

# **NATIONAL DEVELOPMENT PLANNING COMMISSION**



**REPUBLIC OF GHANA**

## **GUIDELINES FOR THE PREPARATION OF SECTOR MEDIUM-TERM DEVELOPMENT PLANS, 2018-2021**

**NDPC, FEBRUARY 2018**

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## FOREWORD

These guidelines are being issued to facilitate the preparation of sector medium-term development plans (SMTDPs) including monitoring and evaluation in accordance with Sections 1(3, 4), 10 and 11 of the National Development Planning (System) Act 1994 (Act 480) as well as Sections 15 to 19 of the National Development Planning (System) Regulation, 2016, LI 2232.

This document is the fifth in a series, launched in 1996 and the second set of combined guidelines for the preparation of i) sector medium-term development plans (SMTDPs) including monitoring and evaluation (M&E), and ii) Annual Progress Reports (APRs) from 2018 to 2021. The current guidelines are designed to assist in the translation of policy goals, objectives and strategies of the “Medium-Term National Development Policy framework, An Agenda for Jobs: Creating Prosperity and Equal Opportunity for All; (Agenda for Jobs), 2018-2021 as informed by the *President’s Coordinated Programme of Economic and Social Development Policies, 2017-2024*

The Agenda for Jobs, 2018-2021 is driven by the a vision to: ***“Create an optimistic, self-confident and prosperous nation, through the creative exploitation of our human and natural resources, and operating within a democratic, open and fair society in which mutual trust and economic opportunities exist for all”***

It has been mainstreamed with the Sustainable Development Goals (SDGs), African Union Agenda 2063 and the Paris Climate Change Agreement (COP21). Agenda for Jobs, 2018-2021 has four main goals in relation to the vision as follows;

- Create opportunities for all Ghanaians;
- Safeguard the natural environment and ensure a resilient, built environment;
- Maintain a stable, united and safe society; and
- Build a prosperous society.

To achieve these goals, the medium-term priority policies, programmes and projects will be anchored on the following strategic areas: restoring the economy; transforming agriculture and industry; strengthening social protection and inclusion; revamping economic and social infrastructure; and reforming public service delivery institutions. The policy objectives, strategies and flagship initiatives of Government contained in Agenda for Jobs, 2018-2021 are organized under the following broad themes: Economic development; Social development; Environment, Infrastructure and human settlements; Governance, corruption and public accountability; and Ghana’s role in international affairs. The details are provided in the Agenda for Jobs, which should be used together with these guidelines in the preparation of the sector medium-term development plans (SMTDPs).

These Guidelines are divided into four chapters. Chapter 1 introduces the background, rationale, process and structure of the Guidelines. Chapter 2 presents the national development planning system, detailing the legal framework, institutional arrangements, planning and the budgeting process. Chapter 3 addresses the role of key actors in the preparation of the SMTDP while Chapter 4 deals with the steps for preparing the SMTDPs including M&E and communication arrangements.

It is important to note that the Commission will be instituting an award system for the best performing MDAs in terms of planning and budgeting. The modalities will be communicated appropriately.

*Director General*

## ACRONYMS

AAP	-	Annual Action Plan
AIDS	-	Acquired Immuno Deficiency Syndrome
APR	-	Annual Progress Report
CD	-	Coordinating Director
CSOs	-	Civil Society Organizations
CSPG	-	Cross-sectoral Planning Group
DA	-	District Assembly
DACF	-	District Assembly Common Funds
DCE	-	District Chief Executive
DMTDP	-	District Medium Term Development Plan
DPCU	-	District Planning Coordinating Unit
EIA	-	Environmental Impact Assessment
GoG	-	Government of Ghana
GSGDA	-	Ghana Shared Growth and Development Agenda
GSS	-	Ghana Statistical Service
HIPC	-	Highly Indebted Poor Country
HIV	-	Human Immuno-Deficiency Virus
ICT	-	Information and Communication Technology
IGF	-	Internally Generated Funds
JICA	-	Japan International Cooperation Agency
LGS	-	Local Government Service
LI	-	Legislative Instrument
LTNDP	-	Long Term National Development Plan
M&E	-	Monitoring and Evaluation
MDAs	-	Ministries, Departments and Agencies
MIS	-	Management Information Systems
MMDAs	-	Metropolitan, Municipal, District Assemblies
MoF	-	Ministry of Finance
MTDPF	-	Medium Term Development Policy Framework
MTDP	-	Medium Term Development Plan
MTEF	-	Medium Term Expenditure Framework
NDPC	-	National Development Planning Commission
NDPS	-	National Development Planning Systems
NGO	-	Non-Governmental Organization
NMTDPF	-	National Medium-Term Development Policy Framework
OoP	-	Office of the President
PBB	-	Programme-Based Budgeting
PLWHA	-	Persons Living with HIV/AIDS
PoA	-	Programme of Action
POCC	-	Potentials, Opportunities, Constraints and Challenges
PPME	-	Policy, Planning, Monitoring and Evaluation
PPMED	-	Policy, Planning, Monitoring and Evaluation Department
PPP	-	Policies, Programmes and Projects
PPP	-	Public-private partnership
PSC	-	Private Sector Competitiveness

RCD	-	Regional Coordinating Director
REPO	-	Regional Economic Planning Officer
RPCU	-	Regional Planning Coordinating Unit
SD	-	Sustainable Development
SDGs	-	Sustainable Development Goals
SEA	-	Strategic Environmental Assessment
SMPC	-	Sector Medium-Term Development Plan Preparation Committee
SMTDP	-	Sector Medium-Term Development Plan
SONA	-	State of the Nation Address
STI	-	Sexually Transmitted Infections
SWOT	-	Strengths, Weaknesses, Opportunities and Threats
TOR	-	Terms of Reference
OoP	-	Office of the President

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# CHAPTER ONE

## INTRODUCTION

### 1.0 Background

The vision of Ghana as contained in the Agenda for Jobs, 2018-2021 is to “*Create an optimistic, self-confident and prosperous nation, through the creative exploitation of our human and natural resources, and operating within a democratic, open and fair society in which mutual trust and economic opportunities exist for all*”. The vision is to be accomplished through the formulation and implementation of 4-year medium-term development plans (MTDPs) by the districts and sectors in relation to the planning guidelines issued by the National Development Planning Commission.

This is in accordance with Section 1(3, 4), 10 and 11 of the National Development Planning (System) Act 1994 (Act 480), Sections 15 to 19 of the National Development Planning (System) Regulation, 2016, (LI 2232), which require the National Development Planning Commission to issue from time to time, legislative Instruments and Guidelines to regulate the decentralised national development planning system. Act 480 also mandates the National Development Planning Commission (NDPC) to *prescribe the format and content of development plans for districts, ministries and sector agencies*.

### 1.1 Rationale Behind the Guidelines

The Guidelines have been prepared to:

1. Enhance knowledge of the institutional context for plan preparation;
2. Provide the medium-term national development policy context for plan preparation by the sectors
3. Present a step-by-step guide for preparing a sector medium-term development plan;
4. Define the format and content of a district development plan;
5. Provide some recommended tools and analytical techniques to support the process of plan preparation by the sectors;
6. Enhance understanding of the link between the national development policy framework and implementation of international development frameworks such as au agenda 2063, un agenda 2030 (SDGS), etc.; and
7. Serve as a source of reference for civil society and the private sectors in preparing their strategic plans

### 1.2 Process of Developing the Guidelines

The Guidelines have been developed on the basis of extensive consultations with stakeholders, including MDAs, metropolitan, municipal and district assemblies (MMDAs), academia, NGOs, and various experts. This process aimed to ensure ownership and facilitate the preparation and implementation of the guidelines.

### **1.3 Structure of the Guidelines**

The document is divided into four chapters. Chapter 1 introduces the background, rationale, process and the structure of the Guidelines. Chapter 2 presents the national development planning system, detailing the legal framework, institutional arrangements, planning and budgeting process. Chapter 3 addresses the role of key actors in the preparation of the SMTDPs while Chapter 4 deals with the steps for preparing the SMTDPs, including M&E and Communication arrangement

### **1.4 Award System**

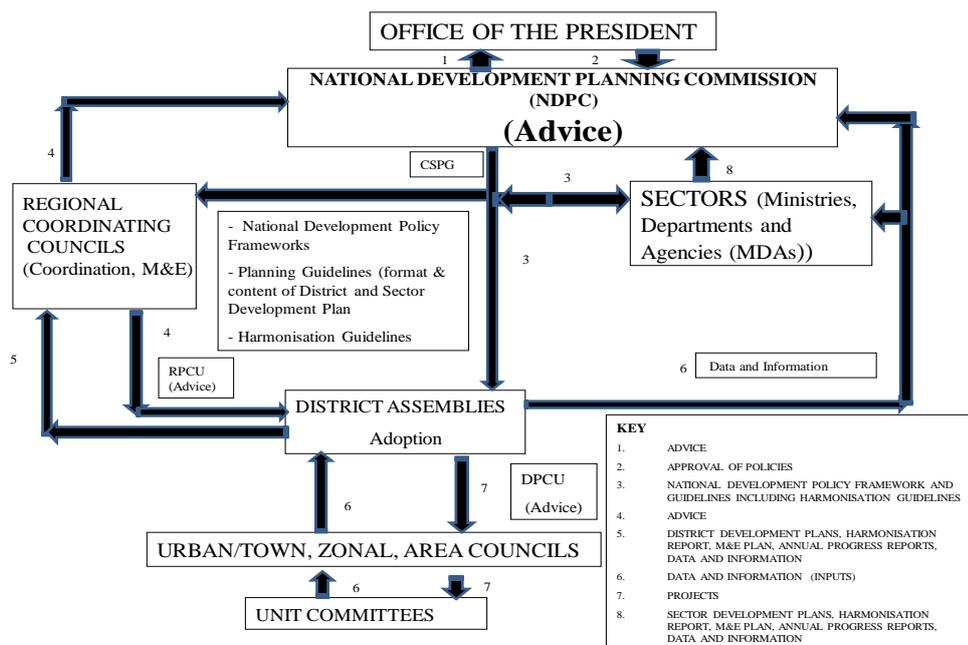
The Commission will institute an award system as a morale booster for the best performing MDAs in planning and budgeting. The details of the award system will be communicated in due course.

# CHAPTER TWO

## NATIONAL DEVELOPMENT PLANNING SYSTEM

### 2.0. Introduction

The National Development Planning System (NDPS) Act, 1994 (Act 480) defines and regulates planning procedures and related matters. It includes the decentralised national development planning system comprising the National Development Planning Commission (NDPC), ministries, departments and agencies at national level, Regional Coordinating Councils (RCCs) at regional level and District Planning Authorities (including Metropolitan, and Municipal) at the district level respectively. The institutions and their roles within the national development planning system are presented in figure 1 below:



**Figure 1: National Development Planning System**

This national development planning system is further explained under the legal foundation below.

### 2.1. Legal Foundations of the National Development Planning System

The national development policy formulation process, the planning and M&E functions as performed within the decentralized planning system in Ghana is supported by diverse legislations. These legislations include the Constitution of Ghana, related Acts of Parliament, Legislative Instruments and other statutory laws.

The key planning legislations with their relevant provisions have been categorised as follows:

#### 1. Constitution of Ghana (1992)

NDPC, GUIDELINES FOR THE PREPARATION OF SECTOR MEDIUM-TERM DEVELOPMENT PLANS, 2018-2021. 05.04.2018

- i. Articles 36 clause 5 of the 1992 Constitution
- ii. Articles 86 and 87 of the 1992 Constitution

## **2. Acts of Parliament**

- i. National Development Planning Commission Act, 1994 (Act 479)
- ii. National Development Planning (System) Act, 1994 (Act 480)
- iii. Environmental Protection Agency Act, 1994 (Act 490)
- iv. Institute of Local Government Studies Act, 2003 (Act 647)
- v. Petroleum Revenue Management Act, 2011 (Act 815)
- vi. Ghana Infrastructure Investment Fund Act, 2014 (Act 877)
- vii. Public Financial Management Act, 2016 (Act 921)
- viii. Land use and Spatial Planning Act, 2016 (Act 925)
- ix. Local Governance Act, 2016 (Act 936)

## **3. Legislative Instruments**

- i. Environmental Protection Assessment Regulations, 1994 (L.I. 1652)
- ii. Financial Administration Regulation, 2004
- iii. Local Government (Departments of District Assemblies) (Commencement) Instruments, 2009 (L.I.1961)
- iv. National Development Planning (System) Regulations, 2016 (L.I. 2232)
- v. National Development Planning Commission Regulation (Draft)

## **4. Other statutory laws**

- i. Statistical Service Law, 1985 (PNDC Law 135)
- ii. Civil Service Act, 1993 (PNDC Law 327)

### **2.2. Institutional Arrangements (Planning Authorities) of the Planning System**

The planning authorities of the planning system are as follows;

#### **i. National Development Planning Commission**

NDPC is the creation of Article 86 of the 1992 Fourth Republican Constitution. It is one of the executive arms of the government. Article 87 of the 1992 Constitution provides for the broad functions of NDPC including advising the President of the Republic of Ghana, (or Parliament on request) or at its own initiative on national development planning policy and strategy.

The National Development Planning Commission Act 1994, Act 479, prescribes the structures and general functions of NDPC while the National Development Planning (System) Act, 1994 (Act 480) specifies the planning, coordination and M&E functions of the Commission together with the

other planning authorities. As the apex planning body, NDPC is required by Act 480 to regulate the decentralised national development planning system with legislative instruments and guidelines. The Commission is to prescribe the format and content of development plans (usually through the guidelines), for districts, ministries, departments and agencies (MDAs).

NDPC is mandated to coordinate district development plans and programmes submitted through the regional coordinating councils; integrate the economic, spatial and sectoral plans of ministries and sector agencies and ensure that all these plans are compatible with national development objectives. The other planning functions of the Commission include advising the relevant agencies on the formulation of guidelines for the regulation of physical development; and in collaboration with relevant agencies, monitoring physical development to ensure that any proposed development conforms to the approved development plan for the area. Moreover, NDPC is required to issue approved development policies as directed by the President for the guidance of the public and private sectors; and perform such other functions as are reasonably related to development planning, policy and strategy.

In performing its planning functions, NDPC uses the Cross-Sectoral Planning Groups (CSPGs). The CSPGs are formed around thematic areas or development dimensions with membership drawn from the governing board of NDPC, known as the Commission, relevant sector ministries, and public sector institutions, private sector organisations, civil society organisations (CSOs), and individuals selected for their knowledge and expertise as determined by NDPC. The CSPGs are, therefore, composed of state and non-state actors and their additional functions include integrating and coordinating the planning and development activities of the thematic/dimension group and other sectoral activities.

## **ii. Ministries, Departments and Agencies**

The Ministries, Departments and Agencies (MDAs) are required by the Civil Service Law 1993, PNDCL 327, Act 480 and LI 2232, to undertake development planning functions in consultation with the Commission. They are required to prepare and submit for approval by the Commission a development plan based on and compatible with national development priorities and sectoral development guidelines issued by NDPC. The MDAs are further required to monitor the implementation of approved development plans and submit a monitoring report in the prescribed form to the Commission at predetermined intervals.

The above activities are to be performed by a committee of the MDAs. It is, therefore, recommended that for purposes of planning and budgeting, the membership of the budget committee established under Section 150 of the Financial Administration Regulations, 2004, should be reconstituted as the Sector Medium-term Development Plan Preparation Committee (SMPC) as detailed under Section 3.1 of these guidelines.

## **iii. Regional Coordinating Councils (RCCs)**

The RCC is established by Act 936 in accordance with article 255 of the 1992 Constitution. It comprises the (a) the Regional Minister and the deputy or deputies, (b) the presiding member of each District Assembly and the District Chief Executive of each district in the Region, (c) two chiefs from the regional House of Chiefs elected by the chiefs at a meeting of the House, and (d)

the regional heads of the decentralised Ministries in the region as members without the right to vote. The Regional Minister is the chairman of the regional co-ordinating council and Regional Co-ordinating Director is the secretary to the regional co-ordinating council.

The planning functions, in accordance with both Acts 936 and 480, include providing relevant data and information to the district planning authorities to facilitate the preparation of district development plans, coordinating the plans and programmes of the district planning authorities and integrating the plans and programmes into national development policies and priorities for consideration and approval by the Commission. Other functions include monitoring and evaluating the implementation of the programmes and projects of the district planning authorities within the region. The planning functions of the RCC are performed by the Regional Planning Coordinating Unit (RPCU), established under Section 190 of Act 936

The RPCU is composed of regional heads of department under the chairmanship of the Regional Coordinating Director (RCD) of the RCC (see Box 1). To perform its planning functions effectively, in accordance with Section 190 of Act 936, the RPCU should coopt regional heads of other sector agencies, representatives of the private sector and civil society organisations.

<b>1</b>	Regional Coordinating Director (as Head)
<b>2</b>	Regional Economic Planning Officer (as Secretary)
<b>3</b>	Regional Budget Officer
<b>4</b>	Regional Finance Officer/Internal Auditor
<b>5</b>	Regional Director of Health
<b>6</b>	Regional Director of Education
<b>7</b>	Regional Director of Agriculture
<b>8</b>	Chief Works Engineer
<b>9</b>	Regional Town and Country Planning Officer
<b>10</b>	Regional Statistician
<b>11</b>	Regional Coordinating Council Nominee
<b>12</b>	One representative each of chiefs and traditional authorities, CSOs, private sector, and other relevant regional departments and organisations identified and selected by the Regional Coordinating Council

Source: National Development Planning (System) Regulations, 2016 (LI 2232)

The Regional Economic Planning Office is the secretariat to the RPCU and provides a documentation centre. The Regional Economic Planning Officer (REPO) is the secretary and is required to lead monitoring visits. The CD and REPO should serve as a link between the RPCU and the RCC.

