UNIVERSITY OF CAPE COAST

ASSESSING EFFECTIVENESS OF CAPACITY BUILDING ACTIVITIES IN

DECENTRALISED LOCAL GOVERNMENT INSTITUTIONS IN THE

CENTRAL REGION OF GHANA

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DECENTRALISED LOCAL GOVERNMENT INSTITUTIONS IN THE

CENTRAL REGION OF GHANA

BY

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Development Studies, College of Humanities and Legal Studies, University of

Cape Coast, in partial fulfillment of the requirements for the award of Doctor of

Philosophy degree in Development Studies.

MAY, 2019

DECLARATION

Candidate's Declaration

I hereby declare that this thesis is the result of my own original research and that no part of it has been presented for another degree in this university or elsewhere.

Candidate's signature …………………………………..Date………………

Name: ……………………………………………………………………………

Supervisors' Declaration

We hereby declare that the preparation and presentation of the thesis were supervised in accordance with the guidelines on supervision of thesis laid down by the University of Cape Coast.

Principal Supervisor's Signature………………………… Date………………...

Name: ………………………………………………………………………

Co-Supervisor's Signature ……………………………. Date…………………

Name: ……………………………………………………………………………

ABSTRACT

The study set out to assess the effectiveness of capacity building (CB) activities in three selected decentralised local government institutions in the Central Region of Ghana. In terms of methods, the descriptive survey design and mixed method approaches were employed. Multi-stage sampling procedures were used to select a sample of 417 respondents. Purposive sampling was used to select national and regional Directors, and Cape Coast Metropolitan Assembly. Simple random sampling technique was used to select the Komenda-Edina-Eguafo-Abrem (KEEA) Municipal Assembly and the Abura-Asebu-Kwamankese District Assembly. Questionnaires, interview schedules, and interview guides were used to collect data. Documentary reviews, descriptive and inferential statistics were used to analyse the data. The study found that although a lot of CB efforts have been made in the three study areas, they all focused mainly on training but not on other physical resources such as tools. The CB approach did not involve actors in needs assessment, design of programmes, as well as dearth of monitoring and evaluation of CB programmes. However, the approach influenced commitment, enthusiasm, empowerment, and learning, among others. There were statistically significant association between the comprehensiveness of CB activities and empowerment in the study MMDAs. The study recommends that officials of Local Government Service as well as leaders of the MMDAs should develop a CB framework to guide the approach. Leaders of the MMDAs should involve actors in the CB process to elicit ownership, empowerment, and learning.

KEY WORDS

Central Region of Ghana

Decentralisation

Decentralised local government institution

Institutional capacity

Capacity building

Supply-driven approach

Demand-driven approach

Systems approach

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DEDICATION

To Sir Prof. Anthony Annan-Prah, my husband; my children, Charlotte, Eunice,

Gifty, Anastacia, Joseph and Sarah; my grandchildren, and well-wishers.

TABLE OF CONTENTS

CHAPTER THREE: THEORETICAL REVIEW

CHAPTER FOUR: CONCEPTUALISING INSTITUTIONAL

CAPACITY AND CAPACITY BUILDING

LIST OF TABLES

LIST OF FIGURES

LIST OF ABBREVIATIONS

AAKDA	Abura-Asebu-Kwamankese District Assembly
ADDIE	Analysis, Design, Develop, Implement and Evaluate
ADImE	Assessment, Design, Implement and monitor and Design
ANOVA	Analysis of Variance
CB	Capacity Building
CCD	Centre for Democratic Development
CCMA	Cape Coast Metropolitan Assembly
CD	Career Development
CG	Central Government
CLTS	Community Led Total Sanitation
CoP	Community of Practice
CORD	Christian Outreach Relief and Development
CR	Central Region
CWSA	Community Water and Sanitation Agency
DA	Dynamic Assessment
DAC	Development Assistant Committee
DACF	District Assembly's Common Fund

DAs	District Assemblies
DC	District Council
DDF	District Development Facility
DFID	Department for International Development
DPCU	District Planning Coordinating Unit
EC	European Commission
FOAT	Functional Organisational Assessment Tool
GA	General Assembly
GSOP	Ghana Social Opportunities Project
HCDT	Human Capital Development Theory
HR	Human Resource
ICT	Information and Communication Technology
ID	Instructional Design
IGFs	Internally Generated Funds
ILO	International Labour Relations
IPAL	Impact Planning Assessment and Learning
ISD	Instructional Systems Design
JICA	Japan International Cooperation Agency

KEEAMA	Komenda-Edina-Eguafo-Abrem Municipal Assembly
LG	Local Governments
LGCSP	Local Government Capacity Support Project
LGS	Local Government Service
M/DCD	Municipal or District Coordinating Director
M/DCEs	Municipal or District Chief Executives
M/DPO	Municipal or District Planning Officer
MLGRD	Ministry of Local Government and Rural Development
MMDAs	Metropolitan, Municipal and District Assemblies
MOU	Memorandum of Understanding
NALAG	National Association of Local Government Administrators
NDPC	National Development Planning Commission
NRCD	National Redemption Council Decree
ODA	Official Development Assistance
OECD	Organisation for Economic Cooperation and Development
OTF	Ontario Trillium Foundation
PBGS	Performance-Based Grant System
PMS	Performance Management System

PNDCL	Provisional National Defence Council Law
QAS	Quality Assurance System
RBM	Results-Based Management
RCC	Regional Coordinating Council
RPCU	Regional Planning and Coordinating Unit
SMDCs	Sub-Metropolitan District Councils
SME's	Subject Matter Experts
SNGs	Sub-national Governments
TCs	Town Councils
UCLG	United Cities and Local Governments
UDG	Urban Development Grant
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNICEF	United Nations International Children's Emergency Fund
UNJIU	United Nations Joint Inspection Unit
UTACs	Urban/Town/Area Councils
UWCA	United Way of Calgary Area

ZCs   Zonal Councils

ZPD   Zone of Proximal Development

CHAPTER ONE

INTRODUCTION

Local government institutions have found that strengthening organisational capacity for designing policies and programme interventions is fundamental to achieving development goals. Capacity building (CB) is seen as one of the tools to improve the ability of people, organisations and society as a whole to manage their affairs successfully. It is, therefore, imperative for local government institutions to devise CB approaches to overcome challenges and build capacities to adhere to their mission statements and deliver their services in a sustained manner. Assessing CB activities in local government institutions to improve the overall scope of local level development is the motivation for this study. This chapter discusses the background to the study, statement of the problem, research objectives, significance of the study, limitations, as well as the organisation of the study.

