (SDIs)			
SDI 1	Implementation of Decisions by General Assembly & Management (Follow-up Actions)	Minutes of Meeting of the General Assembly for 2020	
		File on ceded revenue, Reports on Communal service	
SDI 2	Basic/Social Services, Operations & Maintenance	List of Application for Social Services (Water and Electricity)	
		Sanitation Reports	
		Operations and Maintenance Plan	
		Implementation Report	
		Approved Assemblies Client Service Charter	
		Register for Public Transport	
SDI 3	Physical & Spatial Planning	Monitoring, Building and Inspection File and Reports	
		Minutes of Meeting of the Spatial Planning Committee (SPC)	
		Functional Database on Street Naming and Property Addressing	
		List of Street Names and Report on installation of street addressing/directional signage	
SDI 4	Social Protection, Gender & Nutrition	List of Social Services activity implementation Reports	
		Housing Reports	
		Evidence of dedicated hotlines for the Vulnerable	
		Annual Progress Reports on PWD	
		Social Welfare Progress Report	
SDI 5	Environmental Health, Sanitation & Climate Action	Sanitation reports and Contracts with service providers	
		Sanitation Monitoring reports	
		Environmental Health Reports/ EPA Certification	
		Liquid and Solid Waste disposal reports	

No.	Indicators	Documents	Tick
		Lists of food vendors	
		Certification reports on food vendors	
		Food hygiene monitoring reports	
		Lists of public schools and Database on facilities in public schools	
		Climate change activity reports	
SDI 6	Local Economic Development (LED)	LED Plan and activity reports,	
		Lists of businesses and Reports on Business Forums,	
		Local planning scheme,	
		Documents on industrial enclave,	
		Reports on Investor Engagements,	
		Reports on agricultural activities	
PERFORMANCE INDICATORS (PIs)			
PI 1	Work Plan Implementation	Annual progress reports on AAP	
		Monitoring Checklist and Report	
		Signed Minutes of Meetings of site meetings	
		Contract Register	
		Contract Agreements	
		List of Safeguards Team, Screening Forms for ongoing Projects	
		EPA Permits	
PI 2	Capacity Building	Quarterly Training Reports from OHLGS	
		Training manuals/course handouts	
		Training Needs Assessment (TNA)	
		PVs and supporting documents	
		Training Impact assessment reports	
PI 3	Revenue Generation	Files on payment points	
		Software in operation	
		Billing notices and records	

No.	Indicators	Documents	Tick
PI 4	Audit Performance	Auditor-General's Reports for 2020 on IGF, DACF and other Statutory Funds	
PI 5	Access to Social Services	List Of Public Schools and Support To Schools Reports	
		District Education Progress Reports	
		List Of Public Health Facilities and Support to Health Centre Reports,	
		District Health Progress Reports	

B. SUMMARY SCORING SHEET FOR DPAT INDICATORS

Name of MMDA: ………………………………………. Zone:…………………

Date of Assessment: …………………………………

NB: Consultant is to expand the details for the Compliance Indicators

No.	Thematic Area	Outcomes	
		Fulfilled	Not Fulfilled
SECTION A: COMPLIANCE INDICATORS (CI)			
CI. 1	General Assembly Meetings and Approvals		
CI. 2	Other Statutory Meetings / Requirements		
CI. 3	Public Financial Management and Auditing		
CI. 4	Transparency, Accountability & Participation		
SECTION B: SERVICE DELIVERY INDICATORS (SDIs)		Scoring	
		Max. Score	Actual Score
SDI 1	Implementation of Decisions by General Assembly & Management (Follow-up Actions)	5	
SDI 2	Basic/Social Services, Operations & Maintenance	15	
SDI 3	Physical & Spatial Planning	9	
SDI 4	Social Protection, Gender & Nutrition	14	
SDI 5	Environmental Health, Sanitation & Climate Action	12	
SDI 6	Local Economic Development (LED)	10	
	Sub-total (SDIs)	**65**	
SECTION C: PERFORMANCE INDICATORS (PIs)		Scoring	
		Actual Score	Actual Score
PI 1	Work Plan Implementation	15	
PI 2	Capacity Building	5	
PI 3	Revenue Generation	8	