#### **iv. Metropolitan, Municipal and District Assemblies (MMDAs)**

The DAs and as such MMDAs are planning authorities as prescribed by Act 936. They are composed of (a) the District Chief Executive, (b) one person from each electoral area within the district elected by universal adult suffrage in accordance with Regulations made for the purpose by the Electoral Commission, (c) the member or members of Parliament from the constituencies that fall within the area of authority of the DA, without voting right, and (d) any other persons not exceeding thirty percent of the total membership of the Assembly appointed by the President in consultation with the traditional authorities and any other interest groups in the district. District heads of departments as available in the district provide technical support.

In relation to their planning functions, the MMDAs are required to initiate and prepare for the approval of the Commission district development plans and settlement structure plans in the manner prescribed by NDPC and ensure that the plans are prepared with the full participation of

the local community. They are to carry out studies on development planning matters in the district including economic, social, spatial, environmental, sectoral and human settlement issues and policies, and mobilise human and physical resources for development in the district.

Other planning functions include initiating and coordinating the processes of programming, budgeting and implementation of district development plans, programmes and projects, integrating and ensuring that sector and spatial policies, plans, programmes and projects of the district are compatible with each other and with national development objectives issued by the Commission. The rest are synthesising the policy proposals on planning in the district into a comprehensive framework for the economic, social and spatial development of the district, including human settlements and ensuring that the policy proposals and projects are in conformity with the principles of sound environmental management. MMDAs are also to monitor and evaluate the development policies, programmes and projects in the district, and provide the Commission with such data and information as it may require. The planning functions of the MMDAs are to be performed through the district planning coordinating units (DPCUs).

Section 84 of the Local Governance Act, 2016 (Act 936) established the DPCU while Section 85 prescribes its functions to assist the DA to execute designated planning functions. The DPCU consists of heads of department of the district as indicated in Annex 1, with the District Coordinating Director as chairperson. The District Planning Officer serves as the secretary of the DPCU, provides planning documentation centre and lead monitoring visits.

Section 2 of LI 2232 enjoins a department of the DA to prepare a district sectoral plan in consultation with stakeholders as an input into the drafting of the DMTDP by the DPCU. The functions of DPCU therefore, include collating and synthesising the district sectoral plans in preparing the DMTDP, coordinating planning activities of sectoral departments in the district and providing data as may be required by NDPC.

#### **v. Sub-metropolitan district councils, Urban/Town/Zonal and Area Councils**

Sub-metropolitan district councils, Urban/Town/Zonal and Area Councils are subordinate bodies of the district assemblies serving as rallying point of local enthusiasm in support of the development objectives of the district assembly. They prepare sub-district plans as input into the DMTDP, mobilise resources for implementation, monitoring and evaluating sub-district development plans.

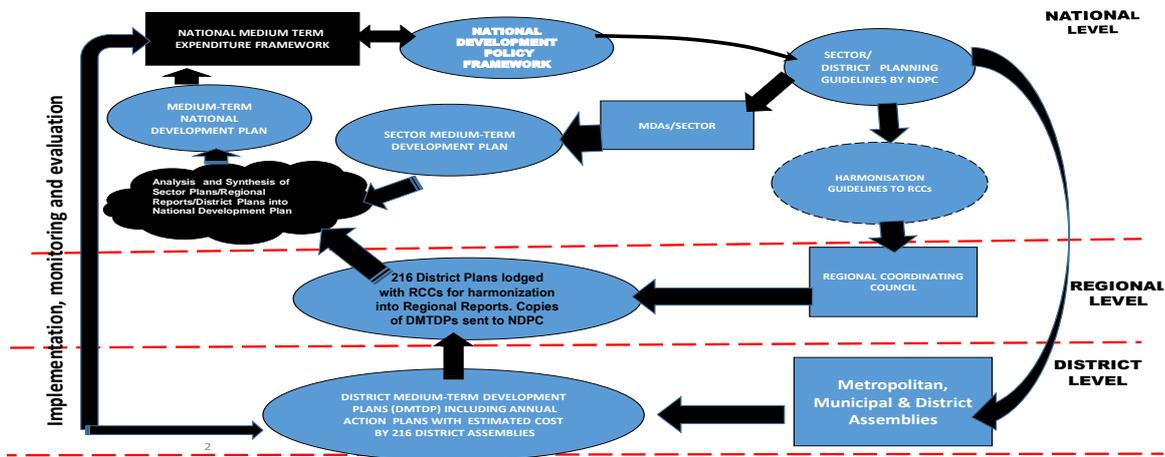
#### **vi. Unit Committees**

Unit committees are in close touch with the people. They play the role of mobilizing the communities for public hearings, education, organizing communal labour for implementation of development plans, raising revenue and ensuring environmental cleanliness, registering birth and deaths, providing data, monitoring and evaluating community development plans.

### **2.3 The Planning and Budgeting Processes**

The planning process starts with the formulation of the national development policy framework comprising national development goals, policy objectives and strategies. These are implemented

through development plans prepared by the MDAs and MMDAs as illustrated in figure 2 below. The plan preparation, implementation and M&E are facilitated by guidelines issued by the Commission. The plans of MDAs and MMDAs are the means for implementing the national development policy frameworks and budgeting at all levels.



**Figure 2: Decentralized national development planning process**

The 2018-2021 SMTDP will be under the long-term national development plan (LTNDP). The plan will be implemented after it has been approved and certified by NDPC to ensure that it is consistent with national development policies and priorities as required by Section 18, Subsection 1 of the National Development Planning (System) Regulations, 2016 (L.I. 2232).

MDAs will be expected to ensure that all programmes and projects budgeted for in the financial year come from their Annual Action Plans. The Annual Action Plan forms the basis for the preparation of the sector programme-based budget in relation to the public financial management act 2016 (Act 921). Data and information should be collected on the indicators to assess the level of achievement of set targets. This should be analysed and reported in the quarterly and annual progress reports. These reports should inform policy reviews and initiate a new cycle of policy formulation

## **CHAPTER THREE**

### **ROLE OF KEY PLAYERS IN THE PREPARATION OF THE SECTOR MEDIUM-TERM DEVELOPMENT PLAN OF THE MINISTRY AND SECTOR AGENCY**

#### **3.0 Introduction**

The successful preparation of SMTDPs depends to a large extent on the active participation of key players concerned. This chapter, therefore, presents these players, namely the Sector lead minister, Medium-Term Development Plan Preparation Committee (SMPC), facilitators, NDPC and other agencies in the planning process.

#### **3.1 The Role of the Lead Minister**

The Ministers/Chairpersons or the equivalent head should:

- Direct the SMPC to commence the SMTDP preparation process
- Assume full oversight responsibility for the preparation, implementation, M&E of the SMTDP including M&E activities.
- Ensure that the sector has the technical, logistical and financial capacity to deliver and implement the plans.
- Endorse the draft SMTDP for submission to NDPC for consideration, approval and certification

#### **3.2 Composition of SMTDP Preparation Committee (SMPC)**

To ensure effective planning and budgeting, membership of the budget committee established under Section 150 of the Financial Administration Regulations 2004, should be reconstituted for this planning purpose as the Medium-Term Development Plan Preparation Committee (SMPC) as mentioned elsewhere.

The composition of the SMPC may be guided by the following:

- i. Chief Director of the MDA or head of organisation;
- ii. Head of the Policy, Planning, M&E Division or its equivalent in the organisation;
- iii. Officers in charge of policy and/or budget (as applicable);
- iv. Head of Finance and Administration;
- v. Heads of Departments and Agencies (Cost Centres);
- vi. Heads of all Projects within the MDA where relevant;
- vii. Public Relations Officers/Information Officers.

Other officers responsible for projects and cross-cutting issues such as gender, HIV, Nutrition and climate change should be coopted to support the committee in the performance of its planning, budgeting and M&E functions. The private sector, civil society (including NGOs, CBOs, faith-based organisations and academia are key stakeholders in the plan preparation, implementation, M&E processes and should be consulted.

The SMPC should be chaired by the Chief Director of the MDA or head of the organisation. The office of the planning unit (PPMED or its equivalent) of the MDA or the organisation should serve as the secretariat. It is highly recommended that adequate logistics are made available to the SMPC in addition to motivation to enhance its performance.

### 3.3 The Role of the SMPC

In addition to other functions prescribed in Section 10 of the National Development Planning (System) Act, 1994, (Act 480) and the prevailing civil service law relating to planning, the ministry or sector agency, through the SMPC should:

- i. Initiate and formulate, in a participatory and consultative manner, the SMTDPs 2018–2021, including M&E, in relation to:
  - a. the needs and aspirations of the people;
  - b. national development goals; and
  - c. sectoral development guidelines issued by the Commission.
- ii. Identify, analyse and classify all organisations and groups of people with interest in development in the sector (see Annex 2 for an example of stakeholder analysis).
- iii. Ensure that gender equality/equity indicators and other cross-cutting issues, such as HIV and AIDS, environment, vulnerability and exclusion are considered in the SMTDP.
- iv. Collaborate with NDPC to determine the national indicators.
- v. Submit to the Commission for consideration, approval and certification the draft MTDP including M&E.
- vi. Coordinate, monitor, and evaluate the efficiency and effectiveness of the performance of the sector.
- vii. Periodically visit key project sites and report on development progress at all levels.
- viii. Demand and collate M&E data from the regions and districts for production of the Sector APRs.
- ix. Submit M&E reports to the Commission in a prescribed form and at the appropriate interval.
- x. Forward Sector APRs to NDPC and facilitate their dissemination to all stakeholders.
- xi. Facilitate evaluation of their SMTDPs and make recommendations for the review of policies and strategies.

**Box 2: Additional role of Chief Director/Head of the Organisation**

The Chief Director / Head of the Organisation are to:

- i. Ensure that the necessary logistics are timely provided.
- ii. Ensure that members of the MTDP preparation Committee fully participate in the preparation exercise
- iii. Support and motivate members of the committee to get the MTDP prepared and on time.
- iv. Ensure that the MTDP captures all relevant programmes, projects and activities of the MDAs.
- v. Ensure that the MTDP reflects the development aspirations of the Medium-Term Development Policy Framework (2018-2021).
- vi. The Chief Director (Regional Coordinating Director) of the RCC is expected to issue circulars to the regional sector agencies and convene all meetings.

To ensure effective plan preparation, MDAs may form sub-committees to work on various sections of the MTDP. The outputs of these sub-committees should be discussed by the SMPC and integrated into the relevant chapters of the MTDP.

Where there may be shortfalls of expertise relating to specific areas of the plan preparation exercise, MDAs should liaise with NDPC in engaging the services of a facilitator. The basic role of the facilitator is to assist the SMPC to prepare the MTDP and not to prepare it for them. He or she should have a clear Terms of Reference (TOR) accordingly.

### **3.4 The Role of NDPC in the Plan Preparation Exercise**

The Commission (in collaboration with the Ministry of Finance, where necessary), should coordinate and facilitate the SMTDP preparation exercise by:

- i. Providing guidelines.
- ii. Organising orientation on the use of the guidelines and preparation of the SMTDP.
- iii. Following up during the preparation of the plan and providing technical assistance, where necessary.
- iv. Monitoring the SMTDP preparation exercise through meetings and consultations to:
  - (a) Agree on inter- and intra-MDA trade-offs.
  - (b) Ensure synergy.
  - (c) Ensure efficient use of resources.
- v. Ensuring that MDAs strategies, programmes and activities are consistent with national development goals and objectives.
- vi. Considering and approving the SMTDPs of MDAs.

### **3.5 The Role of the Ministry of Finance**

The Ministry of Finance (MoF) in collaboration with NDPC, should

- i. Facilitate the review and formulation of Programmes and Sub-programmes.
- ii. Ensure that annual budgets of MDAs are based on their Annual Action Plans.
- iii. Ensure adherence to implementation of approved programmes, sub-programmes and budgetary expenditure of MDAs.
- iv. Release budgetary allocation to only MDAs with programmes, sub-programmes and annual action plans actually reflecting the priorities of their MTDPs and national development objectives.

### **3.6 The Role of Ghana Statistical Service (GSS)**

The GSS, a sectoral agency, is established by the Statistical Service Law, 1985 (PNDC Law 135) with the responsibility for collection, compilation, analysis, publication and dissemination of official statistics in Ghana for general and administrative purposes. The GSS collects data through censuses and surveys and administrative records. The GSS is the main source of data for some of the National Development Policy Framework's indicators. It is, therefore, required to support the planning including M&E system by helping in the design of the methodologies, approaches and the instruments employed in collecting and making data available at the national, sector, regional and district levels.

### **3.7 The Role of the Office of the President (OoP)**

As a key stakeholder in planning, and a recipient and user of M&E information, the OoP has a key role to play in ensuring that planning (including M&E) is taken seriously and adequately resourced

by all MDAs and MMDAs. In addition, the State of the Nation Address (SONA) should be informed by the development plans of the MDAs and MMDAs.

### **3.8 The Role of the Local Government Service**

The Local Government Service (LGS) was established under Local Governance Act, 2016 (Act 936) to provide technical assistance to RCCs and MMDAs, in their planning and M&E activities, conduct organisational and job analysis, undertake management audits and assist them to perform their functions.

## CHAPTER FOUR

### STEPS FOR PREPARING THE SECTOR MEDIUM-TERM DEVELOPMENT PLAN (2018-2021)

#### 4.0. Introduction

Chapter Four outlines the steps for the preparation of the SMTDPs for ministries, and sector agencies (MDAs). It focuses on planning, monitoring, evaluation and budgeting processes. Each step generates an output which feeds into the relevant chapters of the SMTDPs. Adherence to these steps will ensure that the plan meets the expected standards and facilitates harmonisation across sectors. (See Annex 3 for template for format and content of SMTDP).

#### 4.1. Sequence of Steps

##### Step 1: Vision, Mission, Functions and Core Values

The SMPCs are required to review and state the vision, mission, functions and core values of the MDAs in relation to their functions to enable them contribute to the achievement of the national vision. The vision of Ghana as contained in the Coordinated Programme of Economic and Social Development Policies (2017-2024) and Medium-Term Development Policy framework (2018-2021) both referred to as An Agenda for Jobs: Creating Prosperity and Equal Opportunity for All is *“Create an optimistic, self-confident and prosperous nation, through the creative exploitation of our human and natural resources, and operating within a democratic, open and fair society in which mutual trust and economic opportunities exist for all.”* The language should be simple and easily understood by the public. .

##### **Box 3: Vision, Mission etc.**

**Vision** describes the desired future state of the sector.

**Mission** states in clear terms what the MDA does to achieve the vision. It relates to the practical aspects of the actual actions of the MDA.

**Core values** are fundamental to the performance of the MDA. They influence the thinking and performance of staff towards the stated vision.

**Functions** are prescribed by law and define the boundary of actions of the MDA.

**Output of Step 1** as input into Chapter One of the SMTDP: - Vision, mission, functions and core values of the SMDP outlined (See Box 3).

##### Step 2: Sector Performance Review

It is necessary for the SMPC of the MDAs to collect data and information to review their performance from 2014 to 2017 to ascertain (a) progress made and (b) lessons learnt. This review should be based on the programmes and projects under the thematic areas of their Medium-Term Development Plans (MTDPs) under the Ghana Shared Growth and Development Agenda (GSGDA II), 2014-2017.

### Sources of information for Performance Review

Sector monitoring reports, mid-term, terminal and participatory evaluation reports, baseline study reports as well as other studies in the sector with maps and graph, which present visual explanations, constitute an important source of data for the performance review. Other sources include national population projections, results of national and international surveys, censuses, national policy documents, plans, reports from other relevant MDAs, technical and methodological reports produced by development agencies and Management Information Systems (MIS) as well as relevant maps and graphs (which present visual explanations), where available.

The assessment of performance, largely in trend analysis, should cover:

- i. The extent of implementation of all broad projects/activities under the programmes and sub-programmes as well as achievement of the policy objectives in relation to the indicators from 2014 to 2017 with respect to the appropriate thematic areas of GSGDA II.
- ii. Statement on income and expenditure of the MDAs.
- iii. Statement on the problems/issues/challenges identified during implementation and actions taken to address them.
- iv. Relevant lessons for the next planning phase.

These performance reviews should be discussed by the SMPC at a forum and the outcome used to determine the baselines for the SMTDP, 2018-2021.

### Outputs of Step 2 as input into Chapter One of the SMTDP include:

- i. Performance of the MDAs in the appropriate thematic areas of the SMTDP under the GSGDA II, 2014-2017 as summarised in Table 1;
- ii. Performance of other interventions including cross-cutting issues from 2014 to 2017;
- iii. Visual representations such as tables, graphs and pie charts showing yearly budgetary allocations and expenditure by ministries and sector agencies (see Table 2 and 3).
- iv. Key challenges encountered during the implementation stage; and
- v. Lessons learnt which have implications for the SMTDP (2018-2021).