Background to the Study

Decentralisation has become an essential component of democratic reforms in many developing countries (Akudugu, 2013). It has shaped the contours of development thinking, both in the developed and the developing countries (Antwi, 2005; Aryeetey, 1989). Crawford (2004) echoes that decentralisation has become an increasingly widespread and significant dimension of political and administrative reform in many developed and developing countries since the late 1980s; supported by a variety of actors ranging from international development

1

agencies to national governments to non-governmental and grassroots organisations.

The pervasive implementation of decentralisation is argued by Musgrave (1973), Oates (1972), and Phillip (1996) that a unitary central government (CG) tends to provide uniform public services nationwide, contrary to subnational governments who are believed to respond better to public preferences. It describes the extent to which the political, administrative and fiscal powers of a CG have been distributed amongst territorially defined sub-national governments (SNGs) (Crook, 1994). The political powers relate to the transfer of authority and financial means from CG to local governments (LGs); while the administrative component deals with the transfer of functional responsibilities; with the fiscal component addressing the financial relationship between all levels of government (Feruglio, 2007). The devolution of power, authority, and financial resources to SNGs has been promoted as part of efforts to overcome the inefficiencies associated with the centralised system of governance (Organisation for Economic Cooperation and Development [OECD], 2001).

In sub-Saharan Africa, South Asia and the Pacific, political and administrative decentralisation of both governmental and developmental structures became a dominant feature of reform policies since the mid-1980s (Crook, 1994; Olowu & Smoke, 1992). According to Crook, it was argued by those who attacked dominant development paradigms on equity grounds that by creating more accountable and transparent institutions at the local level, decentralisation would respond to demands for more participatory development strategies, and would be more likely to produce policies

attuned to the needs of rural populations and the disadvantaged. Decentralisation was thus linked to democratisation.

Decentralisation is premised on the conviction that there will be a correlation between governance and citizens' wellbeing only if there is a transfer of functions and powers, skills, competencies, means and resources to the lowest levels of governance (Shah, 2006). Aside governance, decentralisation and the resultant LG has a developmental role such as poverty reduction, and quality public service delivery (Olowu & Smoke, 1992; Muriisa, 2008; Savitry, 2013); and has been linked to such benefits as equity, effectiveness, efficiency, responsiveness, and accountability (Tiebout, 1956; Oates 1972; Musgrave 1973). The discourse means for decentralisation to yield the desired benefits requires that LG institutions have the appropriate manpower, logistics and capacity to facilitate the performance of their devolved functions, and wherever that capacity is inadequate, it has to be built.

Capacity building has been seen as a key ingredient for achieving development objectives (UNDP, 2009). Capacity building has been taken to mean activities that are designed to enhance the capabilities of individuals, organisations, and societies, and help to determine the efficient utilization and allocation of human resources among competing demands for handling development issues (Japan International Cooperation Agency [JICA], 2008); improve the performance of an organisation by strengthening its leadership, management, and/or administrative capabilities (Langaas, Odeck & Bjørvig, 2009; Light & Hubbard, 2002; Vincent & Stephen, 2015).

Capacity building rests on the principle that investing in human and social capital of marginalised individuals and groups enables them to develop the capacities needed to thrive and play autonomous roles in developing and renewing their communities. Rastogi (2002) conceptualises human capital as knowledge, competency, attitude and behaviour embedded in an individual; or a combination of factors such as education, experience, training, intelligence, energy, work habits, trustworthiness, and initiative that affect the value of a worker's marginal product (Frank & Bemanke, 2007). Hence, Sen (1999), in the human capital development theory, argues that higher levels of missing capacity in a society are associated with greater levels of poverty. The same argument could be applied at the institutional level, emphasizing that deprivation of capabilities within institutions will inhibit the institutions from functioning effectively.

Capacity building began to appear in the development literature in the 1950s, however, scholarly writings on approaches aimed at increasing the capabilities of people and institutions reveal changing considerations dictated by the political ideologies of governments and international donors. Past research outcomes suggest that, between the 1950s and late 1990s, CB interventions such as the nation building (Fukuyama, 2004); institutional development (Langaas & Odeck, 2007); institutional restructuring (Varma & Winslow, 2005); and policy and civil society reforms (Imbaruddin, 2003; Babu & Sengupta, 2006) were characterised by top-down or supply-driven approaches (OECD, 2005; UNDP, 2009).

Chapagain (2004), McCaskey (2008) and Skinner (1997) contend that the top-down or supply-driven approach was conceptualised with problem-solving focus, which sought for causes already identified as 'wrong', found experts to analyse problems through needs assessment, and presented interventions that will fix the problem. Additionally, the approach involved the provision of financial and/or other resources to organisations from external resources on the condition that they will produce future benefits in addition to immediate ones (Hugo, 1996). The aim of such conditions was to 'increase the self-sustaining ability of people to recognise, analyse and solve their problems by effectively controlling and using their own and external resources' rather than enable the external provider to control the projects it has resourced.

However, International agencies such as OECD/Development Assistance Cooperation (OECD/DAC, 2006), United Nations Development Programme (UNDP, 2008) and Official Development Assistance (ODA, 2009) among other researchers have reported that, the benefits of the approach were short-lived, and failed to help developing countries create their own sustainable capacities. The approach prevented genuine comprehensive training, resulted in poor outcomes and very low returns in many countries (Babu & Sengupta, 2006; Langaas & Odeck, 2007; Slater & Tacchi 2004; Sumberg 2005); and left organisations with little in the way of transferable lessons (Beazley, Griggs & Smith, 2004).