No.	Thematic Area	Outcomes	
PI 4	Audit Performance	3	
PI 5	Access to Social Services	4	
	Sub-total (PIs)	**35**	
	TOTAL (SDI + PIs)	**100**	

C. CAPACITY BUILDING REQUIREMENTS - SUMMARY

Name of MMDA: ……………………………………………… Zone:……………

Date of Assessment:…………….

Thematic Area / Indicator	Area/Issue (What is the Issue?)	Challenge (What accounts for the issue/ problem?)	Process/Source (How was the Gap Identified?)	Recommendations (Software/Hardware)
COMPLIANCE INDICATORS				
SERVICE DELIVERY INDICATORS				
PERFORMANCE INDICATORS				
MMDA's CAPACITY BUILDING PLAN				

D. COMPLAINT FORM

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

Date of Assessment:…………………..

COMPLIANCE INDICATORS		DETAILS OF ISSUE
CI. 1	General Assembly Meetings and Approvals	
CI. 2	Other Statutory Meetings / Requirements	
CI. 3	Public Financial Management and Auditing	
CI. 4	Transparency, Accountability & Participation	
SERVICE DELIVERY INDICATORS (SDIs)		
SDI 1	Implementation of Decisions by General Assembly & Management (Follow-up Actions)	
SDI 2	Basic/Social Services, Operations & Maintenance	
SDI 3	Physical & Spatial Planning	
SDI 4	Social Protection, Gender & Nutrition	
SDI 5	Environmental Health, Sanitation & Climate Action	
SDI 6	Local Economic Development (LED)	
PERFORMANCE INDICATORS (PIs)		
PI 1	Work Plan Implementation	
PI 2	Capacity Building	
PI 3	Revenue Generation	
PI 4	Audit Performance	
PI 5	Access to Social Services	

………………. **(MMDCE)**

………………………. **(SUB-TEAM LEADER)**

E. ASSESSMENT DECLARATION FORM

MINISTRY OF LOCAL GOVERNMENT, DECENTRALISATION AND RURAL DEVELOPMENT

DISTRICT ASSESMBLY PERFORMANCE ASSESSMENT PROCESS

YEAR (……….)

ASSESSMENRT DECLARATION FORM

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):

………………………………………………………………………………………

…………………………………………………………………………………………

F. CONTENT/OUTLINE OF THE ASSESSMENT REPORT[1]

1. Cover Page
2. Declaration Form - Assessment Report
3. Complaints Form
4. Introduction / Background
5. Methodology used for the assessment
6. Summary of the results (fill in overview results for Compliance, Service Delivery and Performance Indicators) and draw conclusions
7. Notification of disagreement with the outcome of the Assessment
8. Summary of Capacity Building Requirements
9. Challenges in the Assessment
10. Specific and General Comments to individual aspects of the Assessment Process (a summary of the most important comments during the assessment of the Indicators)

Annex 1	Assessment of the Compliance Indicators
Annex 2	Assessment of the Service Delivery Indicators
Annex 3	Summary Scoring Table for Compliance, Service Delivery and Performance Indicators
Annex 4	Summary of Complaints
Annex 5	Summary of capacity building requirements
Annex 6	List of persons met (provide name, contact and designation of persons)
Annex 7	List of documents consulted (from the checklist) – Refer to Annex 3(A)

[1] This format is to used for district specific and consolidated reports

G. LIST OF PERSONS CONTACTED[2]

Name of MMDA: …………………………………… Zone:………………

Date of Assessment:…………………………..

No	Name	Position	Tel/Email	Signature

[2] This is only required for the District Report