#### **Box 4: Thematic Areas of the GSGDA II**

- i. Ensuring and Sustaining Macroeconomic Stability
- ii. Enhancing Competitiveness of Ghana's Private Sector
- iii. Accelerated Agricultural Modernisation and Sustainable Natural Resource Management
- iv. Oil and Gas Development
- v. Infrastructure and Human Settlements
- vi. Human Development, Productivity and Employment
- vii. Transparent, Responsive and Accountable Governance

#### **Box 5: Criteria for determining rate of implementation**

- (i) Fully implemented;
- (ii) On-going (indicating the level of implementation);
- (iii) Started but abandoned (indicating level of implementation);
- (iv) Suspended (indicating whether started at all and level of implementation);
- (v) Not implemented; and
- (vi) Implemented but not in the MTDP.

**Table 1: Performance of the MDA or Sector Agency from 2014 to 2017**

Period	Development Dimension:						
	Policy Objective:						
	Programmes	Sub-programme	Broad project/activity	Indicators			Remarks in relation to criteria in Box 5
Baseline (2013)				MTDP Target	Achievement		
2014							
2015							
2016							
2017							
	Development Dimension:						
	Policy Objective:						
2014							
2015							
2016							
2017							

**Table 2: Total Releases from Government of Ghana**

PERSONNEL EMOLUMENTS (wages and salaries)							
Year	Requested As planned (A)	Approved As per ceiling (B)	Released C	Deviations		Actual Expenditure D	Variance (C-D)
				A-B	B-C		
2014							
2015							
2016							
2017							
CAPITAL EXPENDITURES/ASSETS							
Year							
2014							
2015							
2016							
2017							
GOODS AND SERVICES							
2014							
2015							
2016							
2017							

**Table 3: All Sources of Financial Resources for the MDAs**

Sources	2014			2015			2016			2017		
	Planned	Actual received	Variance									
GoG												
IGF												
DACF												
DDF												
UDG												
Development Partners												
GETFund												
Others (please, specify)												
Total												

**Step 3: Analysis of Existing Situation/Compilation of the Profile of the MDA**

Using the outcome of output 2, together with other relevant data sources, the SMPC should provide a brief description of the current state of affairs of the sector supported by maps, tables, charts and other pictorial representations and their development implications for the future. This should include analysis of the nature of current development issues facing the sector that needs to be rectified to achieve the national development goals and objectives. The analysis should show clearly the causes, effects and their implication for national development. It should also reflect the spatial context of the issues.

**i. Institutional capacity needs**

MDAs are required to assess their capacity to develop and implement their MTDPs. The rationale is to ensure that the appropriate incentives, material and human resources are in place for effective SMTDP implementation and M&E. The assessment should provide a brief description of the organisational structure of the MDA, human resource capacity, (disaggregated into sex, age, staff strength and qualifications), infrastructure and facilities (current stock and conditions) and their spatial distribution. The description should identify what is required, what is available, and the gap to be filled (issues) in relation to implementing the SMTDP and undertaking its M&E (Refer to Annex 4 for an example of SMPC capacity and management index and 4a for some guide).

**ii. Biodiversity, Climate change, green economy and environment in general**

Analysis of biodiversity/natural capital, climate change/low carbon and environment in general should indicate risks/challenges and opportunities inherent in them and their implication for the medium to long-term development of the sector and the country as a whole. (Refer to Annex 5 for additional information on climate change and green economy strategies and options).

### **iii. Population dynamics**

A brief description and statement on population relating to the demographic characteristics (age and sex structure using the population pyramid, population growth rate, fertility rate, dependency ratio). Analysis of the population (changing age structure -increasing youth population from the ages 15 to 24 years or ageing population of farmers, reduced fertility rate; location of population (urban/rural). and their development implications on the district. Districts are encouraged to make use of the Population Integration Modules Manual in association with the web-based interactive Population and Integration Planning System (PIPS) produced by National Population Council.

Effective management of population variables contributes to the harnessing of the demographic dividend. Demographic dividend refers to the process of accelerated economic growth that begins with changes in the age structure of a country's population as it moves through the demographic transition from high to low birth and death rates. (See Annex 6 for further information).

#### **iv. Migration (emigration and immigration)**

Sectors dealing with issues of emigration (outward) and immigration (inward) should analyse the opportunities and challenges associated with migration for rural, urban and national development.

#### **v. Employment**

Analysis of employment should deal with opportunities and challenges, especially youth employment and their implications for medium-to-long term development.

#### **vi. Gender equality**

Gender equality analysis of the sector should include societal roles and responsibilities of men, women, boys and girls, as well as power relations between them and how these power relations influence access and control over resources such as land, credit and technology; access to time, markets, information (especially on available public services), and public institutions (decision-making). It should also identify the practical needs and interests (basic services such as education, health, water and sanitation including waste management etc.), and the strategic needs/interests (which will lead to a change in the status of men and women, such as facilitating access to rights and entitlements, and empowerment), and their implications for service delivery. The analysis should identify the key gender issues affecting the development of the sector.

#### **vii. Poverty, Inequality and Social Protection**

Analysis of the social, economic, political and spatial conditions predisposing people into poverty, inequalities and weak social protection should be conducted in relation to the extent to which they affect the development of the sector and the MDA. It should take into account adverse policy impacts, weak early warning systems, low priority given to semi subsistence food farmers and allied occupations, Children in difficult circumstances (child poverty, child abuse, children in conflict with the law, child trafficking, child labour, orphans and vulnerable children), people in disaster prone areas e.g. flooding and fire, PLHIV, persons with disabilities, The analysis should provide the underlying issues to be addressed in the future etc. .(See Annex 7 for further information).

#### **viii. Local economic development**

The local economic development analysis should indicate the opportunities and challenges that affect the development of local businesses, as determined by national policy frameworks. It should include challenges associated with technological and managerial capabilities of micro, small and

medium enterprises (lack of basic machinery to enhance productivity, poor business development services in the areas of marketing of products, technical and management training etc.

**ix. Natural and man-made disasters**

Natural and man-made disasters, such as flooding, earth quake, bush fires etc. should be analysed to determine their potential threats to the development of the sector and the performance of the MDA as well as the issues to be addressed.

**x. Natural resource Utilisation** (water, minerals, forest products, etc.)

Positive natural resource utilization has opportunities for development. The analysis of natural resources utilization should provide insights into challenges in the sector with implications for the medium-to-long term development. .

**xi. Land use analysis** – This should account for existing land-use patterns as follows;

- a. The distribution of services and infrastructure including accessibility to facilities such as health, agriculture extension, banking, police, production and market centres, and other jurisdictions etc.
- b. Types of available transportation infrastructure (motorized, non-motorized, public transit) and associated issues such as safety.
- c. Existing drainage, sanitation and waste management infrastructure.

Geo-referenced data, which will show the actual location of services and infrastructure and their hierarchies, are recommended.

**xii. Science, technology and innovation**

The analysis relating to science, technology and innovation should indicate the extent to which they offer opportunities and pose challenges to the development of the sector and the performance of the MDA.

**xiii. Security**

The extent to which the security situation of the nation affects the development of the sector and the MDA should be analysed.

**xiv. Nutrition Security:**

The analysis should document the nutrition profile of the sector using indicators in Annex 8a including nutrition specific interventions such as breast-feeding, complementary feeding, provision of iron-folic supplements etc. and nutrition-sensitive interventions in the areas of water, sanitation education and social protection. (Please refer to Annex 8 for information on the Scale Up Nutrition agenda)

**xv. Water security**

The extent to which water security affects the development of the district and its performance with implication for the future. (See Annex 9 for information on water resources assessment). Water service management should be analysed in terms of service providers (i.e. GWCL, CWSA, Private sector, NGOs), coverage areas, status of the water supply systems and water safety planning.

**xvi. Information and Communication Technology (ICT)**

A brief description of ICT with respect to and not limited to District capacity to effectively

manage application of ICT, ICT human resource challenges, infrastructure, and ICT investment. Development implications of ICT to the District should be stated.

**xvii. Food security**

A brief description and statement on food security (availability, accessibility, utilisation and stability) and its implication for district development. The analysis should consider among others, issues of food safety, food management systems, diets, and their implications for food and nutrition security for current and projected populations.

xviii. **Social Services** and their development implications (including accessibility analysis) with respect to:

- Education: - i.e. enrolment levels, infrastructure, availability of teachers, school performance etc,
- Health care: - incidence of diseases (Malaria, Guinea worm etc) availability of health professional and infrastructure, status of the District Health Insurance Scheme, access to health facilities, infant mortality rate, maternal mortality rate, etc
- HIV and AIDS: - The analysis on HIV and AIDS should cover but, not limited to, HIV prevalence, incidence of HIV and AIDS, opportunistic infections and STI, characteristics of vulnerable population subgroups, stigmatisation etc.

**Step 3.1 Summary of issues identified under GSGDA II**

Following the performance review and the situation analysis, the SMPC should summarise all the identified development issues and group them under the appropriate thematic areas of GSGDA II as indicated in Table 4 below

**Table 4: Summary of Issues of GSGDA II**

Thematic areas of GSGDA II	Identified issues (from performance review and profile)
Ensuring and Sustaining Macro-Economic Stability	
Enhancing Competitiveness of Ghana’s Private Sector	
Accelerated Agricultural Modernisation and Sustainable Natural Resource Management	
Oil and Gas Development	
Infrastructure and Human Settlements	
Human Development, Productivity and Employment	
Transparent, Responsive and Accountable Governance	

**Outputs of Step 3 as inputs into Chapter One of the DMTDP:**

- Current situation of development of the sector (which includes updated social, economic, political and spatial sector profile/baseline, indicators, graphs and other pictorial presentations) for visioning into the desired future of the sector.
- A list of key development issues/gaps or challenges

- Maps showing summaries of key development issues and reflecting appropriate thematic areas (where appropriate)

#### Step 4: Identification of development issues with implication for 2018-2021

Based on the summarised key development issues from Table 3, the SMPC should follow the process outlined below to determine prioritised development issues for 2018-2021;

##### Step 4.1 Harmonisation of identified development issues of GSGDA II with with Agenda for Jobs, 2018-2021

For continuity of relevant ongoing programmes and in accordance with Chapter 6, Article 35 (7) of the 1992 Constitution of Ghana, MDAs should harmonise the issues associated with programmes and projects commenced under GSGDA II, 2014-2017 (from Table 3) with those issues of the **Agenda for Jobs, 2018-2021**. In order to achieve this, the SMPC should present a table showing both the GSGDA II and that of the **Agenda for Jobs, 2018-2021** as indicated in the table 5 below.

**Box 6: Chapter 6, Article 35 (7) 1992 Constitution of Ghana:**

“As far as practicable, a government shall continue and execute projects and programmes commenced by the previous Governments” (p. 32).

**Table 5: Identified Development Issues under GSGDA II and Agenda for Jobs, 2018-2021**

GSGDA II, 2014-2017		Agenda for Jobs, 2018-2021	
THEMATIC AREAS	ISSUES	DEVELOPMENT DIMENSION	ISSUES

The sets of the two issues in Table 4 should be matched to determine their relationships in terms of similarity for adoption. Where there are similarities, the similar issues from GSGDA II should be adopted by replacing them with those of the **Agenda for Jobs, 2018-2021** together with their corresponding goals, objectives and strategies. These should be in addition to others identified as relevant new development issues from the **Agenda for Jobs, 2018-2021**. The Development Dimension and adopted issues for the SMTDP of the MDA should be presented as indicated in Table 6 below.

**Table 6: Development Dimension and adopted Issues of SMTDP of MDAs**

DEVELOPMENT DIMENSIONS 2018-2021	ADOPTED ISSUES
Economic Development	
Social Development	
Environment, Infrastructure and Human Settlement	
Governance, Corruption and Accountability	
Ghana’s role in international affairs	

##### Step 4.2 Prioritisation of development issues

Development issues adopted from Step 4 (i) may be a shopping list, which should be prioritised by the SMPC. The prioritisation process should be objective and supported by evidence of records. The following should be used in the prioritisation process;

#### Step 4.2.1 Application of potentials (strength), Opportunities, constraints (weakness) and challenges (threats) (POCC or SWOT) analysis

The adopted issues should be further subjected to the analysis of the **Potentials, Opportunities, Constraints and Challenges (POCC)** of the sector. This will facilitate in identifying issues with potentials and opportunities to be addressed as priorities while considering other measures to address those with constraints and challenges. (See the glossary for definition of POCC). An example of the application of the POCC is presented in Table 7 below:

Step 1: For each issue (from Table 6) identify its corresponding potentials, opportunities, constraints and challenges.

Step 2: Relate/match the issue against the identified Potentials, opportunity, constraints and challenges to determine its feasibility/viability. E.g. Inadequate skills and entrepreneurial development (issue) may be addressed by enrolling staff in the entrepreneurial training institutions to acquire skills. (Opportunity)

**Table 7: Application of POCC**

Issue to be addressed	Potentials (from Baseline situation etc)	Opportunities	Constraints	Challenges
Inadequate skills and entrepreneurial development	-Entrepreneurial Training institutions  - Skilled trainers	-Additional resources from development partners,  - HIPC Initiative	- inadequate Curricula  - inadequate logistics	- Untimely release of support from Development Partners,  - Threats posed by HIV and AIDS to trainers and trainees
Conclusion: Inadequate skills and entrepreneurial development can be positively addressed since significant potentials and opportunities exist. The Constraint can be addressed through developing synergies in designing the programme. Challenges can be managed through dialogue with development partners regarding funding and technical support for skills and entrepreneurial development.				

#### Step 4.2.2. Impact Analysis

The impacts of the issues considered as priorities from the POCC analysis should be assessed with the following criteria:

- i. Significant linkage effect on meeting basic human needs/rights – e.g. immunisation of children and quality basic schooling linked to productive citizens in future, reduction of gender discrimination linked to sustainable development;

- ii. Significant multiplier effect on economic efficiency, e.g. attraction of investors, job creation, increases in incomes and growth.
- iii. Impact on:
  - a. The different population groups (e.g. girls, aged, disabled);
  - b. Balanced development;
  - c. Natural resource utilisation;
  - d. Cultural acceptability;
  - e. Resilience and disaster risk reduction;
  - f. Climate change mitigation and adaptation;
  - g. Institutional reforms.
- iv. Opportunities for the promotion of cross-cutting issues such as
  - a. HIV and AIDS in terms of the target groups in the sector for targeted interventions e.g. elimination of stigmatisation;
  - b. Gender equality with respect to practical and strategic needs and interests;
  - c. Nutrition.

**Step 4.2.3 Sustainability analysis of the issues (internal consistency/compatibility)**

The prioritised issues with positive significant impacts should be subjected to strategic environment analysis. This involves assessing the internal consistency/compatibility of the prioritised issues to determine how they relate to or support each other to achieve the objectives of the SMTDP. Where the relationship is positive, it draws attention to the fact that the issues should be addressed holistically. On the other hand, where the relationship is negative, there is a need to reconsider the adopted issues. (For detailed application of the internal consistency/compatibility analysis, see Annex 11).

The conduct of the sustainability analysis should lead to sustainable prioritised issues, which should be presented as shown in Table 8 below:

**Table 8: Sustainable prioritised issues as categorised under Development Dimensions**

DEVELOPMENT DIMENSION	FOCUS AREAS OF MTDP 2018-2021	ADOPTED SUSTAINABLE PRIORITISED ISSUES

**Output of Step 4 includes** information and matrices from steps 4.1 to 4.2.3 as inputs into Chapter Two of SMTDP.

**Step 5: Development projections**

MDAs are required to state their development projections for 2018 to 2021 in relation to the adopted issues. This is to ascertain the additional social, economic and infrastructural services that

should be provided within the medium-term in order to achieve national development objectives. The additional services required are driven by the projected target population of the sector as determined by development standards in the sector.

MDAs are entreated to collaborate with the Ghana Statistical Service for projections of their target population. (See Annex 12 for a formula for projecting the population where such information is not already available)). Where applicable, MDAs may consult the Land Use and Spatial Planning Authority for standards on land use and other related infrastructural developments of their sector. The projected development requirements for the target population of the sector should be an input into determining medium-term targets for the sector.

**Output of Step 5:** Projected medium-term development requirements for the sector, as inputs into Chapter Three of the SMTDP.

### **Step 6: Adoption of sector development goals**

Each sector SMPC should adopt the suitable development goals in relation to the dimensions of the Agenda for Jobs that reflect their development aspirations, which will propel the sector or agency into the future.

**Output of step 6 includes** a matrix of the thematic area, development issues, adopted suitable thematic goals and sub-goals of the sector as inputs into Chapter Three of the SMTDP

### **Step 7: Adoption of objectives and strategies**

Based on the prioritised adopted development issues, MDAs through the SMPC are required to adopt the relevant corresponding policy objectives and strategies of the Agenda for Jobs, which have been mainstreamed with the Sustainable Development Goals and African Union Agenda 2063. The adopted policy objectives and strategies should be subjected to strategic environmental assessment (SEA) using the Compound Matrix and Sustainability Test as indicated in Box 8 to determine their sustainability. The analysis should lead to a win-win situation thus sustainable objectives and strategies with enhanced environmental conditions. The application of the tools is in Annexes 13 and 13a.

#### **Box 7: Application of Sustainability Tools II**

- Compound matrix (Poverty and Environmental Dimension) for the objectives; and
- Sustainability Test for the strategies

NDPC in collaboration with the Environmental Protection Agency will provide the necessary technical backstopping to ensure sustainability of the various programmes and sub-programmes of the MDAs.