It could be argued that the supply-driven approach corroborates the tenets of closed systems that are isolated off from the outside environment, and all interaction and knowledge is transmitted only within the closed system

(Bertalanffy, 1950). Approached this way, organisations or donors act as experts and maintain the belief that individuals need help because they have problems (Kral, 1989), thereby losing the systems perspective. Building capacities of organisation through the problem-solving or closed system approach can hamper growth since the flow of information stays within the system and has no chance to interact with, or build on knowledge from the outer environment. Rist (1995) has argued that building and sustaining capacity requires organisational as well as the expertise of individuals.

The challenges of the supply-driven approaches led to the demand-driven or bottom-up approach where organisations initiate their CB programmes internally to solve its peculiar performance challenges with no or modest assistance from external parties (Mahama, 2014). The demand-driven approach is a paradigm shift that conforms to the ideological thoughts of strength-based model (Chapagain, 2004; UNDP, 2008; Department for International Development [DFID], 2009). The strength-based model (1) emphasises needs to assets assessment, (2) participation to ensure ownership of CB programmes, (3) responsive intervention in CB, and (4) sustainability (Schneider, 1999; Baser, 2007; Kühl, 2009; Tadele & Manyena, 2009; Freeman, 2010). In support, Zimmerman and Zimmerman (2017) add trust, meaningfulness, and relationships, empowerment, collaboration, motivation and sustainable change through learning and experiential growth". Underpinning the demand-driven approach is the premise that developing a core of well-trained individuals decreases reliance on external consultants and increases local capacity to sustain efforts when funding ceases (Herman & Bentley, 1992).

Although, the bottom-up approach is a move away from the donor-led knowledge transfer approach into one of development cooperation, focusing on ownership and strengthening capacities (DFID, 2009; Kǔhl, 2009), varied critics by researchers such as Langaas et al (2009), Ohemeng (2012), Senge (1990; 2004) and Walley (2013) point out that a problem with this approach was its one-size-fits-all nature. Consequently, Langaas et al. (2009) contend that effective CB efforts need to be considered from a systems perspective. Antwi (2005) and Jackson (2008) note that a system is a set of related components that work together in a particular environment to perform whatever functions are required to achieve the system's objective.

Organisations are open systems with sub-systems that are interrelated, interconnected and interdependent, for which all subsystems must 'feed' information to each other to achieve optimal capacity (Antwi & Analoui, 2008; Fowler, Kling & Larson, 2007). The authors recognise the dynamics and connections among various actors and issues at different levels as part of a broader unit rather than as loosely connected factors. Hence, Langaas et al (2009) argued that institutional capacity has to do with a proper balance between both tangibles (physical assets such as infrastructure, machinery, resources) and intangibles (such as social skills, experience, values, motivation, institutional culture).

The discourse means that for institutional development to occur, it is important to identify the components of capacities in order to build and create, change, enforce, and learn from the processes and rules (Rugumamu, 2011). Connolly and York (2003) proposes four key areas with specific sub-components.

These are leadership, human resource, financial resource, technical, and adaptive capacities. Otibine (2016) further proposes physical resources such as tools, and infrastructure, among others. The UNDP (2009) submits that institutional CB should take into consideration the human, physical, knowledge resources that focus on the structures, management systems, as well as processes and procedures employed to transform these resources into services or products.

The optimal capacity and capacity threshold, as well as the capacity sequencing theories have been used to explain the processes and procedures by which CB could be conducted holistically for organisational effectiveness. This include the assessment of existing capacities to ascertain the gap between the level of capacity, or the zone of proximal development (ZPD) inform the appropriate point of entry where capacity should be built; ascertaining the threshold needed to achieve optimal performance; and sequencing CB programmes to avoid duplication efforts and waste of resources (Babu & Sengupta, 2006; Chaiklin, 2003). As espoused by the dynamic capabilities theorists, a wide range of processes, resources and capabilities exists within a business company (Anderson & Markides, 2006).

Participation is key to the success in the CB process (Chapagain, 2004; European Commission [EC] 2009); UNDP, 2011). Participatory approaches such as appreciative inquiry (AI) will help beneficiaries of CB to discover, dream, dialogue, design and deliver programmes that focus on the adequacy in the process of achieving optimal capacity development (Eisenhardt & Martin, 2000). It is also essential for the development of SNGs in the decentralisation process (Smoke &

8

Olowu, 2006). As Langaas et al (2009), Hossain (2017), and Otibine (2016) assert, CB strategies devoid of participation leave institutions with no learning lessons.

As opined by knowledge-based theorists, individuals learn through the act of 'doing' (i.e., participation) to gain experience that help them develop overtime (Kolb (as cited in Senge, 2004); Leavitt, 2011; Senge, 1990; 2004). Participative approaches empower beneficiaries and lead to ownership, commitment, enthusiasm, motivation, learning, and eventually, organisational development (Suarez-Balcazar, Balcazar, Taylor-Ritzler & Iriarte, 2008).

Questions of survivability and sustainability have also become increasingly important, as CB efforts have failed when external support has been withdrawn. Factors such as leadership and local ownership must be taken into account (Blagescu & Young, 2006). The process must be owned locally; costs and benefits must be acceptable to those who control the local process, and there must be agreement that the effort is both desirable and feasible (Blagescu & Young, 2006). These principles highlight the importance of a systems perspective, long-term support based on strategic partnership, effective coherence and coordination between the actors offering CB and those whose capacity is being enhanced. The question of roles and how they are negotiated is centrally important.

Desai, Fukuda-Parr, Johansson and Sagasti (2002) note that there is evidence on the relationship between improved capacity and economic development. Their research revealed that countries that have improved their capacity to solve problems had higher levels of income and better capacity to govern themselves. Similarly, Babu and Sengupta (2004) present analytical results

that per capita income levels are higher among countries that have invested in educating their population. In support, Vincent and Stephen (2015) report that organisations that strengthen the knowledge, abilities, skills and behaviours of individuals and improve structures and processes efficiently meet their mission, create empowerment and achieve goals in sustainable ways.