**Output of Step 7 includes:** A matrix showing the adopted goal, issues, policy objectives and strategies of the organisation as inputs into Chapter Three of the SMTDP.

### **Step 8 Review and formulation of development programmes and sub-programmes**

In relation to the adopted issues, policy objectives and strategies, it is required that each MDA reviews and formulates programmes and sub-programmes, based on its mandate and functions (where relevant).

**Output of Step 8 includes:** A matrix showing programmes and sub-programmes as inputs into Chapter Four of the MTDP (See Annex 14)

### Step 9: Formulation of Programmes of Action (PoA) of MDAs

All SMPCs of the MDAs are required to prepare a POA for all the programmes and sub-programmes including monitoring, evaluation and communications from 2018 to 2021. The POA which should flow from the Step 8 and 9, should consist of the development dimension, adopted goals, adopted objectives, strategies, programmes and sub-programme. Others include the sets of projects or activities to address the adopted issues, outcome/impact indicators, time-frame, indicative budget and implementing agencies (both lead and collaborating). These activities should be incorporated with the mitigation measures identified from the conduct of the SEA. (See Annex 15 for template of the PoA.

It is recommended that intra- and inter-sectoral approach be adopted in formulating the PoA. This will facilitate multi-sectoral approach in its implementation and coordination in relation to synergy and resource efficiency. The broad projects/activities in the PoA may be a shopping list which should be prioritised by the SMPC through consensus. The prioritisation should be guided by the following criteria – thus the broad projects/activities should:

- i. Impact nationally (economic, social, environment);
- i. Impact spatially (e.g. nationwide/ selected region);
- ii. Have reliable source of funding;
- iii. Have identified target group(s).

#### Box 8: Programme and Sub-Programme as Used in Programme-Based Budgeting

- A programme: is a clearly defined set of related projects intended to achieve a particular objective. A programme delivers one or more of the core functions contained in the MDA's legislated and assigned mandates.
- A budget sub-programme comprises a distinct grouping of services and activities that fall within the framework of a budget programme which, for management reasons, need to be identified separately within the budget programme.

For example, under the Ministry of Education, Basic Education is a programme and Kindergarten is a sub-programme

For details on formulation of programmes and sub-programmes refer to the Programme-Based Budget Guidelines provided by the Ministry of Finance.

To achieve this, the SMPC should develop a matrix in which the first column should deal with the broad projects/activities and the rows for the criteria. Each criteria should be awarded a score ranging from 0-3 against each broad activity. (See table 9 for definition of score).

**Table 9: Definition of score**

Definition	Score
Very strong results or impact	3
Average results	2
Weak results	1
No results	0

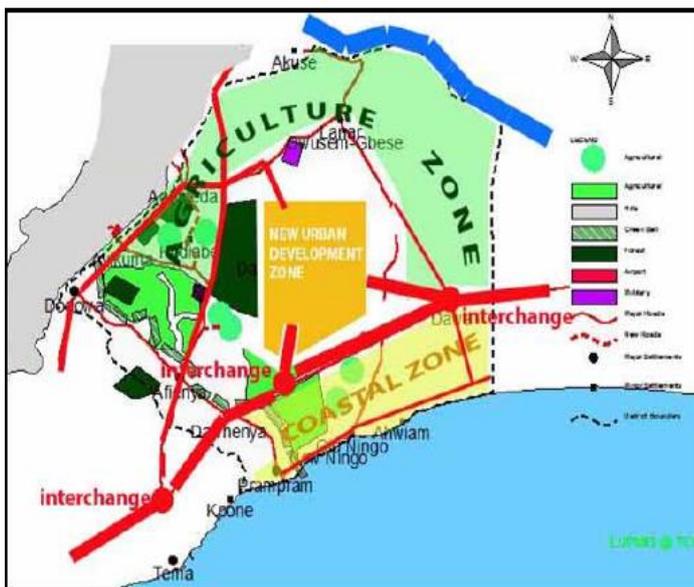
**Table 10: Prioritisation programme Matrix**

PROGRAMME	CRITERIA	Total Score	Rank
-----------	----------	-------------	------

	Social impact (educational, health, etc.)	Economic Impact (e.g. employment generation, poverty reduction)	Environmental impact (e.g. climate change, green economy, etc.)	Spatial impact (e.g. nationwide / selected region)		
Programme 1						

The scores should be added together and divided by the number of the criteria to obtain the average score. Where the score is very high, it indicates that the project/activity is of higher priority. A low score will indicate low priority while a zero score means not a priority at all in consideration.

In relation to the broad projects/activities of the PoA, the desired future state of the sector should be translated into *maps*, where appropriate, with technical support from the Land Use and Spatial Planning Authority. An example of a future desired stated is presented in figure below



**Figure 3: Map of future desires of the sector**

(Adopted from Manual for preparation of spatial plans (p.35)

**Box 9: Example of a map of the desired future**

“Agricultural activities should be concentrated in the north where there is abundant water supply and large tracts of agricultural lands.

Urban growth and development must be rationalised and limited to the Prampram – Dawhenya – Afienya - Dodowa corridor, but a major new settlement will be created to the east of the Shai Hills.

A coastal zone from Prampram through to Ningo and beyond should be created and reserved for tourism, high-tech and leisure development.”

**Output of Step 9 includes** a matrix of the Programme of Action and a map of the desired future (where appropriate) as input into Chapter Four of the SMTDP.

**Step 10: Preparation of indicative financial strategy**

The SMPCs of the MDAs are required to prepare an indicative financial strategy over the planned period. An Indicative Financial strategy deals with the means for mobilising and utilising financial resources for the implementation of the SMTDP. The strategies for funds mobilisation and utilisation should take into account:

- Sources of funding such as Internally Generated Funds (IGF), projected central government in-flows, loans, development partners etc.
- Identification and filling of financial resource gaps (The gap refers to the difference between total costs of all programmes and expected revenue from all sources to be received within the medium-term (2018-2021).).
- Expenditure areas with cost (which will provide an idea about the cost of the SMTDP (cost of the inputs).
- Clearly spelt out financial control mechanisms

**Output of Step 10 includes** MDA Indicative Financial Strategy as inputs into Chapter Four. (See Annex 16 for template).

### Step 11: Preparation of Annual Action Plans (AAPs) of MDAs

The SMPC are required to prepare AAPs including monitoring, evaluation and communications activities by phasing out the PoA on annual basis. The AAPs should detail out the following:

- What action to be taken including M&E communication activities (See Table 11 for guide for incorporating M&E activities)
  - i. which should be very specific, measurable, achievable, relevant and time bound (SMART)? (projects/activities)
  - ii. Where should the action be? (Location)
  - iii. When? (Timeframe)
  - iv. Who is/are the responsible, principal or collaborating agent(s), including development partners?
  - v. What is the cost of planned activities? (budget)
  - vi. What are the indicators for measuring achievements? (Refer to the Results framework, 2018-2021)

**Table 11: Example M&E Activities**

ACTIVITIES	TIME FRAME				ACTORS
	2018	2019	2020	2021	
<b>MTDP Evaluations</b>					
Mid-term Evaluation	Start 15 <sup>th</sup> March 2017				SMPC
Terminal Evaluation	Start 15 <sup>th</sup> March 2018				SMPC
Specific Evaluations and Studies	Bi-annually starting 5 <sup>th</sup> of July				SMPC
Participatory M&E	Bi-annually starting 25 <sup>th</sup> April				SMPC
<b>Implementation monitoring</b>					
Monthly or Quarterly Field Visit	1 <sup>st</sup> Tuesday of every month or quarter				SMPC
Monthly or Quarterly Review Meetings	1 <sup>st</sup> Wednesday of every month or quarter				SMPC
<b>APR preparation and dissemination</b>					
Data collection	From 15 <sup>th</sup> January annually				SMPC
Data collation	From 15 <sup>th</sup> January annually				SMPC
Data analysis and validation	From 15 <sup>th</sup> January annually				SMPC
Prepare Draft MDA APR	15th January annually				SMPC

Organise Draft APR review workshop	20 January annually	SMPC
Final APR submitted to NDPC	End of January annually	SMPC
Dissemination of sector APR	From February annually	SMPC

The SMPCs are required to review their AAPs annually and identify relevant activities to be rolled-over where necessary from previous years as well as remove activities that are no longer relevant. The reviewed AAP should form the basis for the annual budget for the sector and as input into the annual national budget. (Refer to Annex 17 for the template on AAP).

### Step 11.1: Linking the budget with the Plan

The budget should be considered as allocating financial resources by the MDAs for the implementation of the SMTDP. The AAP should form the basis for the preparation of the programme-based budgeting. This is to ensure that the annual budget of the MDA is linked to the AAP.

**Output of Step 11:** Annual Action Plans with cost as inputs into Chapter Five

### Step 12: Monitoring

#### Step 12.1 Indicators

Indicators are needed for measuring progress while targets are specific, planned level of results expected to be achieved within a timeframe. These measurements lead to the stated goal and objectives indicated in the PoA and AAP. The SMPC of the MDA, in collaboration with the Commission, should select some core indicators to be tracked as input into the national Annual Progress Report. The core and sector indicators should be categorised into input, output, outcomes and impact indicators respectively in relation to the adopted policy objectives. These indicators should be disaggregated where possible into age, gender, location etc. The Monitoring matrix in Table 12 should be used.

#### Box 10: Monitoring and Evaluation (M&E)

The SMTDP is expected to be monitored and evaluated in accordance with the provisions in this guidelines, submit quarterly and annual reports to the NDPC and other relevant stakeholders.

For further information, refer to the Results matrix of the Agenda for Jobs and National M&E Manual.

**Table 12: Monitoring /Results Framework**

Development Dimension										
Goal as adopted in SMTDP 2018-2021										
Policy Objective 1 (as adopted in SMTDP, 2018-2021)										
Indicators	Indicator Definition	Indicator Type	Baseline 2017	Targets				Disaggregation	Monitoring Frequency	Responsibility
				2018	2019	2020	2021			

<b>Objective 2:</b>							
ETC.							

**Output of Step 12: includes** a monitoring or results framework outlining all indicators, their baselines and targets etc. as inputs into Steps 10, 12 and Chapter 6

### Step 13. Arrangements for data collection, collation, analysis and use of results

It is necessary that the SMPC plans for how data should be;

- i. Collected;
- ii. Collated (including those gathered by other departments and agencies as well as CSOs);
- iii. Processed and validated.
- iv. Analysed and information generated from the results of the programme/project in relations to the indicators (core and sector specific) and targets of the MTDP of the MDA.

As part of the monitoring process, the SMPC should develop programme/project register based on the PoA with details on activities such as start time, costs, location and source of funding, expected completion date and status of project and their implications for the achievement of the goals and objectives of the MTDP of the MDA. The register should be updated regularly. This register should be complemented by the data collection sheet/matrix. This is prepared by using indicators from the monitoring matrix in Table 11 above. The data collection matrix should provide further information on data collection period, methods and results (Table 13).

<b>Box 11: Programme/Project Register Format</b>	
<b>1.</b>	<b>Programme/Project Name</b>
<b>2.</b>	<b>SMTDP Medium-term goal</b>
<b>3.</b>	<b>Sector</b>
<b>4.</b>	<b>Project Description</b>
<b>5.</b>	<b>Project Location</b>
<b>6.</b>	<b>Contractor</b>
<b>7.</b>	<b>Budget, source and type of funding</b>
<b>8.</b>	<b>Date started</b>
<b>9.</b>	<b>Expected completion date</b>
<b>10.</b>	<b>Contract sum</b>
<b>11.</b>	<b>Expenditure to date</b>
<b>12.</b>	<b>Project implementation status</b>
<b>13.</b>	<b>Remarks</b>

**Table 13: Example of Data collection matrix**

<b>Indicator</b>	<b>Data collection period</b>	<b>Data collection method</b>	<b>Data disaggregation</b>	<b>Results</b>
Yield of maize	October to November 2018	Survey covering all 2,000 maize farmers in a district	<ul style="list-style-type: none"> <li>• Male farmers</li> <li>• Female farmers</li> </ul>	<ol style="list-style-type: none"> <li>i. 2 tonnes per hectare</li> <li>ii. 5% increase in yield from 2012</li> <li>iii. 7% increase for males, and</li> </ol>

				4% for females
Proportion of households able to meet minimum nutritional requirements throughout the year	January 2018	Sample survey of 1,000 out of 60,000 permanent settlers in the district	<ul style="list-style-type: none"> <li>i. Male-headed households</li> <li>ii. Female-headed households</li> <li>iii. Northern parts of the sector</li> <li>iv. Southern parts of the sector</li> </ul>	<ul style="list-style-type: none"> <li>i. 50% of all households - 2% increase from 2012</li> <li>ii. 70% for male headed - 2% increase from 2017</li> <li>ii. 40% for female headed - 5% decrease from 2012</li> <li>iv. 80% for the North - 7% increase from 2012</li> <li>v. 40% for the South - 2% increase from 2012</li> </ul>

It should be possible for the MDAs, NDPC and other stakeholders to utilise the information so generated, while the findings, lessons learnt and recommendations to be produced can be fed into the AAPs and the next SMTDP.

**Output of Step 13.** includes strategy for data collection, collation, analysis and use of results matrix as inputs into Chapter 6

#### Step 14. Reporting Arrangement

The SMPC should provide for preparation and submission of quarterly and annual reports on their M&E activities to NDPC and other relevant stakeholders. The format presented in Box 12 may be useful in providing for reporting. Arrangement should be made to provide for internal utilisation of the reports.

**Output of Step 14** includes the quarterly, and annual progress reporting format as inputs into Chapter 6 of the SMTDP.

#### Step 15: Dissemination and Communication strategy

A crucial but often forgotten step is planning how the M&E information will be shared and discussed with relevant stakeholders and decision makers.

**Box 12: Quarterly and Annual Progress Reports Format**

**Title Page**

- i. Name of the MDA
- ii. Time period for the M&E report

**Introduction**

- i. Summary of achievements and challenges with the implementation of the SMTDP
- ii. Purpose of the M&E for the stated period
- iii. Processes involved and difficulties encountered

**M&E Activities Report**

- i. Programme/Project status for the quarter or year
- ii. Update on funding sources and disbursements
- iii. Update on indicators and targets
- iv. Update on critical development and poverty issues
- v. Evaluations conducted; their findings and recommendations
- vi. Participatory M&E undertaken and their results

**The Way Forward**

- i. Key issues addressed and those yet to be addressed
- ii. Recommendations

The SMPC should therefore prepare a dissemination and communications strategy This should include:

- i. Arrangements for distribution of the quarterly and annual progress reports
- ii. Creation of awareness:
  - a. Through announcements, discussions and broadcast in the local news media (including local FM stations) on the SMTDP, Annual Progress Reports, etc.
  - b. On the roles and expectations of the stakeholders in the implementation of the sector programmes to improve the living conditions of Ghanaians for the period 2018-2021 (See Table for an example of activity matrix).
- iii. Organisation of meetings with stakeholders who must then take messages back to their constituencies.
- iv. Holding workshops and community meetings at central locations.
- v. Use of social media such as WhatsApp, Facebook, Twitter.
- vi. Promotion of
  - a. Dialogue and generate feedback on the performance of the sector
  - b. Access and management of expectations of the public concerning the services of the sector

MDAs are requested to form Development Communication Committees. The Committee shall be chaired by the Director of PPMED or equivalent with the Public Relations Officers/Information Officers as Secretary.

**Table 14: An example of communication activity matrix**

Activity	Purpose	Audience	Method/Tool	Timeframe	Responsibility
Community sensitization	To create awareness on the SMTDP	Community members, Traditional authorities etc	Community durbars, drama, role play etc	Quarterly	SMPC
Meeting with Political leadership	1. To get them to appreciate the SMTDP.	DCE, Presiding member, MPs and chairpersons of the sub-committees	Meetings with audiovisuals	15th to 30th January	SMPC
	2. To update them on the status of implementation		Round-table discussion and, PowerPoint presentations.	October to December	

**Output of Step 15 includes** dissemination and communications strategy.as inputs into chapter 6.

### **Step 16: Evaluation**

One of the key features of the sector development effort should be a strong commitment to conducting evaluations. In this respect, the SMPCs are expected to plan for evaluation. Some of the key steps to be considered include the following (details are provided in the National M&E Manual):

- i. Assessing the need for an evaluation (provide the background).
- ii. Developing clear ideas on the rationale and objectives of the evaluation.

- iii. Determining the type of evaluation to undertake.
- iv. Specifying the methods, scope and timing of the evaluation.
- v. Identifying and analysing stakeholders (See Annex 2 for stakeholder analysis).
- vi. Estimating the costs involved which should be factored into the budget of the AAP.
- vii. Preparing Terms of Reference (TOR) and contractual agreements based on items i-iv above. The TOR should be prepared by the SMPC in collaboration with stakeholders. It is important to have a broad agreement on the TOR because it will form the basis for the evaluation exercise. More importantly, the TOR will be the formal reference for the consultant or team of consultants to be recruited.
- viii. Recruiting a consultant or a team in accordance with the provisions of the Procurement Act, 2003 (Act 663).
- ix. Organising meetings to discuss the inception and draft reports with stakeholders.
- x. Organising a validation meeting with stakeholders before submission of the final report.
- xi. Disseminating the results and acting on the findings and recommendations as part of the dissemination and communications strategy (see Annex 18 for general evaluation norms and standards).

**Output of Step 16 includes** evaluation arrangements with an evaluation framework or matrix as indicated in Table 15 below as inputs into Chapter 6 of the MTDP.