In Ghana, decentralisation reforms was introduced in the early period of 1981 (Aryee (1999; 2000), which led to the promulgation of the Local Government Law, 1988 (PNDCL 207) to promote decentralisation and effective government system for the country. Major features of the policy included the shift from command approaches to consultative processes and the devolution of power, competence and resources to the district level to make local government a more effective tool for local development (Ahwoi, 2010).

Crook (1994) and the Ministry of Local Government and Rural Development (MLGRD, 2010) report that the decentralisation policy of Ghana created LG institutions referred to as metropolitan, municipal, and district assemblies (MMDAs) in 1989 as initiators and implementers of development within their jurisdictions. MMDAs have the highest political authority in the district with deliberative, legislative and executive powers to plan, control, organise and direct development activities in their jurisdiction (Local Governance Act 2016, Act 936).

Based on these roles, the 1992 Constitution of the Republic of Ghana, under the directive principles of State policy established the District Assembly's Common Fund (DACF) as a resource package for implementing development activities in

10

the districts. In 2006, a performance-based-grant system (PBGS), comprising a District Development Facility (DDF), a tailor-made CB grant, and a performance assessment system (referred to as Functional Organisational Assessment Tool (FOAT) was instituted (MLGRD, 2012). Key indicators of the FOAT centre on five thematic areas namely, management and organisation, human resources development, planning and budgeting, financial management and administration, and accounting and auditing to measure general, institutional and functional performance annually (DDF Secretariat, 2014).

From 2006, the MLGRD have been using the FOAT indicators to assess all MMDAs in the country. Under the FOAT administration, good performing MMDAs are rewarded with additional financial resources, while weak performance is responded to by the tailor-made CB support. From FOAT I to FOAT V, results from all regions, and especially central, suggested that MMDAs lacked capacity to achieve their development mandate. Hence, results of FOAT VI and VII showed that almost all MMDAs were passing, with MMDAs in the CR scoring as high as 98 percent as shown in Figure 1 (DDF Secretariat, 2014). In 2011, the MLGRD, supported by the World Bank introduced the Urban Development Grant (UDG) as part of MLGRD's overall LG Capacity Support Project (LGCSP). Other grants-in-aid and certain taxable elements are also ceded to the MMDAs to provide development interventions (DDF Secretariat, 2014). On human resource capacity, Metropolitan Assemblies are to have 16 departments, 13 in the Municipal, and 11 in the District Assemblies (Local Governance Act 2016, Act 936).

Thus, MMDAs are the main channels through which successive governments pursue their development agenda, such as the Ghana Shared Growth and Development Agenda (Ghana Shared Growth and Development agenda (GSGDAII, 2014 – 2017) and the Coordinated Programme of Economic and Social Policies (2014 – 2020), the Millennium Development Goals (MDGs), and currently, the 2030 Sustainable Development Goals. However, Babu and Sengupta (2006) report that the development challenge is to translate global development goals and policy declarations into policy and programme initiatives that identify appropriate actions and investment of resources. In this respect, Quartey, Ackah, Dufe and Agyare-Boakye (2010) added that transforming such actions and investments into impact on the ground will require appropriate human and institutional capacity at various stages from development goals to their outcomes.

This has been reiterated in a recent lecture delivered by the Vice-President of Ghana, His Excellency, Dr. Mahamudu Bawumia on 4th October, 2017 at the University of Cape Coast on the theme: "Developing Stronger Economies for the African Continent: The Missing Link", he emphasised that "strong economies are built not only on the back of sound economic governance, but on strong and steadily expanding productive capacity of nations". Hence, the increased recognition that without adequate local capacity, decentralisation goals will not be fully achieved.

Based on these visions, a lot of CB efforts have been made at the national, regional and local levels (See Final Report, Ghana Decentralisation Policy Review (2007:112 – 117). Others are the Technical Assistance for Capacity Building Support to the Ghana Social Opportunities Project (GSOP) (MLGRD, 2010).

According to a report from Citifmonline (retrieved on 26/09/17), the government allocated an amount of GH¢317 million (GH¢317,109,617) on CB between 2011 and 2016. These institutional arrangements indicate the commitments by successive governments to empower MMDAs to achieve their functional mandate.