**Table 15:** Evaluation Matrix

Evaluation Criteria	Evaluation Questions		Data Needed	Data Sources	Data Collection Methods
	Main Questions	Sub-Questions			
Relevance					
Efficiency					
Effectiveness					
Impact					
Sustainability					
Others					

Adapted from JICA, 2004

### Step 17: Participatory M&E

Participatory M&E (JICA) refers to the practice where all key stakeholders are directly involved in the M&E design and implementation process. It is a valuable tool used to capture perceptions and assess whether interventions have met these expectations, especially of the poor and the vulnerable in society. The following are PM&E methods which have been discussed in detail in the National M&E Manual and should be used accordingly:

- i. Participatory Rural Appraisal.
- ii. Citizen Report Card.
- iii. Community Score Card.
- iv. Participatory Expenditure Tracking Surveys.

The SMPC should consider the following steps in planning for PM&E:

- i. Deciding on the need for PM&E.

- ii. Deciding on the PM&E method to use.
- iii. Identifying the key stakeholders.
- iv. Identifying a lead facilitator.
- v. Determining the performance questions.
- vi. Determining the resources and time available.
- vii. Defining a TOR for the lead facilitator or consultant.
- viii. Training the team to carry out the PM&E.
- ix. Disseminating the results and acting on the findings and recommendations as part of the dissemination and communication strategy.

**Output of Step 17 includes** PM&E arrangement as inputs into Chapter Six of the SMTDP.

## ANNEXES

### Annex 1 – Members of Metropolitan, Municipal and District Planning Coordinating Units

#### FIRST SCHEDULE

#### (Regulation 1 (2))

<b>Metropolitan</b>	<b>Municipal</b>	<b>District</b>
<p>(1) Metropolitan coordinating director</p> <p>(2) Metropolitan director of works department</p> <p>(3) Metropolitan director of physical planning department</p> <p>(4) Metropolitan director, department of trade and industry</p> <p>(5) Metropolitan director of directorate of agriculture</p> <p>(6) Metropolitan director of department of social welfare and community development</p> <p>(7) Metropolitan director of legal department</p> <p>(8) Metropolitan director of waste management department</p> <p>(9) Metropolitan director of urban roads department</p> <p>(10) Metropolitan director of budgeting and rating department</p> <p>(11) Metropolitan director of transport department</p> <p>(12) Metropolitan director, finance department</p> <p>(13) Metropolitan director of education, youth and sports department</p> <p>(14) Metropolitan director of natural resources conservation, forestry, game and wildlife department</p> <p>(15) Metropolitan director of disaster prevention department</p> <p>(16). Metropolitan director of health department</p> <p>(17) Convener of the development planning subcommittee of the executive committee</p> <p>(18) A representative each of civil society and tie traditional authority identified and selected by the metropolitan planning authority with the right to vote</p> <p>(19) A maximum of five representatives of relevant non-decentralised agencies and organisations co-opted by the metropolitan planning unit with the right to vote.</p>	<p>(1) Municipal coordinating director</p> <p>(2) Municipal planning officer</p> <p>(3) Municipal budget officer</p> <p>(4) Municipal director of the finance department</p> <p>(5) Municipal director of the health department</p> <p>(6) Municipal director of the department of education, youth and sports</p> <p>(7) Municipal director of agriculture</p> <p>(8) Municipal director of social welfare and community development</p> <p>(9) Municipal director of the Department of trade and industry</p> <p>(10) Municipal director of the physical planning department</p> <p>(11) Municipal director of works or district engineer</p> <p>(12) Municipal director of disaster prevention and management department</p> <p>(13) Municipal director of natural resources conservation, forestry, game and wildlife department</p> <p>(14) Convener of the development planning subcommittee of the executive committee</p> <p>(15) A representative each of civil society and the traditional authority, identified and selected by the municipal planning authority with the right to vote.</p> <p>(16) The municipal planning coordinating unit may co-opt a maximum of five representatives of relevant non-decentralised agencies and organisations to any of its meetings, with the right to vote.</p> <p>(17) Two private sector representatives.</p>	<p>(1) District coordinating director</p> <p>(2) District planning officer</p> <p>(3) District budget officer</p> <p>(4) District director of finance department</p> <p>(5) District director of health department</p> <p>(6) District director of department of education, youth and sports</p> <p>(7) District director of agriculture</p> <p>(8) District director of social welfare and community development</p> <p>(9) District director of the Department of trade and industry</p> <p>(10) District director of physical planning department</p> <p>(11) District director of works or district engineer</p> <p>(12) District director of disaster prevention and management department</p> <p>(13) District director of natural resources conservation, forestry, game and wildlife department</p> <p>(14) Convener of the development planning subcommittee of the executive committee</p> <p>(15) A representative each of civil society and the traditional authority, identified and selected by the district planning authority, with the right to vote.</p> <p>(16) The district planning coordinating unit may co-opt a maximum of five representatives of relevant non-decentralised agencies and organisations to any of its meetings, with the right to vote.</p> <p>(17) Two private sector representatives.</p>

## Annex 2: Example of Stakeholders' Analysis at the Sector Level

Stakeholders	Classification	Needs/Interests/ Responsibility	Involvement in Planning, M&E Activities
1. NDPC	Primary	Policy direction, guidelines, capacity building	Planning, including M&E preparation, evaluations, M&E results dissemination
2. Local Government Service	Primary	Technical assistance, job analysis, management of services	Planning, including M&E seminars & meetings, supervision, project inspection, evaluations, M&E results reporting and dissemination
3. Other MDAs	Primary	Advisory services, technical assistance	Planning, including M&E seminars & meetings, supervision, project inspection, evaluations, M&E results reporting and dissemination
4. DACF Secretariat	Primary	Financial resources, advisory services	Planning, including M&E seminars & meetings, supervision, project inspection, evaluations, M&E results reporting and dissemination
5. RCC	Primary	Advisory services, capacity building	Planning, including M&E preparation, evaluations, PM&E, data collection, M&E seminars & meetings, supervision, project inspection, M&E results reporting and dissemination
6. District Assembly	Primary	Decision making, by-laws, deliberation and adoption of plans, programmes and projects,	Plan including M&E preparation, M&E seminars & meetings, supervision, project inspection, evaluations, M&E results reporting and dissemination, etc.
7. Member(s) of Parliament	Primary	Decision making, common fund for programmes and projects	Planning, including M&E seminars & meetings, supervision, project inspection, evaluations, M&E results reporting and dissemination
8. Traditional Authorities	Primary	Advisory services, transparency and accountability	Planning, including M&E seminars & meetings, supervision, project inspection, M&E results reporting and dissemination
9. Other MDAs	Secondary	Guidelines, performance targets, advisory services	Data collection, M&E results reporting and dissemination
10. Consultants	Secondary	Technical assistance	Planning, including M&E preparation, evaluations, PM&E
11. CSOs	Secondary	Advocacy, financial and material resources, transparency and accountability	Planning, including M&E seminars & meetings, supervision, project inspection, PM&E, data collection, M&E results reporting
12. Development Partners	Secondary	Transparency and accountability, financial and material resources, technical assistance	Planning, including M&E seminars & meetings, supervision, project inspection, data collection, M&E results reporting
13. Media	Secondary	Transparency and accountability	Dissemination and communication of M&E results
14. Office of the President	Primary	Decision making, approval of policy frameworks	Policy framework formulation and M&E results

### **Annex 3: Format and Content of SMTDP of MDAs**

The MTDP of MDAs should follow the outline below:

**i. Table of Contents**

**ii. List of Acronyms**

**iii. Executive Summary-** This should include:

- General background of the MDA including brief description of the vision, mission, functions, core values, process of preparing the MTDP of the MDA and participation of key stakeholders.
- A brief insight into the scope and direction of the development programmes, sub-programmes and activities for 2018-2021 (as informed by the national MTDPF)
- Indicative budget, financial plan and expected outcomes.

**Chapter 1: Performance Review and Profile/Current Situation/Baseline** (Refer to Steps 1-4): This should be the:

- Description of the vision, mission, core values and functions.
- Analysis of the performance of the MDAs in implementing programmes and projects under the seven GSGDA II (2014-2017) themes and other interventions from 2014 to 2017.
- Analysis of current sector development situation and profile of the MDA.
- A summary of key development problems/issues/gaps identified from the situation analysis.

**Chapter 2: Development Issues** for 2018-2021 (Refer to Steps 5-5.3):

This should include prioritised development issues linked to the relevant development dimensions of Agenda for Jobs, 2018-2021, which are:

- i. Economic Development
- ii. Social Development
- iii. Environment, Infrastructure and Human Settlements
- iv. Governance, Corruption and Public Accountability
- v. Ghana's role in International Affairs

**Chapter 3: Development Projections, Goal, Adopted Objectives and Strategies** (Refer to Steps 6-7): This should include:

- i. Projected development requirements for 2018-2021.
- ii. Adopted development issues, Development Dimension goals, Policy objectives and strategies from Agenda for Jobs.

**Chapter 4: Development Programmes and Sub-Programmes of the MDA** (Refer to 8-9):-

This should include:

- Development Programmes and Sub-Programmes of the MDA for 2018-2021

- Development Programmes/Sub-Programmes of Action of the MDA for 2018-2021 linked to the programme-based budgeting and reflecting international obligations and sustainability measures
- Indicative Financial Strategy.

**Chapter 5: Annual Action Plan of the MDA - (Refer to Step10-12):**

This should include:

- Annual Action Plan developed as a basis for the MDA Budget

**Chapter 6: Implementation, Monitoring and Evaluation(Refer to Step13-16):**

This should include:

- i. Monitoring matrix or results framework outlining all indicators, their baselines and targets.
- ii. Strategy for data collection, collation, analysis and use of results matrix, implementation, and M&E.
- iii. Quarterly and Annual Progress Reporting Format.
- iv. Dissemination and Communications Strategy.
- v. Evaluation Arrangement with an Evaluation Framework or Matrix.
- vi. Participatory Monitoring and Evaluation Arrangement.

**Annex 4: Annex 4: Example of SMPC Capacity and Management Index**

<b>Indicators</b>	<b>Score = 1</b>	<b>Score = 5</b>	<b>Score = 10</b>	<b>Indicator Average</b>
<b>1. Qualifications of personnel</b>	Most staff do not have the required education	Some staff have the required education	All staff have the required education	
<b>2. Staff Compliment</b>	There are numerous key positions that are unfilled	Most key positions are filled but there are still gaps	All positions in the DPCU positions are filled	
<b>3. M&amp;E Skills &amp; Knowledge</b>	Most staff do not have the requisite M&E skills and knowledge	Some staff have requisite M&E skills and knowledge	All staff have requisite M&E skills and knowledge	
<b>4. Availability of Funds</b>	Funds available do not meet basic cost requirements	Funds available to meet basic costs, but will not allow DPCU to carry out all activities in the M&E plan	Funds available meet basic costs, as well as enable DPCU to carry out all activities in the M&E plan	
<b>5. Utilization of Funds</b>	Resources are spent at the discretion of management and not in pre-approved areas	Some resources are spent as approved by the DA, but management continues to direct some funds inappropriately	Resources are spent as budgeted in accordance with the DMTDP	
<b>6. Timely Access to Funds</b>	Funds released 12 months behind schedule	Funds released 6 months behind schedule	Funds released on schedule	
<b>7. Leadership</b>	Leadership is not able to address development needs due to low motivation, corruption, or lack of qualification	Leadership can complete short term tasks, but is not dynamic or able to envision the medium to long term development	Leadership is dynamic and motivates the DA staff and members to work together for long term development	
<b>8. Management</b>	The full complement of management is not available, and what is present does not have the skills to direct DPCU activities	Partial complement of management but not able to handle all functions e.g. planning, budgeting, financial reporting, M&E, etc.	There is a full complement of management and technically skilled to handle all functions	
<b>9. Workload</b>	Workload is so high that staff	Workload forces staff to work	Staff can complete all jobs within	

	must work overtime to complete even basic administrative tasks	overtime to complete planning and M&E functions	regular working hours	
<b>10. Motivation/ Incentives</b>	Basic central government Motivation/Incentives exist but are not accessible	Some central government motivation/incentives are accessible (training, maternity leave, overtime payment, etc)	Central government motivation/incentives are easy to access and development partners' incentives also exist	
<b>11. Equipment/ Facilities</b>	Office space, furniture, and other facilities are woefully inadequate	Office space is adequate, but furniture and other facilities are lacking for some staff	All staff have access to appropriate office space, furniture and other facilities	
<b>Total Score</b>	<b>11</b>	<b>55</b>	<b>110</b>	
<b>NB:</b> <ol style="list-style-type: none"> <li><b>The score</b> is a continuum from 1 to 10.</li> <li><b>The indicator total scores</b> above provide the worst, average and best case scenarios for three people.</li> <li><b>The total score</b> for the three people is calculated by adding the 3 scores (11+55+110 = 176)</li> <li><b>The average total score</b> is calculated by dividing the total score by 3 (176/3 =58.7)</li> <li><b>The Index</b> is calculated by dividing the average total score by the number of indicators (58.7/11=5.3)</li> <li><b>The interpretation for Index 5.3 means</b> this organization has a mediocrity capacity and management performance</li> </ol>				

### Guide on the Scoring Exercise

The management Capacity Index is a group exercise. The assessment is done by translating individual perceptions on an issue or indicator into a numerical value ranging from 1 to 10. Actual scoring should be done as a continuum from 1 to 10 (e.g. 6.0, 1.2, 3.4, 8.8, 5.6, 7.0, etc.) This assessment must be done by a group of people who work with or know the organization to be assessed very well e.g. staff and key stakeholders. The best approach is for a facilitator to take all participants through the indicators and the scoring process. When all the participants have understood the process, the scoring of indicators must be done independently as a secret ballot. The results are then collated, analysed and interpreted by the group. The interpretation of **the index** uses a score range of (1 to 4) for low performance, (5 to 7) for average performance and (8 to 10) for high performance.

### Guide on Calculating the Scores

**Total Individual Scores** – Each participant should sum up all the scores he/she gave for each indicator. e.g. the minimum total score for one individual will be 11 whilst his/her maximum score will be 110.

**Average score for each indicator** – Calculate the average score for each indicator by adding all the individual scores for each indicator and divide the sum by the number of participants. e.g. if the 10 participants scored the **Leadership** indicator as follows: 5.5+3.0+4.0+6.0+7.5+2.0+1.4+9.0+5.3 +7.2=50.9/10=**5.9**. The interpretation of this score is that performance of leadership in this organization is average. Leadership of this organization may be able to complete short term tasks, but is not dynamic or able to vision the medium to long-term.

**Average total scores for the indicators** – Add up the individual total scores of the 11 indicators (as explained above). e.g. if the scores by the 10 participants for each indicator were as follows: 25.5+ 33.0+44.0+46.0+87.5+92.0 +99.4 +29.0+35.3 +67.2= **558.90**. Determine the average total score for the 11 indicators. i.e. 558.9/11=**50.81**

**The Index** (Average indicator score) – Calculate the **index** by dividing the average individual total scores by the number of indicators i.e. 50.81/11=**4.6**. The **index** of **4.6** means this organization has a mediocre capacity and management performance

### Some Questions that could Guide the Situation Analysis

Issues	Questions
<b>SMTDP</b>	<ul style="list-style-type: none"> <li>• Is there an approved SMTDP?</li> </ul>
<b>Human Resources</b>	<ul style="list-style-type: none"> <li>• What are the capacity and human resource requirements for M&amp;E in the sector?</li> <li>• How is the skill base of the stakeholders identified and their ability to contribute to the M&amp;E plan preparation and implementation?</li> </ul>
	<ul style="list-style-type: none"> <li>• How many PPMED staff lack the requisite M&amp;E skills?</li> </ul>
	What training will be required? E.g. Courses on: <ul style="list-style-type: none"> <li>• M&amp;E</li> <li>• Development planning</li> <li>• Team- and consensus-building techniques</li> <li>• Database management and other computer programs</li> <li>• Report writing</li> <li>• Facilitation skills</li> </ul>
	<ul style="list-style-type: none"> <li>• Does the sector have its entire complement of PPMED staff?</li> </ul>
	<ul style="list-style-type: none"> <li>• What technical support (consultancy services) will be required?</li> </ul>
<b>Material Resources</b>	<ul style="list-style-type: none"> <li>• Is there a vehicle for M&amp;E?</li> <li>• What M&amp;E information must be stored - when, how and for whom?</li> <li>• What level of computerisation is required?</li> <li>• Is there internet connectivity?</li> <li>• Are there enough computers and accessories (printers, scanners, LCD projector, etc.)?</li> </ul>
	<ul style="list-style-type: none"> <li>• Is there a documentation centre (with periodicals, Acts and Legislative Instruments, development plans, guidelines, manuals)?</li> </ul>
	<ul style="list-style-type: none"> <li>• What is the situation with regard to office space, incentives?</li> </ul>
	<ul style="list-style-type: none"> <li>• Are there photocopiers, flip charts, cameras?</li> </ul>
	<ul style="list-style-type: none"> <li>• Are the financial resources available to carry out M&amp;E activities such as M&amp;E plan preparation, data collection and analysis, report writing, dissemination and communication, evaluations, PM&amp;E?</li> </ul>
<b>Recommendations</b>	<ul style="list-style-type: none"> <li>• What are the solutions for the challenges identified?</li> </ul>