The Central Region (CR) is one of Ghana's ten regions and has 20 MMDAs, including the Komenda-Edina-Eguafo-Abrem (KEEA) Municipal Assembly, Abura-Asebu-Kwamankese (AAK) District Assembly, with Cape Coast as its Metropolitan Assembly. Over the years, a lot of CB projects such as the piloting of Community-Led Total Sanitation (CLTS) project since 2006 by the Community Water and Sanitation Agency (CWSA), WaterAid and Plan International in 237 communities; the Plan International Ghana in 2007 in Mankessim, Asesewa and Bawjiase have been conducted (See Plan International USA and University of North Carolina at Chapel Hill, 2015) in the region.
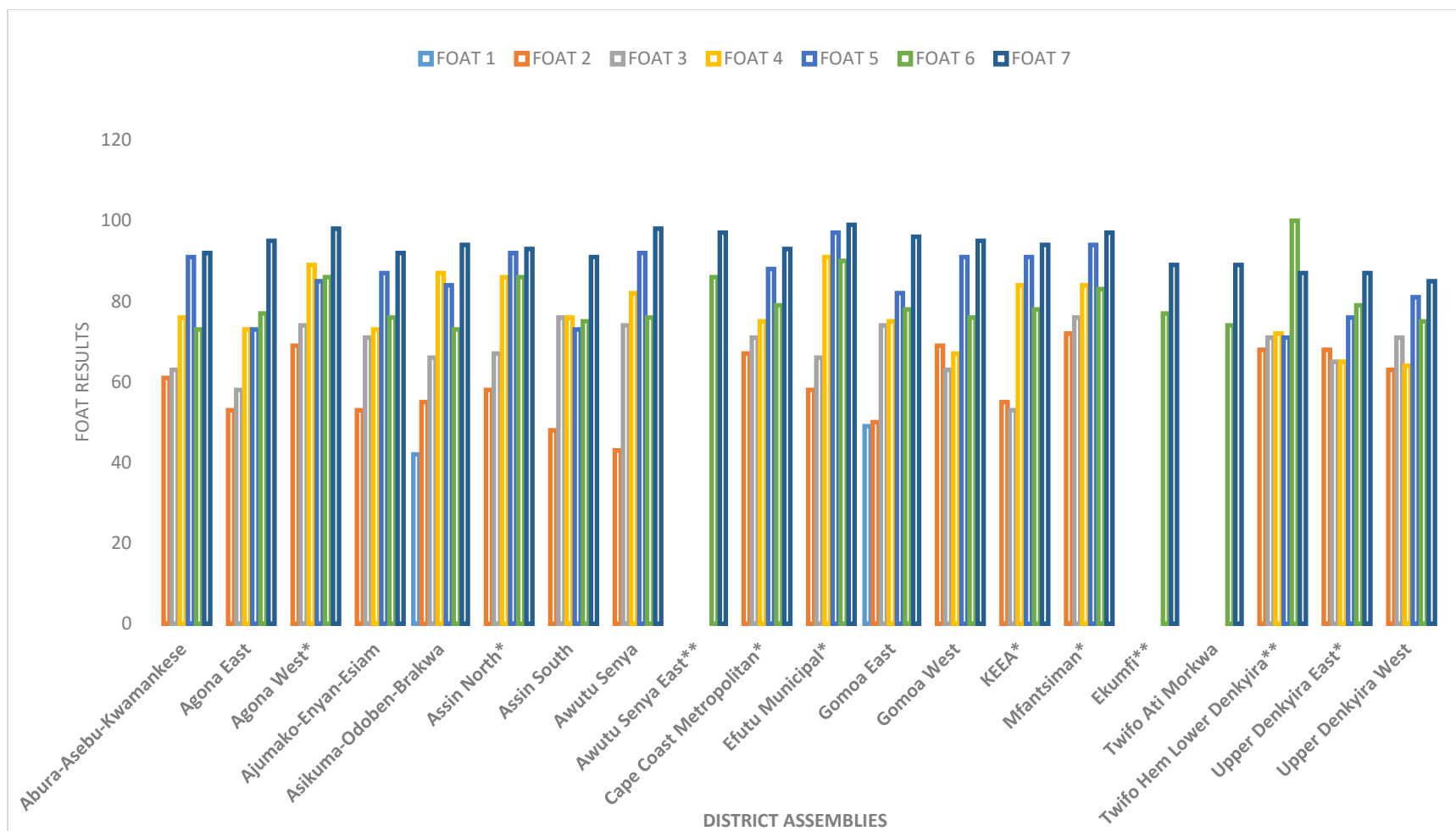
Figure 1: FOAT I to FOAT VII Results from 2008 to 2014

Source: Adapted from the DDF Secretariat Consolidated Report (2014)

14

Similarly, a number of training on general and specific indicators of the FOAT have also been conducted by the Local Government Service (LGS) across MMDAs in the country (LGS, 2014). Examples are training on Public Financial Management Act (921), governance, administration, Anti-Child labour and trafficking techniques, sanitation, revenue collection mechanisms, Local Governance Act 2016 (Act 936), Procurement Act, among others (LGS, 2017). However, in spite of its historical potential in decentralisation in Ghana, and the only region with a functional development commission, that is the Central Region Development Commission (CEDECOM), (Central Region Coordinating Council (RCC, 2009), it is still grappling with CB and local level development issues (MLGRD, UNICEF Ghana, & Center for Democratic Development (CDD) Ghana, 2016). The importance of CB in enhancing capacities of officials for governance and overcoming local level development challenges, therefore becomes crucial. This is the major focus of this study. Policy direction will, however, need to be informed by empirical studies, a gap which this study seeks to fill.

Statement of the Problem

Despite the efforts of successive governments to improve the capacities of MMDAs for the achievement of local level development, there are gaps between expectation and reality as far as LG development is concerned. A review of public financial management (PFM) projects by Quality Assurance Group in 2008 concluded that there was little evidence of better outturns (Akudugu, 2013). A stocktaking done by Agulhas Development Consultants Ltd in 2009 on UK funded

public sector projects undertaken for UK Department for International Development (DfID) showed unfavourable results (DfID, 2010). Foster (2010) reviewed projects funded by Australia and also found disappointing results. The Global Expert Team (2010) reviewed public sector reforms in Ghana from 1983 and reported that public sector performance has consistently been disappointing (Government of Ghana, [GoG] 2010). Furthermore, Auditor General's report from 2005 to 2011 in the local governments in Ghana revealed that MMDAs across the country misappropriated a total of GH¢43,975,431. All these monies were from Multi-Donor Budget Support (MDBS) programme aimed at providing the government with adequate resources to enable it to finance its developmental projects (GoG, 2010; Betley and Burton, 2011).

Numerous explanatory factors leveled against Ghana's inability to realise the optimum gains envisaged under local governance system include government interference in the affairs of LG bodies, inadequate human and financial resources, inadequate human and institutional capacity, overstretched infrastructure and generally weak governance systems (MLGRD, 2009). Others are lack of specific requirements for involvement of civil society organisations, apathy, lack of continuity in change, corruption and other ethical misconduct (Asibuo, 2006; Tettey, 2006; Ahwoi, 2010; Birtley, Bird, & Ghartey, 2012). This is affirmed by scholars on Ghana's LG trajectories, that although the nation has made some gains in the implementation of its LG initiatives, the balance sheet is not encouraging (Tettey, 2006; Awortwi, 2011; Zakaria, 2013). These studies imply lack of capacity in decentralised local governments.

The United Nations International Children's Emergency Fund Ghana and the Ghana Centre for Democratic Development (CDD, Ghana) in collaboration with the MLGRD have instituted a District League Table (DLT) aiming at supporting Central and Local Government to better understand progress in development across the country, among other objectives. The DLT shows important differences in development levels between regions and districts, and between districts in the same region. Indicators for assessment include education, sanitation, rural water, health, security, and governance (which are similar to the FOAT indicators) (UNICEF, 2016:2).