### Annex 5: Potential Climate Impact and Proposed Adaptation and Mitigation Strategies

Sectors	Potential Climate Change Vulnerability	Adaptation Strategies
Agriculture	<ul style="list-style-type: none"> <li>• Harvest failures from improper adaptive strategies</li> <li>• Reduce biological productivity and loss of forest cover</li> <li>• Progressive loss of non-timber forest products</li> <li>• Increased land degradation and loss of cultivable land</li> <li>• Reduction in livestock size and nutrition.</li> </ul>	<ul style="list-style-type: none"> <li>• Development of drought-tolerant and flood-resistant varieties</li> <li>• Breeding of early or extra early maturing genotypes</li> <li>• Developing food insurance schemes</li> <li>• Educating farmers to plant in low population density areas so as to reduce competition for scarce or limited soil moisture</li> <li>• Encourage farm-level adaptation such as shifts in planting dates and modifying the amount and timing of fertilizer application</li> <li>• Shifts in natural production centres for various food crop areas where comparative advantage can be obtained.</li> <li>• Enhancing food security measures by storing food in national banks</li> </ul>
Marine ecosystem and coastal zone infrastructure	<ul style="list-style-type: none"> <li>• Potential risk from sea level rise such as coastal inundation and erosion</li> <li>• Salt water intrusion into fresh water resources</li> <li>• Disruption of sources of livelihoods (e.g. fishing and agriculture)</li> <li>• Population displacement</li> <li>• Invasion and destruction of mangrove ecosystem, coastal wetlands and beaches along with their associated economic and social importance such as being sites for migratory birds</li> <li>• Loss of habitat of several species including marine turtles</li> <li>• Risk to life, structures and property</li> </ul>	<ul style="list-style-type: none"> <li>• Negotiating regional water-sharing agreements</li> <li>• Providing efficient mechanisms for disaster management</li> <li>• Developing desalination techniques</li> <li>• Planting mangrove belts to provide flood protection</li> <li>• Planting salt-tolerant varieties of vegetation</li> <li>• Improving drainage facilities</li> <li>• Establishing setback policies for new developments;</li> <li>• Devising flood early-warning systems.</li> <li>• Using setback policies for all underdeveloped areas within the coastal zone to prevent the construction of immovable structures within hazard areas</li> </ul>
Human health and settlements	<ul style="list-style-type: none"> <li>• Possibility of emergence of new disease vectors in some areas</li> </ul>	<ul style="list-style-type: none"> <li>• Establishing setback policies for new developments</li> <li>• Improving drainage facilities</li> </ul>

Energy, industry and financial services	<ul style="list-style-type: none"> <li>• Disruption in industry productivity due to possible crises in the energy sector</li> <li>• Disruption in the supply of raw materials (e.g. from agriculture, fisheries and forestry)</li> <li>• Potential impact on inter-regional trade</li> <li>• Disruption of rainfall patterns will affect Akosombo dam (30% of our energy sources)</li> <li>• Higher risk in property insurance</li> <li>• Possible disruption of banks' lending portfolios</li> </ul>	<ul style="list-style-type: none"> <li>• Development of woodlots</li> <li>• Promotion and development of energy efficient technologies</li> <li>• Promotion of energy conservation especially in large energy consuming industries</li> <li>• Monitoring and control of emissions from industries and transport sectors</li> <li>• Promotion and development of alternative energy sources such as biomass, wind, biomass, mini-hydro</li> </ul>
Biodiversity	<ul style="list-style-type: none"> <li>• Possible reduction in biological productivity</li> <li>• Alteration of species (flora and fauna) composition in the different ecological zones</li> <li>• Alteration of vegetation structure</li> </ul>	<ul style="list-style-type: none"> <li>• Reforestation</li> <li>• Ensure the cultivation of species in an environment they are adapted to.</li> <li>• Establish land use plan for hot spots</li> </ul>
Water resources and wetlands	<ul style="list-style-type: none"> <li>• Loss of biological diversity</li> <li>• Pollution of fresh water resources</li> <li>• Disruption of fishing activities</li> <li>• Reduction in underground water levels</li> <li>• Drying up of river courses resulting from forest loss in headstream areas</li> <li>• Threat to biodiversity (e.g. migratory birds)</li> </ul>	<ul style="list-style-type: none"> <li>• Establishment of flood/drought early-warning systems</li> <li>• Provision of alternative skills training for fishing communities</li> <li>• Desalinisation of water</li> </ul>

## Annex 5a: Examples of Green Economy Options by Sector

### Green Economy (GE) Options and Considerations

#### 1. Energy

- i. **Biofuels:** Liquid fuels and blending components produced from biomass (plant and animal) feed stocks, used primarily for transportation
- ii. **Biogas:** Gaseous fuel produced from animal and crop residues. A mixture of methane, carbon dioxide and water vapour.
- iii. **Geothermal energy:** Natural heat from within the earth, captured for production of electric power, space heating or industrial steam.
- iv. **Solar photovoltaic (PV) technologies:** Devices that convert the sun's energy into electricity for use in lighting, refrigeration, telecommunications etc
- v. **Solar thermal technologies:** Devices that use the sun as the primary source of energy for heat appliances, e.g. solar water heaters, solar dryers.
- vi. **Solar dryer:** A special structure that uses the sun's energy to dry agricultural produce (fruits, vegetables, meat).
- vii. **Solar water heaters:** Devices that use solar energy to heat water for domestic, institutional, commercial and industrial use.

#### 2. Water

- i. **Catchment management:** Water management is commonly practiced at the scale of catchments and watersheds. In many countries, so called catchment management authorities are responsible for developing and implementing IWRM plans.
- ii. **Integrated water resource management:** This is defined by the Global Water Partnership (GWP) as “a process which promotes the coordinated development and management of water, land and related resources in order to maximize the resultant economic and social welfare in an equitable manner without compromising the sustainability of vital ecosystems.”
- iii. **Re-use of water:** On its way through the landscape water commonly fulfills many functions. It may be extracted several times for industrial and domestic purposes before eventually reaching the sea. In many water scarce regions, reuse of water is an important strategy to enhance supply of water.

#### 3. Tourism

- i. **Conservation Development Framework (CDF):** A CDF helps identify where a park needs to expand to achieve the set conservation targets and generates information used for zoning and other spatial development targets.
- ii. **Cross funding (of biodiversity conservation from tourism):** Maximising revenues from tourism activities for re-investment in conservation.
- iii. **Eco-tourism:** Ecotourism can be defined as “responsible travel to natural areas that conserves the environment and sustains the well-being of local people”.
- iv. **Payment for ecosystem services (PES):** “Payments for Ecosystem Services (PES) deals are emerging wherever businesses, public-sector agencies, and non-profit organizations have taken an active interest in addressing particular environmental issues.

- v. **Responsible consumption:** A concerted effort to purchase and use goods and services that have low environmental footprints and provide a positive economic impact where feasible
- vi. **Responsible tourism:** Responsible tourism is to act as an enabler for conservation through enhancement of the financial sustainability of a park or protected area.
- vii. **Sustainable tourism:** Sustainable tourism can be defined as tourism that is “ecologically benign, economically feasible and socially acceptable”.

#### 4. Agriculture

- i. **Organic agriculture:** Includes all agricultural systems that promote the environmentally, socially and economically sound production of food and fibres.
- ii. **Agroforestry:** Agroforestry systems include both traditional and modern land-use systems where trees are managed together with crops and/or animal production systems in agricultural settings.
- iii. **Conservation agriculture:** Conservation Agriculture is an approach towards managing agro-ecosystems for improved and sustained productivity, and increased profits and food security, while preserving and enhancing the resource base and the environment. It is characterized by three linked principles, namely: (1) continuous minimum mechanical soil disturbance; (2) permanent organic soil cover; and (3) diversification of crop species grown in sequences and/ or associations
- iv. **Climate Smart Agriculture (CSA)** is an approach that helps to guide actions needed to transform and reorient agricultural systems to effectively support development and ensure food security in a changing climate. CSA aims to tackle three main objectives: sustainably increasing agricultural productivity and incomes; adapting and building resilience to climate change and reducing and/or removing greenhouse gas emissions, where possible.

#### 5. Built Environment and Urban Planning

- i. **Green buildings:** A green building is defined as “Green building is the practice of creating structures and using processes that are environmentally responsible and resource-efficient throughout a building's life-cycle from siting to design, construction, operation, maintenance, renovation and deconstruction.”
- ii. **Optimising infrastructure:** Optimising how infrastructure links people, activities, systems and processes in urban areas is critical to realising sustainability objectives. This typically involves optimising transport, waste, energy, water, sanitation and other urban systems.
- iii. **Clustering for competitiveness:** Clustering for competitiveness considers how systems, functions, processes, people and activities can be clustered within cities in order to facilitate enhanced mutualism and symbiosis in service of sustainability co-benefits in the social, economic and environmental spheres.
- iv. **Building Energy Efficiency:** Building energy efficiency relates to the energy and carbon profiles/footprints of buildings. The more efficient a building is in terms of energy consumption, the lower its energy footprint. This can result from retrofitting or design and construction considerations that are made from the outset.
- v. **Retrofit technologies:** Retrofit technologies are new technologies that are added to old systems and processes, constructions, infrastructures and existing technologies, in

order to improve their performance. In the context of green technologies, numerous technologies exist for optimising resource efficiency and lowering ecological and greenhouse gas footprints of existing systems. For example, solar water heaters, solar power, greywater recycling systems, anaerobic biodigesters, and so forth.

- vi. **Passive design:** Passive design makes use of the natural features of a site to maximise social, economic and environmental co-benefits in terms of resource efficiency and dependence, ecological impacts, living costs, availability of goods and services, and so forth

## 6. Factors for consideration (Built Environment and Urban Planning)

- i. **Social Factors:** The social dimension of African cities (poverty, unemployment, gender, demographics) is extremely important to accommodate in the formulation of development plans. For example, the large youth bulge, which is characterised by high levels of youth unemployment, as well as the emerging middle class, typically reside in cities.
- ii. **Multi-sector “nexus” impacts:** That is how sector impacts combine to impact on (especially poor) households, small businesses etc. highlights the importance of integrated planning. For example, how changes combine in the food-water-energy-transport “nexus” to impact on poor households, whose majority budget is devoted to these, is extremely important to factor into infrastructure and development planning in cities.
- iii. **Slums and informal settlements:** Since large proportions of African cities are characterised by slums and informal settlements, settled with poor and vulnerable households, municipalities rarely manage to collect revenues from their localities.

## 7 Transport

- i. **Clean fuel:** This is any fuel that produces less pollution (i.e. low emissions) and has a relatively benign impact on the environment. More often, alternative fuels – such as biofuels, liquefied petroleum gas (LPG), compressed natural gas (CNG), hydrogen, alcohol fuels, electric, gas to liquids (GTLs), biomass to liquids (BTLs), methanol to gasoline (MTG) are considered as clean fuel when compared to conventional fuels.
- ii. **Community Car share:** System that involves an organized group of participants (usually required to be members) with one or more self-accessing shared vehicles, the usage of which is booked in advance for short periods of time
- iii. **Inter-modality:** Inter-modality means combining several means of transport during the same journey, using different types of vehicles to get from one place to another; for example, train car or bus bicycle walking.

## 8. Waste Management

- i. **Composting:** Composting is the biological decomposition of biodegradable organic fraction of municipal solid waste under controlled conditions to a state sufficiently stable for nuisance free storage and handling and for safe use in land preparation.
- ii. **Waste to energy:** Waste-to-energy involves the idea of reducing waste bulk by burning it while at the same time generating electricity. This can be used as a low cost source of

energy to produce steam for electric power generation, industrial process heating, or hot water for district heating, thereby conserving valuable primary fuel resources.

- iii. **Waste recycling:** Recycling involves the collection, separation, clean up and processing of waste materials to produce a marketable material or product.
- iv. **Waste re-use:** The re-use of waste simply involves using a product more than once or re-using it in another application. Examples include re-using plastic supermarket carrier bags, glass milk bottles, and re-using car parts via car scrap merchants.

## 9. Sustainable Forest Management

- i. **Reforestation:** Reforestation is an operation which aims to restore or create woodlands or forests that have been deleted or destroyed for various reasons (overexploitation, forest fire, grazing, war, etc.).
- ii. **Agroforestry:** Agricultural practices in which trees are integrated with agricultural crops or livestock for a variety of benefits and services.
- iii. **Agroforestry products:** Agroforestry products are wood and non-wood products from trees, shrubs or other woody perennials grown in agroforestry systems (integrated systems in which woody perennials are grown in association with crops and or animals).
- iv. **Sustainable forestry jobs:** Sustainable forestry jobs refer to decent jobs that are in service of the preservation of forest resources, reforestation and forest plantation development.

## 10. Resource Efficiency and Cleaner Production (RECP)

- i. **Cleaner Production:** Cleaner production is a preventive, firm/enterprise based or company-specific environmental protection initiative, intended to minimize waste and emissions and maximize product output.
- ii. **Green Manufacturing:** Green manufacturing takes into consideration environmental attributes which are treated as design objectives, rather than as constraints, with minimum loss to product performance, useful life or functionality.
- iii. **Closed loop industrial zones/parks (eco-industrial parks):** They are in diverse forms. An advanced version of this would be an eco-industrial park where companies design their products and processes to use fewer virgin materials and use each other's by-products, co-products, or wastes as inputs.
- iv. **Green Production:** Green production is a strategy that employs environmentally friendly operating processes, and focuses upon three fundamental goals: 1) minimize emissions, effluents, and accidents; 2) minimize the use of virgin materials and non-renewable forms of energy; and 3) minimize the life-cycle cost (cradle-to-grave) of products or services."

## Annex 6: Demographic Transition and Dividend

Demographic dividends result from demographic transitions. A population is in demographic transition when both fertility and mortality rates are decreasing simultaneously over time. Demographic transitions with potential dividends can be a curse/burden to the population unless it is harnessed. Demographic transitions are marked by:

- a. A decreasing rate of growth of the population 0-14 years owing to a falling fertility among women of reproductive age overtime,
- b. An increasing trend in the number of persons in the population group 15-64 years owing to more people from the 0-14 age group surviving into the 15-64 age band, and decreasing mortality in the 15-64 age group due to improved health care and nutrition,
- c. An increasing trend in the number of persons surviving to age 65 and beyond, and
- d. A decreasing trend in age dependency ratios.

Harnessing a demographic dividend entails deliberate, intentional and calculated investment in programmes designed and consciously implemented to:

- i. Accelerate the completion of the demographic transition (through implementation of fertility reduction programs),
- ii. Improve the health status of the population,
- iii. Increase education and skills development,
- iv. Create increased employment opportunities to expansion of the economy,
- v. Increase participation in governance and in particular,
- vi. Position the youth (15-24) to be productive adults, and
- vii. Leverage the outcomes for accelerating development of the population.

### Action to be taken by sectors

1. Sectors should include a situational analysis of the indicators in the list of indicators ii. to vii. above.
2. Identify and prioritise issues arising from the situational analysis to be addressed.
3. Plan interventions to be included in the sector's programme and plans of action (especially positioning the increasing youth population to contribute productively to the sector's development)
4. Refer to the objectives of the National Medium-Term Development Policy Framework (2018-2021) in the relevant sectors - economy, employment, education, health and governance, for strategies to harness the demographic dividend. Some relevant ones and their related indicators are listed below:

S.N.	Objectives (NMTDPF, 2018-2021)	Indicators
<b>ECONOMIC DEVELOPMENT</b>		
4.6	Promote agriculture as a viable business among the youth	<ul style="list-style-type: none"> <li>• Percentage of youth (aged 15 -24 years) in agriculture and agro-business</li> </ul>
<b>SOCIAL DEVELOPMENT</b>		

1.1	Enhance inclusive and equitable access to, and participation in quality education at all levels	<ul style="list-style-type: none"> <li>• Gross enrolment ratio in kindergarten, primary, JHS, SHS</li> <li>• Net enrolment ratio in kindergarten, primary, JHS, SHS</li> <li>• Gender parity index in kindergarten, primary, JHS, second cycle, Tertiary</li> <li>• Percentage of (15-24) population not in employment, training or in school (disconnected youth)</li> <li>• Number of STEM related jobs</li> <li>• Proportion of students studying STEM subjects (from kindergarten to tertiary)</li> <li>• Number of TVET-related jobs</li> <li>• Proportion of TVET students enrolled in tertiary institutions</li> <li>• Total enrolment of PWDs in special schools</li> </ul>
2.3	Reduce disability morbidity, and mortality	<ul style="list-style-type: none"> <li>• Under-five mortality ratio (per 1,000 live births)</li> <li>• Maternal mortality ratio (per 100,000 live births) (Disaggregate by age groups, capturing the youth group 15-24)</li> <li>• Prevalence of NCDs such as diabetes, cardiovascular diseases, chronic lung diseases, cancers</li> <li>• Predisposing NCD Risk Factors: tobacco use, harmful use of alcohol, lack of exercise, and unhealthy dietary habits</li> <li>• Percentage of women and men who have awareness of their blood pressure</li> <li>• Number of trained personnel attending to degenerative ill-health conditions</li> <li>• Incidence of communicable diseases (malaria, cholera, etc.)</li> </ul>
2.4	Ensure reduction of new HIV, AIDS/STIs and other infections, especially among vulnerable groups	<ul style="list-style-type: none"> <li>• Percentage of youth (15-24) with HIV infections</li> </ul>
3.1	Ensure food and nutrition security (FNS)	<ul style="list-style-type: none"> <li>• Under-5 malnutrition rate</li> </ul>
4.1	Improve population management	<ul style="list-style-type: none"> <li>• Total Fertility Rate (Disaggregate by age groups, capturing the youth group 15-24)</li> <li>• Unmet need for family planning (Disaggregate by age groups, capturing the youth group 15-24)</li> <li>• Contraceptive Prevalence Rate (Disaggregate by age groups, capturing the youth group 15-24)</li> <li>• Proportion of childbearing females, 15-24 years (includes teenage pregnancy)</li> </ul>
6.1	Eradicate poverty in all its forms and dimensions	<ul style="list-style-type: none"> <li>• Incidence of poverty</li> <li>• Proportion below the poverty line with access to social protection programmes (Disaggregate by age groups, capturing the youth group 15-24)</li> </ul>
12.2	Promote the creation of decent jobs	<ul style="list-style-type: none"> <li>• Number of new jobs created by the private sector</li> </ul>