In 2014, CR was the 8th out of the 10 regions; with a score of 55 percent (UNICEF, 2014). In 2015, C/R was in the 7th position with 53 percent, which was below the national average score of 58 percent (UNICEF, 2015). Similarly, in 2016, the region was the 7th with 59 percent (UNICEF, 2016). Specific district results also show weaknesses in the study areas. Apart from KEEA, which placed 118th position in 2014, 98th in 2015 and 72nd in 2016, CCMA and AAKDA continue to struggle. While CCMA placed 116th position out of 216 districts in 2014, it declined to 172nd and 153rd positions in 2015 and 2016 respectively. AAKDA placed 173rd in 2014, 184th in 2015, and 168th in 2016.

From the FOAT results, one may assume that MMDAs have improved on their functional mandate based on the numerous CB programmes, which in turn may translate into local level development. But the disparities between the DLT results and the FOAT results provide a compelling attraction to research into the approaches used for building capacities. Langaas et al. (2009) and Hossain (2017)

contend that traditional approaches and strategies used in building institutional capacity are largely responsible for the problematic capacities at the MMDAs. For example, Anyonge, et al, (2013) and (Leeman et al, 2015) note that CB is usually equated with training, rather than understood as a more complex set of tools for institutional and organisational development.

As noted by Sarkodie (2011), in MMDAs, leaders develop their own interpretation of the needs of employees, define strategies and interventions, and target senior management employees leaving out the junior employees. Again, the methods of training are usually classroom seminars, orientation programmes and not on-the-job training to help employees to gain experience and continuous learning. Employees then shape their needs in accordance with these strategies, thus validating imposed strategies with local knowledge. These views have been put forward by authors that the traditional approaches are not only flawed, but closed, which paradoxically leave organisations with little in the way of transferable lessons (Babu & Sengupta, 2006; Noe, 2010, OECD, 2005; UNDP, 2008).

Studies have examined aspects of CB such as training and development in various institutions. For example, Coffey International Limited (2015) studied capacity development through international projects using qualitative paradigm. Okoliko (2014) explored the connection between the institutional state and economic performance (growth and development) focusing on Malaysia and Nigeria; while Otibine (2016) examined the effects of CD strategies employed by DFID on its performance in Kenya using qualitative methods on 15 officials. In Ghana, Antwi and Analoui (2008) concentrated on the challenges in building

capacity of human resource development in decentralised local governments. Sarkodie (2011) also focused on training and development in MMDAs using staff; while Odoom, Kyeremeh and Opoku (2014) focused on human resource capacity needs in DAs, using both quantitative and qualitative analysis. However, none of the studies reviewed by the researcher assessed the approach to CB holistically.

Key issues of strategic importance and theoretical gaps to CB for the development of MMDAs therefore emerge. Despite the importance of CB as a tool for accelerating local level development, little attention has been paid to the interconnectedness, interdependence, and interrelationship element, and the CR is no exception to this challenge. For example, how is needs assessment conducted? Who sets the objectives and designs CB programmes? What strategies are used in building capacities? How effectively do leadership involve employees in the process of CB to lead to learning and empowerment? What skills do the leadership have to pursue their mandates? What the best approach is, what strategy triggers successful results, and the effect of the approach are questions yet to be answered – a gap in knowledge this study seeks to fill.

Objectives of the Study

The main objective of this study was to assess capacity building (CB) approaches used in the selected Metropolitan, Municipal, and District Assemblies (MMDAs) in the Central Region of Ghana. Specifically, the study sought to:

1. Examine capacity building processes adopted by the selected MMDAs to build capacities;

19

2. Assess success drivers such as participation, leadership support and resources, time in the capacity building process;

3. Assess how the capacity building process influence factors such as ownership, commitment, enthusiasm, and motivation in the capacity building process;

4. Assess how the capacity building strategies adopted influence outcomes such as peer-to-peer connections, information sharing, empowerment, learning, and mentoring opportunities.

5. Assess how the CB approach influence empowerment in the selected MMDAs;

6. Examine the institutional capacity of selected MMDAs for the implementation of their functional mandate; and

7. Explore ways to improve capacity building approaches in the MMDAs.

Significance of the Study

Capacity building is not new, however, investing in capacity building programmes that support MMDAs to provide effective, high quality programmes and services is essential. The challenge of building institutional and human capacity for development has been approached in the development literature from various perspectives and paradigms. As such, reviewing literature and exploring the concept of CB for organisational development, as well as success drivers will contribute to the body of knowledge.

Available theories on CB is scanty partly due to its recent emergence as a legitimate research area. This researcher dwelt on models from psychology and education to develop theoretical arguments. Collecting these perspectives thus

20

provide the opportunity for identifying few broad paradigms for capacity strengthening that help to develop researchable areas and themes to answer several challenging questions regarding developing appropriate capacity that confront policymakers. Hence, this work has developed means to improve *existing* CB, instead of means to design completely new one.

The research will refresh leadership's mind on CB issues of the Assembly; problems, opportunities and constraints and offer the opportunity to think about the way forward. This aside, it will provide information on views of actors to serve as a database for advocacy on interventions to the Management of MMDAs. Finally, outcome will serve as a source of reference for future research by academics, researching students interested in the subject matter, and policy makers. It will help in replicating the study in different development contexts.

Delimitation

This sub-section presents the scope of the study. In terms of the content, this study specifically sought to assess the effectiveness of the CB approaches in MMDAs in the Central Region. Capacity building constitute a thorny issue in the decentralisation debate that needs to be explored. The study did not intend assessing the impact of CB in the selected MMDAs. This limitation was influenced by both time and financial constraints. The focus of the study was from 2012 to 2017. CB literature shows that as a process, it takes five to seven years to realise its effectiveness. The period is long enough to help beneficiaries pinpoint the type of approaches used.

Geographically, this study was conducted in the Central Region. The choice of the Central Region is twofold. First, the region was the capital of the country with historical background in the decentralisation process (Ahwoi, 2010). It has a Metropolitan, Municipal, and District Assemblies located in different geographical areas performing the same decentralisation mandates as any other region. The region is known for the high concentration of educational institutions and tourist attraction. As such, research that will lead to the development of the region is of utmost importance. Secondly, the choice is based on the performance assessment results of FOAT I to FOAT VII (2008 – 2014) as well as the results of the District League Table published by Ministry of Local Government and Rural Development, UNICEF Ghana, and Ghana Center for Democratic Development (Cdd Ghana) (2013 – 2017).

Institutionally, the study was conducted in the Cape Coast Metropolitan Assembly (CCMA), Komenda-Edina-Eguafo-Abrem Municipal Assembly (KEEAMA), and Abura-Asebu-Kwamankese District Assembly (AAKDA). The reason is that these three districts exhibit different socio-economic characteristics. CCMA is metropolitan, KEEMA is municipal, and AAKDA is a district. The differences will help in comparing how the different levels are faring in terms of capacity building activities.

Finally, the study covered Executive officials, Assembly Members, and core staff. Core staff are those who are formally employed by government and receive either salary or wage from the Controller and Accountant General's Department. Other staff not covered are those who receive their wages from the

internally-generated funds (IGF) of the various MMDAs. A study at all the levels will help unravel issues concerning CB activities. It is hoped that the findings from this study will be applicable to other MMDAs in different regions confronted with similar situations.

Limitations of the Study

Despite the massive support received from the HR officers in the three study areas, there were a couple of challenges. First, it was difficult getting access to the heads of department (HoDs). Even after calling and getting the assurance of availability, the catchphrase was "I am very busy" once they saw my face. Another major challenge was with some of the staff who took the questionnaires about three times before finally filling the instrument. The researcher had to do a number of phone calls and follow-up before getting the HoDs to interview. On the part of the Assembly members, the researcher had to meet them and agree on a convenient date. Their question was "what is in there for me"? However, persistent interaction with respondents yielded a reasonable response rate of 85.7 percent. Babbie (2007) submits that a response rate of 70 percent is considered very high for analysis and reporting in surveys.

In view of the limitations, effort was made to execute the necessary research ethics for accuracy, validity and reliability of the findings on the phenomena investigated in situ, while recommendations were made for further studies in related topics in the concluding chapter. Sampling and response errors and how research assistants were assembled and trained to solve them were also dealt with. Planning

23

and executing the study, selecting the most appropriate scales, analysing and interpreting the statistical techniques used posed a challenging situation to the researcher but they have all come to enrich the study.

Organisation of the Study

The thesis is organised under nine main chapters. Chapter One focuses on the general introduction to the study, background, and defines the research problem, objectives, scope and justification, as well as the significance of the study. Chapter Two focused on overview of decentralisation and local government institutions in Ghana as well as issues on basic responsibilities of officials in the local government system. Chapter Three forms the theoretical framework for the study; while Chapter Four presents the concepts of institutional capacity and capacity building approaches. Chapter Five focuses on the application of the theoretical issues in CB, discusses success drivers and challenges of CB, empirical evidence, models for measuring CB effectiveness, and conceptual framework that guide the study. Chapter Six is on research methods and includes the design, philosophical notion, data analyses and interpretation. Chapter Seven focuses on the presentation and discussion of results of objectives 1, 2 and 3. Research objectives 4, 5, 6 and 7 are presented and discussed in Chapter Eight, while Chapter Nine is on summary, conclusions, recommendations, contribution to knowledge, and suggestions for further research.

CHAPTER TWO

OVERVIEW OF DECENTRALISATION AND ROLES AND RESPONSIBILITIES OF LOCAL GOVERNMENT OFFICIALS IN GHANA

Introduction

An important aim of this research was to produce results that were directly of interest to MMDAs, as such, it is important to first have a better understanding of the decentralised local government institutions in Ghana, and explore their respective roles and responsibilities for governance and the achievement of local level development mandate. The chapter briefly explained the basic theory and concepts of decentralisation (a detailed discussion is beyond the scope of this thesis). Thereafter, a brief history of Ghana's decentralised local government experience is presented. This was followed by the new local government system, its related institutions as well as the basic responsibilities of officials in the local government system. The chapter ends with issues of local governance and local level development. This chapter served as the basis for the subsequent analysis and discussion.

Conceptualising and Theorising Decentralisation

Decentralisation has become an increasingly widespread and significant dimension of political and administrative reform in many developing countries

since the late 1980s (Aryee, 1997). The agenda is supported by a variety of actors ranging from international development agencies to national governments to non-governmental and grassroots organisations (Crawford, 2004). It is believed that decentralisation provides a structural arrangement through which local people and communities participate in the fight against poverty at close range (Ahwoi, 2010). Oates' (1972) classic "Decentralisation Theorem" states that:

> For a public good, the consumption of which is defined over geographical subsets of the total population, and for which the costs of providing each level of output of the good in each jurisdiction are the same for the central or the respective local government–it will always be more efficient (or at least as efficient) for local government to provide Pareto-efficient levels of output for their respective jurisdictions than for the central government to provide any specified and uniform level of output across all jurisdictions (p.35).

Oates (1972) argument is that, policies formulated for the provision of public services and infrastructure that are sensitive to regional or local conditions are likely to be more effective in encouraging development than centrally determined policies that ignore these geographical differences. In other words, sub-national governments (SNGs) will be in the best position to implement developmental goals that are heterogeneous, whereas CG is only able to implement uniform policies. Oates further establishes that, achieving the aims of decentralisation means government must ensure efficient use of resources, establish equitable distribution of income, and maintain the economy at high levels of employment with reasonable price stability, commonly summarised as allocation, distribution, and stabilisation.

The theory of decentralisation is inseparable from the idea of "local self-government", "democratic principle", and the "principle of subsidiarity" (United

Cities and Local Governments [UCLG], 2008). Local self-government is the right and the ability of local authorities, within the limits of the law, to regulate and manage a substantial share of public affairs under their own responsibility and in the interests of the local population. The democratic principle involves the transfer of power to actors or institutions that are accountable to the population in their jurisdiction; while the principle of subsidiarity holds that anything that can be done by a smaller and simpler organisation should not be done by a larger and more complex organisation.