13.1	Promote effective participation of the youth in socioeconomic development	<ul style="list-style-type: none"> <li>• Proportion of youth who have transitioned from school to work (annually)</li> <li>• Number of youth employed in decent jobs after graduation</li> <li>• Number of new jobs generated through special initiatives such as Youth Enterprise Support (YES) Fund</li> <li>• Number of young people provided with entrepreneurial skills</li> <li>• Number of young people provided with skills in ICT</li> <li>• Relevant Legislative Instruments</li> <li>• Number of functional NYA offices at the District level</li> <li>• Change in the budgetary allocation to the NYA</li> <li>• Number of staff of NYA trained in Youth Development Studies</li> </ul>
13.2	Promote youth participation in politics, electoral democracy and governance	<ul style="list-style-type: none"> <li>• National Youth Parliament established with active district and regional representative/ parliamentarians</li> <li>• Proportion of young people who participate in the governance system</li> </ul>
<b>ENVIRONMENT, INFRASTRUCTURE AND HUMAN SETTLEMENTS</b>		
18.1	Enhance quality of life in rural areas	<ul style="list-style-type: none"> <li>• Number of jobs for the youth in rural areas</li> </ul>

## **Annex 7: Sample Guidance for inclusion of Social Protection in SMTDPs and AAPs**

**Programme:** Reducing violence, abuse, exploitation, neglect and injustices against children

**KEY POLICY OBJECTIVES:** 1.1 Ensure effective child protection and family welfare system  
1.2 Ensure the rights and entitlements of children

*(Include a section in the MTDPs and AAPs and Annual Budgets detailing the following when relevant):*

### **A. Child Protection issues for consideration:**

Child Marriage; Sexual harassment and abuse of children; Parental neglect; Child Labour; Physical abuse, Justice for children; Children in private residential ('orphanages'); Streetism; Child Trafficking; Violence and abuse in schools; Domestic Violence; Child online abuse and violation; Birth Registration and other specific issues which are peculiar to the District

**B. For each of the above issues identified,** provide the required information as requested in the generic planning process/steps in the Planning Guidelines

### **C. Intuitional structures for addressing Child Protection issues**

- Existence of Department of Social Welfare and Community Development other key institutions including National Commission on Civic Education, Births and Deaths Registry, Ghana Education Service, Ghana Health Service, Domestic Violence and Victims Support Unit working together
- Existence of non-formal institutions such as faith-based organizations, traditional authorities, NGOs and CSOs working closely with the formal institutions
- Availability of minimum/basic logistics for implementation of child protection activities (includes resources outside the district from development partners, NGOs, private/individual donations, etc.)

### **D. Suggested activities to address child protection issues**

Support Department of Social welfare and community development to undertake the following:

- Engage all communities in dialogues on child protection issues
- Train key staff of the District Assembly, other key MMDA departments, faith-based organizations, traditional authorities, NGOs and CSOs on child protection
- NGOs, CBOs, CSOs, Zonal representatives/Elected Assembly members/Unit Committee chairs, religious and traditional leaders trained on child protection using the child protection facilitation toolkit and other relevant materials on child protection
- Provide logistics and other resources to enable social welfare and community development staff to visit and engage families and communities on child protection issues
- Support the Department of social welfare and community development to conduct regular monitoring and lessons sharing review meetings to re-plan and replicate promising practices.
- Implement Case Management in response to children and families requiring support:
  - ✓ Identify gaps and build capacities of key MMDA staff on child protection/Gender Based Violence and case management
  - ✓ Identify and register girls and boys in need of care and protection

- ✓ Develop and implement an individual case plan for each child/family addressing the needs identified (including direct support and referral services; linking them to other services such as health, education, justice and social protection services); follow up and review the child/family situation overtime and either close the case or continue monitoring till such time the case can be closed; track and report on each case on a monthly/quarterly basis; and Cases properly documented and filed

#### **E. Annual Budget**

- Include allocations for implementation of child protection activities in Annual Plans to address Child Protection issues

#### **F. Monitoring and Evaluation**

Indicators that can help track progress and as contained in the 2018 performance contracts for MMDAs include:

- 80% of approved Gender Based Violence interventions implemented and reported on by the end of the year
- At least 60% of child protection cases managed effectively by the end of the year.

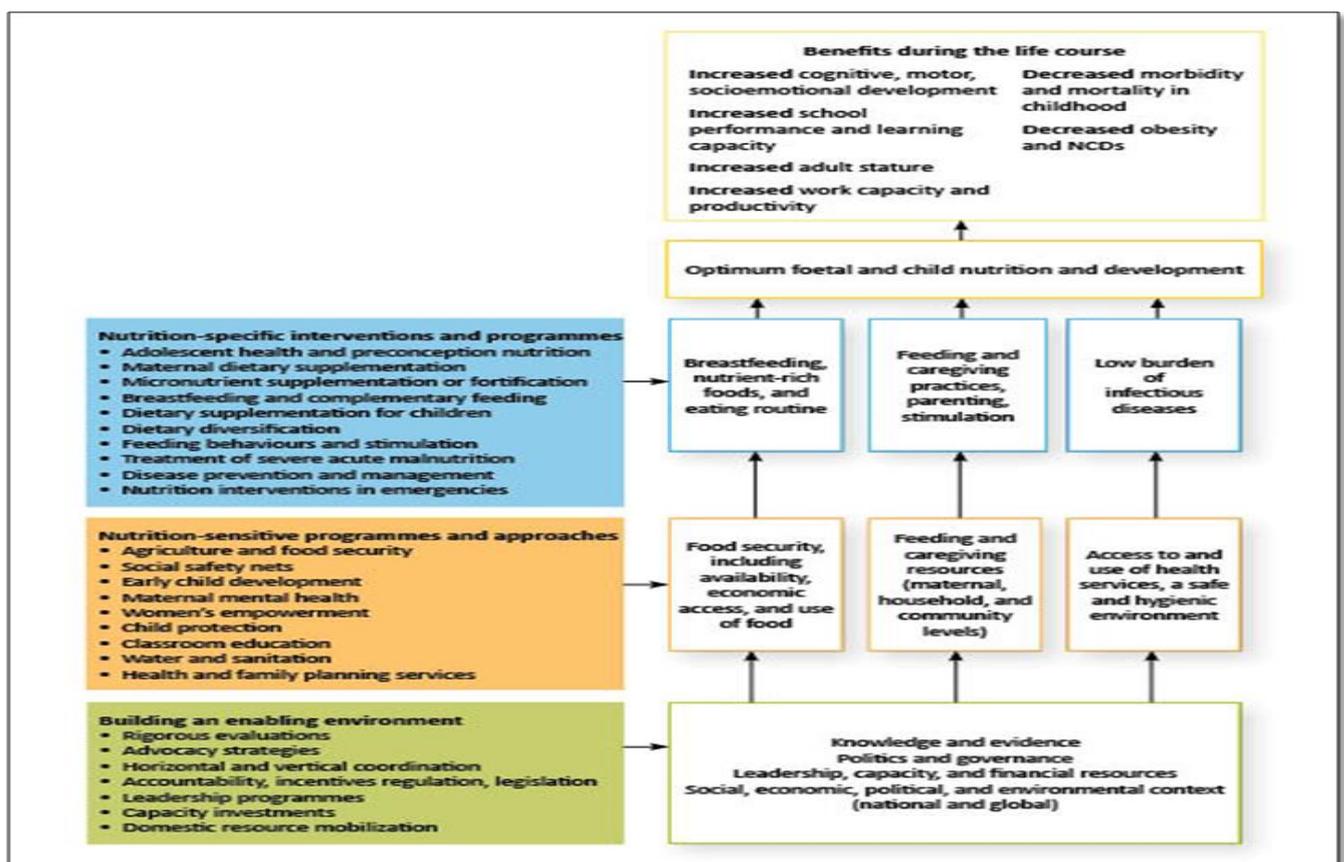
80% of community mobilization and education programmes of annual action plans executed by the end of the year

## Annex 8: Scale Up Nutrition (SUN) Movement

Ghana joined the SUN Movement in May 2011 and has committed itself to fast-track reduction of malnourishment of children through the scaling up of proven cost-effective nutrition specific and nutrition-sensitive interventions during the 1000 days from conception to the first two years of the child’s life. Ghana is required to achieve Goal 2 of the Sustainable Development Goals (SDGs) in relation to the World Health Assembly (WHA) targets. The SUN Movement seeks to bring different groups of people together – governments, civil society, the United Nations, donors, businesses and scientists – in a collective action to improve nutrition.

Malnutrition and undernourishment not only reduces a person’s immune system, but also makes the individual more vulnerable to diseases, negatively affects a child’s cognitive abilities and educational performance and eventually reduces their productivity as working adults. Household earnings therefore stagnate and/or decline, affecting their welfare, reducing the potential of and adding to the burden of Ghana’s economy. If Ghana is to increase the pace of economic development, there must be a strong focus on investing in the nutrition of Ghanaians, particularly women and children who currently carry the highest burden of malnutrition. (See figure below for more information)

**Figure 4: Framework for actions to achieve optimum foetal and child nutrition and development**



Source: Black et al. 2013. ‘Maternal and child undernutrition and overweight in low-income and middle-income countries’. *The Lancet Maternal and Child Nutrition Series 1*. p. 2.

## Annex 8a: Indicators to Guide Planning for Food and Nutrition Security

Malnutrition Indicators	Indicator Definition	Examples of Potential Interventions
Stunting	Prevalence of stunting among children 6-59 months	<ol style="list-style-type: none"> <li>1. Undertake behavior change communication and public awareness campaigns particularly to encourage early initiation of and 6 months exclusive breastfeeding</li> <li>2. Provide maternity cash transfer programmes and other social safety nets</li> <li>3. Encourage food fortification and diet diversification to improve diet quality</li> <li>4. Provide Iron and Folate supplements for women pre-conception and during pregnancy</li> <li>5. Advocate for home gardening and diversification of crops</li> </ol>
Childhood overweight	Prevalence of overweight in children 6-59 months	<ol style="list-style-type: none"> <li>1. Restrict the marketing of unhealthy foods and non-alcoholic beverages to children</li> <li>2. Enforce regulations on nutrition labelling</li> <li>3. Encourage the consumption of fruits and vegetables</li> <li>4. Carry out awareness creation to reduced consumption of foods high in fat, saturated fat, salt and sugar</li> </ol>
Anaemia in women	Women 15-49 years with anaemia	<ol style="list-style-type: none"> <li>1. Promote checking of anaemia status</li> <li>2. Enhance dietary diversity</li> <li>3. Increase availability and accessibility of iron/micronutrient rich foods</li> <li>4. Promote food fortification and nutrient enhancement in the production, preservation, processing, and marketing of food (Link to 1D1F initiative)</li> <li>5. Provide intermittent iron and folic acid supplementation to adolescent girls, including out-of-school girls</li> <li>6. Promote safe water, sanitation and hygiene (WASH) to limit infections that lead to reduced iron absorption</li> </ol>
Anaemia in children	Children 6-59 months with anaemia	<ol style="list-style-type: none"> <li>1. Promote early initiation of and 6 months exclusive breastfeeding</li> <li>2. Prevent and treat infections such as malaria and tuberculosis through the provision of insecticide-treated nets and other health interventions</li> </ol>
Wasting	Prevalence of moderate and severe acute malnutrition among children 6-59 months	<ol style="list-style-type: none"> <li>1. Develop improved methods and linkages for early identification and treatment of wasting, both within the health sector and cross-sectorally</li> <li>2. Develop evidence for effective prevention strategies to reduce the burden of wasting</li> <li>3. Encourage and commission research to better understand the links between wasting and stunting, to ensure maximum leverage all nutrition investments</li> <li>4. Improve coordination between key government ministries to link treatment strategies for acute malnutrition to prevention strategies for wasting and stunting throughout the life-course.</li> </ol>

		<ol style="list-style-type: none"> <li>5. Make provision for outpatient treatment of children with uncomplicated severe acute malnutrition using ready-to-use therapeutic foods and a seven-day preventive course of antibiotics</li> <li>6. Optimize the use of locally available foods</li> </ol>
Exclusive breastfeeding	Infants 0-5 months exclusively breastfed	<ol style="list-style-type: none"> <li>1. Train all health care staff in skills necessary to implement Ghana's National Breastfeeding Policy</li> <li>2. Enforce Breastfeeding Promotion Regulations, Legislative Instrument 1667 (2000), particularly to limit the aggressive and inappropriate marketing of breast-milk substitutes</li> <li>3. Carry out sensitization programmes to inform all pregnant women about the benefits and management of breastfeeding</li> <li>4. Provide mothers with training sessions on how to breastfeed, and how to maintain lactation even if separated from their children</li> <li>5. Collaborate with communities to set up breastfeeding support groups to assist mothers</li> <li>6. Implement an integrated communication and media strategy to reposition breastfeeding as a priority development issue</li> <li>7. Advocate for six-months mandatory paid maternity leave as well as encourage policies to allow women to breastfeed in the workplace</li> </ol>
Vitamin A deficiency (VAD)	Proportion of children 6-59 months with Vitamin A deficiency	<ol style="list-style-type: none"> <li>1. Promote the production and consumption of fibrous, dark green leafy vegetables or soft-fleshed yellow/orange vegetables and fruits</li> <li>2. Encourage and provide incentives to fortify food stuffs such as milk, margarine, oil and sugar</li> <li>3. Engage in universal national and sub-national level Vitamin A supplementation campaigns</li> <li>4. Undertake capacity building sessions to improve health workers ability to diagnose VAD in children</li> </ol>
Complementary feeding	Children 6-23 months with minimum acceptable diet	<ol style="list-style-type: none"> <li>1. Encourage timely, adequate, and safe provision of complementary foods that are varied and include items such as poultry, fish or eggs, as well as vitamin A-rich fruits and vegetables every day.</li> <li>2. Engage food processing companies to fortify complementary foods with vitamins and minerals</li> <li>3. Develop locally appropriate feeding recommendations and programmatic guidelines for the implementation of complementary feeding interventions at the community level</li> <li>4. Engage traditional authorities, community influencers and other stakeholders to eradicate social norms, practices and taboos that are a barrier to complementary feeding</li> </ol>
Diet Diversity	Household dietary diversity score	<ol style="list-style-type: none"> <li>1. Promote back-yard gardening, animal husbandry, and nutrition education for all households</li> </ol>

		<ol style="list-style-type: none"> <li>2. Provide social behavioural change communication to households on the social and economic benefits of diet diversity</li> <li>3. Promote the use of simple technology to increase shelf life of farm produce and reduce post-harvest losses</li> <li>4. Regularly update national food composition database taking into account regional and ethnic differences</li> </ol>
Low birth weight	Prevalence of infants weighing less than 2.5 kg at birth	<ol style="list-style-type: none"> <li>1. Support programmes for women's empowerment and educational attainment</li> <li>2. Initiate food-distribution systems for communities most at risk of food insecurity</li> <li>3. Support national salt iodization programmes to ensure salt consumed by households is adequately iodized</li> <li>4. Improve facility-based perinatal care in regions with low coverage</li> <li>5. Promote the cessation of smoking before, during and after pregnancy</li> <li>6. Discourage non-medically indicated caesarean delivery and induction</li> <li>7. Provide and encourage the consumption of balanced protein-energy supplementation</li> </ol>
Under 5 mortality rate	Deaths per 1000 births	<ol style="list-style-type: none"> <li>1. Promote vaccination</li> <li>2. Promote the availability and consumption of adequate nutrition and safe</li> <li>3. Promote exclusive breastfeeding</li> <li>4. Reduce household air pollution</li> </ol>
Social Protection	Population living under national poverty line and having access to social protection services	<ol style="list-style-type: none"> <li>1. Incorporate explicit nutrition objectives and indicators into social protection programmes</li> <li>2. Encourage the diversification of livelihoods to enable households to improve both their diets and socio-economic status, while reducing their vulnerability to shocks</li> <li>3. Integrate nutrition education and promotion into social protection interventions</li> <li>4. Promote local purchase of food produce to be used for food transfers in times of emergency, food rations for school going girls or as part of school feeding program</li> <li>5. Provide insurance for farmers</li> </ol>

## Annex 9: Water Resources Assessment Tool

A water resources assessment can be performed in a number of ways depending on what data is available. If there is reliable secondary data to consult, it can be performed as a literature study to save time and money. This should then be verified by consulting experts, to verify for example ranking of water resources.

A water resources assessment is built up by a number of sub-steps to achieve a substantial assessment of resources in the area, where step c is optional:

- a) **Collection of the water resources knowledge base** – to collect and store data on the hydrological cycle in the region as well as physical, socio-economic and demographic water use in a cross-sectoral perspective. This step should consider elements such as: human health ecosystem health, land use impacts, forest cover, sectoral water competition, vulnerability to floods and droughts, demand and willingness to pay
- b) **Water resources assessment** – traditionally to provide the basis of what infrastructure is required to meet the needs in the region. In an Integrated Water Resources Management (IWRM) they adapt a broader perspective and includes assessments of demand for water, environmental impact and strategic impact of water use, assessment of the social impact and an element of risk and vulnerability estimation
- c) **Modelling in IWRM** – using complementary tools such as modelling and decision support systems (DSS) allows users to integrate data in five phases; 1) issue identification, 2) definition of management options, 3) establishment of decision criteria, 4) data acquisition, 5) decision support process
- d) **Developing IWRM indicators for monitoring and evaluation** – indicators can provide useful information on how policies and programmes are applying and progressing in the area, and provide helpful information on how to reformulate them more efficiently. It also provides a possibility to assess how resource management is performing over time
- e) **Ecosystem assessment to minimize water use impacts on ecosystem functioning** – to identify the desired ecosystem state and environmental flows, set by e.g. international conventions or negotiated between water users. There are more than 200 methods for assessing environmental flows

## **Annex 10: Application of Sustainability tools I (Internal consistency/Compatibility matrix-explanatory notes)**

### **I. Introduction**

The prioritised issues in step 4.2.3. should be matched against one another to determine their consistency. The purpose of this exercise is to ensure that sector issues support each to ensure harmony in addressing them to achieve the sector objectives. This will require a matrix which:

- Lists a set of programmes of the sector from Steps 9 and 10 in the rows in the first column.
- These same programmes should be listed across the columns in the top row.
- The SMTDP Preparation Teams should examine the interactions of programme 1 identified in the first column with each of the remaining programmes numbered 2 upwards appearing across the top of the matrix.
- Where two programmes are mutually supportive, this should be recorded by marking an (X) in the relevant box.
- Where two programmes have the potential to conflict with each other this should be record by marking an (■) in the relevant box.
- If there is no significant interaction, this should be recorded by an (O).
- If the interaction is doubtful, it should be recorded as both (X) and (■)

A record sheet should be completed to describe the nature of any significant interactions. (It is not necessary to record reasons for no interactions). An example of a completed record sheet is attached.

The record sheet is helpful in communicating to people who have not been involved in the discussions the reasons why the interactions between particular programmes have been identified as having positive, negative or neutral impacts.

Record sheets can also be used for checking revisions and refinements of programmes on an on-going basis.



## Annex 11: The Exponential Method for population projection

The exponential formula is defined as:

$$P_t = P_o(e^{rt})$$

Where  $P_o$  = the current (base-year) population

$P_t$  = the future population

$r$  = the population growth rate

$t$  = the projection period in years

$e$  = base of the natural logarithm which is constant at 2.718282

### Example of Using the Exponential Method

Consider a district whose current (2012) population is 150,200 and growing at 3.2% per annum. If we assume that the growth rate will not change significantly for the next five years, then the population for 2017 can be projected using the above formula as follows:

$$P_o = 150,200$$

$$t = 5$$

$$r = 3.2\% = 0.032,$$

$$e = 2.718282$$

Applying the formula,  $P_t = P_o e^{rt}$

$$P_t = 150,200 e^{(0.032 \times 5)}$$

Therefore, the population of the district in year 2017 ( $P_t$ ) will be:

$$P_t = 150,200 (2.718282^{0.032 \times 5})$$

$$P_t = 176,261$$

### Calculating the Annual Growth Rate (GR)

The formula for calculating annual growth rate is given as:

$$GR = \left\{ \left( \frac{Fp}{Sp} \right)^{\frac{1}{y}} - 1 \right\} * 100$$

Where:

$Fp$  = final population

$Sp$  = starting population

$y$  = Number of years

According to the result of the 2000 national population census, the population of a certain district was 96,000. The 2016 census indicates that this had increased to 146,000. The population growth rate between 2000 and 2016 is calculated as follows:

$$\mathbf{GR} = \left\{ \left( \frac{146,000}{96,000} \right)^{\frac{1}{16}} - 1 \right\} * 100$$

$$\mathbf{GR} = \left\{ (1.5208)^{\frac{1}{16}} - 1 \right\} * 100$$

$$\mathbf{GR} = \{1.02655 - 1\} * 100$$

$$\mathbf{GR} = \{1.02655 - 1\} * 100$$

$$\mathbf{GR} = \{0.02655\} * 100$$

$$\mathbf{GR} = 2.65\%$$

Therefore, population growth rate between 2000 and 2016 is 2.65% per annum.

## Annex 12: Use of Sustainability Test

Another tool for refining the programmes is Sustainability Test. It is different from an impact assessment matrix in that it gives equal weight to social/cultural, economic and natural resource issues, which constitute the three components of sustainability. The tool has been designed to give a visual and quantitative measure of the extent to which a particular programme, is capable of providing sustainable growth and development. For each criterion and indicator, a scale of 0-5 with appropriate colour code are used to reflect the extent to which the programme will support, be neutral to, or would will work against the sustainability aim. The scale and colour code are as follows:

Scale:	0	1	2	3	4	5
Effects:	Not Relevant	Works <b>strongly against</b> the aim	Works <b>against</b> the aim	On balance has <b>neutral</b> effects on the aim	<b>Supports</b> the aim	<b>Strongly supports</b> the aim
Colour:	Black	Red	Red	Yellow	Green	Green

There are four basic steps to follow in using the Sustainability Test. These are:

- 1) Describe the classification: provide enough information to allow an informed judgement to be made about the likely effects of the programme on each of the Sustainability Criteria (for example: area affected, number of jobs created, value of future production etc.).
- 2) Assess the performance of the programme in relation to each criterion, and score that performance using a scale of '(0) 1 -5' or colours (like traffic light, giving visual impression)
- 3) Where the score for any criteria is 1 and 2, it is important to determine what actions will be needed to shift from 1 or 2 to 4 or 5, leading to refining the programme.
- 4) Summarise the findings in a report for decision-making.

A sample of Sustainability Test

Description of Activity: <b>Provision of market at Kotaa</b>		
CRITERIA – BASIC AIMS AND OBJECTIVES	INDICATORS	PERFORMANCE MEASURE
<b>EFFECTS ON NATURAL RESOURCES</b>		
<b>Protected Areas and Wildlife:</b> should be conserved, and these resources should be enhanced where practical.	Sensitive areas shown on maps	(0) 1 <b>2</b> 3 4 5
<b>Degraded Land:</b> Areas vulnerable to degradation should be avoided, and Already degraded land should be enhanced.	Vulnerable areas shown on maps	(0) 1 <b>2</b> 3 4 5
<b>Energy:</b> The Activity should encourage efficient energy use, and maximize use of renewable rather than fossil fuels.	Quantity and type of fuel/energy to be identified	(0) 1 <b>2</b> 3 4 5
<b>Pollution:</b> Discharges of pollutants and waste products to the atmosphere, water and land should be avoided or minimised.	Quantity /type of pollutants and waste to be identified	(0) 1 <b>2</b> 3 4 5
<b>Use of Raw Materials:</b> All raw materials should be used with maximum efficiency, and recycled where practical.	Quantity and type of materials	(0) 1 2 3 <b>4</b> 5
<b>Rivers and Water bodies:</b> should retain their natural character.	Minimum flows/ water levels to be set	(0) 1 2 <b>3</b> 4 5
<b>EFFECTS ON SOCIAL AND CULTURAL CONDITIONS</b>		
<b>Local Character:</b> and cohesion of local communities should be and enhanced where practical.	Opinions of local communities to be assessed	(0) 1 2 3 4 <b>5</b>
<b>Health and Well-being:</b> The Activity should benefit the work force, and local communities in terms of health and well-being, nutrition, shelter, education and cultural expression.	Number of People exposed to water borne disease, or lacking adequate food and shelter to be assessed	(0) 1 2 3 4 <b>5</b>
<b>Gender:</b> The Activity should empower women.	Number of women to be empowered	(0) 1 2 3 4 <b>5</b>
<b>Job Creation:</b> The activity should create jobs for local people particularly women and young people.	Number of people to be employed	(0) 1 2 3 4 <b>5</b>
<b>Participation:</b> Active participation and involvement of local communities should be encouraged (especially vulnerable and excluded sections).	Level of participation proposed	(0) 1 2 3 4 <b>5</b>
<b>Access to Land:</b> Activity should improve access to land.	Number of the poor to be assisted	(0) 1 <b>2</b> 3 4 5
<b>Access to Water:</b> Activity should improve access to water.	Number of the poor to be assisted	(0) 1 2 <b>3</b> 4 5
<b>Access to Transport:</b> Activity should improve access to transport.	Number of the poor to be assisted	(0) 1 2 3 <b>4</b> 5
<b>Sanitation:</b> Activity should improve sanitation.	Number of the poor to be assisted	(0) 1 <b>2</b> 3 4 5
<b>Equity:</b> Adverse and beneficial impacts from development should be distributed equitably and should not discriminate against any groups, especially vulnerable and excluded people.	Number of the poor to be to benefit on equitable terms	(0) 1 2 3 <b>4</b> 5
<b>Vulnerability and Risk:</b> of drought, bushfire, fires, floods crises and conflicts and epidemics should be reduced.	Occurrence to be noted and monitored	(0) <b>1</b> 2 3 4 5
<b>EFFECTS ON THE ECONOMY</b>		
<b>Growth:</b> The PPP should result in development that encourages strong and stable conditions of economic growth.	Economic Output to be evaluated	(0) 1 2 3 4 <b>5</b>
<b>Use of local materials and services:</b> The PPP should result in the use of raw materials and services from local industries where possible.	Description of sources	(0) 1 2 3 <b>4</b> 5
<b>Local Investment of Capital:</b> Development should encourage the local retention of capital and the development of downstream industries, utilising local raw materials, products and labour.	Description of investment strategy	(0) 1 2 3 4 <b>5</b>

**Annex 13: Programmes and Sub-Programmes of MDAs**

**MDA's adopted goal:**

<b>ADOPTED OBJECTIVES</b>	<b>ADOPTED STRATEGIES</b>	<b>PROGRAMMES</b>	<b>SUB-PROGRAMMES</b>
		PROGRAMME 1	
		PROGRAMME 2	
		PROGRAMME 3	

**Annex 14: MDA Programme of Action (PoA)**

<b>Thematic area</b>														
<b>Adopted MDAs Goal(s):</b>														
<b>Adopted objectives</b>	<b>Adopted strategies</b>	<b>Programmes</b>	<b>Sub-programmes</b>	<b>Projects/activities</b>	<b>Outcome/impact indicators</b>	<b>Time frame</b>				<b>Indicative Budget</b>			<b>Implementing Agencies</b>	
						<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>GoG</b>	<b>IGF</b>	<b>Donor</b>	<b>Lead</b>	<b>Collaborating</b>

**Annex 15: Template for Indicative Financial Strategy**

Programme	Total Cost 2018-2021	Expected Revenue						Summary of resource mobilisation strategy	Alternative course of action
		GOG	IGF	Donor	Others	Total revenue	Gap		

**Annex 16 Annual Action Plan of MDAs**

<b>Adopted MDAs Goal(s):</b>													
MDA Programmes and Sub-programmes	Activities (Operations)	Location	Baseline	Output Indicators	Quarterly Time schedule				Indicative Budget			Implementing Agencies	
					1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	GoG	IGF	Donor	Lead	Collaborating

## **Annex 17: General Evaluation Norms and Standards**

### **1. General Evaluation Norms**

Evaluation should be guided by specific norms to ensure that it meets the minimum quality standards. The following are the general norms:

#### **i. Internationally agreed principles, goals and targets**

It is the responsibility of evaluation managers and evaluators to uphold and promote in their evaluation practice internationally agreed principles, goals and targets, for example, the SDGs.

#### **ii. Utility**

In commissioning and conducting an evaluation there should be a clear intention to use the resulting analysis, conclusions or recommendations to inform decisions and actions.

#### **iii. Credibility**

Evaluations must be credible. Credibility is grounded on independence, impartiality and a rigorous methodology. Key elements of credibility include transparent evaluation processes, inclusive approaches involving relevant stakeholders and robust quality assurance systems.

#### **iv. Independence**

Independence of evaluation is necessary for credibility and also influences the ways in which an evaluation is used and allows evaluators to be impartial and free from undue pressure throughout the evaluation process.

#### **v. Impartiality**

The key elements of impartiality are objectivity, professional integrity and absence of bias. The requirement for impartiality exists at all stages of the evaluation process.

#### **vi. Ethics**

Evaluation must be conducted with the highest standards of integrity and respect for the beliefs, manners and customs of the social and cultural environment for human rights and gender equality.

#### **vii. Transparency**

Transparency is an essential element of evaluation because it establishes trust and builds confidence, enhances stakeholder ownership and increases public acceptability. Evaluation products should be publicly accessible.

**viii. Human Rights and Gender Equality**

The universally recognised values and principles of human rights and gender equality need to be integrated into all stages of an evaluation. It is the responsibility of evaluators and evaluation managers to ensure that these values are respected, addressed and promoted.

**ix. Professionalism**

Evaluations should be conducted with professionalism and integrity. Professionalism should contribute towards the credibility of evaluators as well as the evaluation function. Key aspects include adherence to ethics.

**2. Standards for Evaluation**

In conducting evaluations, evaluation managers and evaluators should abide by the standards outlined below:

**i. Institutional Framework**

An institutional framework should be in place to guide the conduct of evaluations.

**ii. Management of the Evaluation Function**

The evaluation manager and the evaluator should adhere strictly to all the process entailed in the conduct of evaluation to ensure that the evaluation results are credible.

**iii. Evaluation Competencies**

In carrying out an evaluation, the evaluator should have the competencies required for the specific evaluation assignment.

**iv. Conduct of Evaluation**

The MDA should be guided by the evaluation steps in the M&E Manual.

**v. Quality of Evaluation**

The MDA should have a quality control system in place to make the results of evaluation acceptable to all stakeholders.

## GLOSSARY

<b>A baseline situation/condition</b>	A situation at a certain moment that can be used as a reference point to establish trends (e.g. as a result of policy, programme and project interventions).
<b>Environment</b>	The physical environment, or the ecological system, including the totality of environmental functions (not only natural resources) for human society (which are generally being influenced by human activities). In the context of preparation of the SMTDP, environment includes the interaction of natural resources, economic, socio-cultural, institutional concerns for sustainable development.
<b>Environmental assessment</b>	A systematic process of evaluating and documenting information on the potential, capacities and functions of natural systems and resources in order to facilitate sustainable development planning and decision making in general, and to anticipate and manage the adverse effects and consequences of proposed undertakings in particular (Sadler, 1996).
<b>Environmental Impact Assessment (EIA)</b>	A process of identifying, predicting, evaluating and mitigating the biophysical, social and other relevant effects of proposed projects and physical activities prior to major decisions and commitments being made.
<b>Environmental sustainability</b>	The management and protection of the ecological system in such a condition and to such a degree that environmental functions (the ability to provide goods and services) are maintained over time, at levels sufficient to avoid and reduce risks of future catastrophes, and which give future generations the opportunity to enjoy an equal measure of utilisation of environmental functions.
<b>Impact</b>	This is the result of the outputs.
<b>Issue</b>	The development problem, challenge, constraint or concern of the sector
<b>Outputs</b>	<p>These are goods and services to be produced in a given period in order to achieve stated objectives. They establish the activities that should be carried out and completed and should therefore set out:</p> <ul style="list-style-type: none"><li>• What is to be accomplished?</li><li>• How much is to be accomplished?</li><li>• By whom?</li><li>• When should the activities be accomplished?</li></ul> <p>In other words, the outputs should be specific, measurable, achievable, realisable, and time bound.</p>
<b>Policy</b>	A general course of action or proposed overall direction that a government or other institution is, or would be, pursuing and which guides ongoing decision making.
<b>Programme</b>	A coherent, organised policy framework or schedule of commitments, proposals, instruments and/or activities that elaborates and implements policy, eventually comprising several projects.

<b>Project</b>	A proposed capital undertaking, typically involving the planning, design and implementation of specified activities.
<b>Stakeholder</b>	A functional category of actors with a direct dependency on certain environmental resources, in terms of their use and management for specific goals. In many cases the stakeholder is also the ‘primary actor’.
<b>Strategic Environmental Assessment</b>	A systematic process for evaluating the environmental consequences of proposed policy, plan or programme initiatives to ensure they are properly included and appropriately addressed at the earliest possible stage of decision making, on a par with economic and social considerations (Sadler & Vermeer, 1996).
<b>Strategic planning</b>	A process that aims to provide insights that allow decisions to be taken on what needs to be done in the future and to formulate realistic objectives for the organisation involved.
<b>Sustainable development</b>	A process of change in which the exploitation of resources, the direction of investments, and the orientation of technological development and institutional changes are in harmony, and enhance both current and future potential to meet human needs and aspirations.
<b>Sustainable development (SD) dimensions</b>	The ecological, social, economic (and institutional) issues involved in defining sustainable development.
<b>Threshold</b>	The point at which the use of an environmental function exceeds sustainability criteria (i.e. exceeds its capacity to regenerate, reproduce or function properly), gradually or suddenly leading to its collapse.

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