The principle of subsidiarity implies that decisions should be taken at the most "appropriate level", which quite often may be the lowest level or the local level and, therefore, introduces a "bottom-up" approach to policy design and implementation (CEC, 2001). The rationale for the subsidiarity principle is to improve on the socio-economic disparities at the local levels that give rise to differences in the socio-economic development levels between urban and rural regions, and between rural regions. This means that local government institutions need to involve stakeholders in programming and project delivery and on decentralised management in policy delivery (CEC, 2001).

The concept of decentralisation came to the forefront of the development discourse in the 1980s alongside the renewed global emphasis on governance and human-centered approaches to national development (Work, 2002). Work posits that, the Western world sees decentralisation as an alternative to providing public services in a more cost-effective way; while developing countries are pursuing

decentralisation reforms to counter economic inefficiencies, macroeconomic instability, and ineffective governance.

Ribot (2002) submits that decentralisation involves the transfer of responsibilities from central government (CG) to local government (LG) with the objectives of improving effectiveness, efficiency and accountability in public sector management, as well as the responsiveness of state agencies to local needs. This submission has been buttressed by the United Cities and Local Governments (UCLG, 2008) and Turner and Hulme (cited in Antwi, 2005) that, decentralisation is a remedy to 'centralisation', infused with many positive connotations such as proximity, relevance, autonomy, participation, accountability, equity, and even democracy.

Shah (2006) avers that decentralisation is the strengthening of local institutions to play a more representative, responsive and constructive role in the everyday lives of local populations and the countries in which they live. It is the responsibility of the LG to provide community leadership, improvement of service delivery and ensure the economic, social and environmental well-being of the community.

Forms of Decentralisation

Different researchers have presented different forms of decentralisation, including administrative or deconcentration, delegation, devolution, and economic or market; or political, administrative, legislative, fiscal, and market (Rondinelli, 1980; 1989); political, administrative, and devolution (Mawhood, 1983; Smith,

1985, & Feruglio, 2007); and devolution, deconcentration, delegation, divisionalisation, popular participation and privatization (Antwi, 2005). Nevertheless, in government policy documents, especially in African countries, and particularly in Ghana, three main components outlined arepolitical, administrative and fiscal (Rondinelli, Nellis, & Cheema, 1983; Smith, 1985; MLGRD, 2010).

The political component refers to the transfer of authority from central to local authorities (Gariba, 2009). The administrative component deals with the transfer of functional responsibilities for the planning, financing and management of certain public functions from the CG and its agencies to field units of government agencies, subordinate units or levels of government (MLGRD, 2010). Rondinelli, (1990), Egbenya (2009) and Gariba (2009) categorise administrative decentralisation into four types: deconcentration, delegation, devolution, and privatisation.

Deconcentration is the transfer of power and functions to field agencies or local administrative offices of CG. In other words, it is the re-location of branches of the central state to local areas, entailing a transfer of powers to locally-based officials who remain part of, and upwardly accountable to CG ministries and agencies (Mawhood, 1983). *Delegation* is the transfer of power and functions from CG to semi-autonomous organisations owned or partly or wholly controlled by the CG (Opare et. al. 2012). This form of decentralisation can be characterised as a principal-agent relationship, with the CG as the principal, and the LGs as the agents.

Devolution refers to the transfer of significant fiscal and allocative decisions to local authorities who gain full responsibility for them, with no interference from

the central administration (Mawhood, 1983; Olowu, 1988; Anderson, 1995). Pollitt (1998) sees devolution as the strongest form of decentralisation that best captures the essence of function, power, and resource sharing. Devolution addresses the fiscal component and financial relationship between all levels of government (MLGRD, 2010). The World Development Report (2003) strongly supports devolution for making service delivery work for the poor.

Privatisation involves allowing private enterprises to perform functions that had previously been monopolized by government (Litvack & Seddan, 2002). Ahwoi (2010) adds that privatisation also involves contracting out the provision or management of public services or facilities to commercial enterprises, as well as financing public sector programmes through the capital market, with adequate measures to ensure that the CG does not bear the risk for this borrowing but allows private organisations to participate. These forms of decentralisation are practiced in Ghana and briefly explained in the following section.

Decentralised Local Government System in Ghana

Literature on Ghana's decentralisation abounds, as such a brief history is provided by way of introduction. Ghana has had a rich diversity of decentralisation reform measures from pre-colonial days to colonial times in 1878, where communities and societies had their own peculiar ways of governing themselves through chiefs and elders (Aryee, 1999; 2000). This local government which started in 1878 was centered on a chief or some unit of local royalty which was not very defined. The native authorities were not democratic, but were mere representatives

30

(as they were hand-picked). The native authorities were given powers to pass bye-laws. Their main interest was to help the British colonial government, with limited involvement in local administration to administer law and order (National Association of Local Government Administrators [NALAG], 2009). Though this local administration system produced close relationship between chiefs and the British authorities, it failed to meet the needs and aspirations of the people.

In 1943, a new ordinance set up elected town councils for Accra, Kumasi, Sekondi-Takoradi and Cape Coast. In 1952, a new local government structure, which was a two-tier system made up of 26 District Councils and 252 local councils was introduced. This was the first time some councilors were allowed to contest on party basis for them to be elected. This was followed, after independence, by the Local Government Act 1961, Act 54. In the second republic, the Local Administration Act 359 (1971) was passed. However, it was implemented in 1974 due to change of government in 1972. Significant changes however were made to the 1971 Act before it became operational in 1972 as the Local Administration (Amendment) Decree, NRCD 258.

The 1974 Local Government Structure described as the "Single Hierarchy Model", abolished the distinction between local and central government at the local level by creating one common single structure called the District Council (DC), which was assigned the total responsibility of governance at the local level. Under this local government system, sectors such as administration, agriculture, education, survey and town planning, social welfare, sports among others were all decentralized in the local councils.

Similarly, the 1974 local government system never worked as expected. According to a report by NALAG (2009), factors that militated against the system included absence of effective, accountable and legitimate political authority at the district level to oversee the structure; very little efforts made to address the infrastructure, understaffing and other logistic needs of the district councils. Apart from these factors, some of the districts were so large that administration became difficult as it could not reach many areas of the country (NALAG, 2009). These and other factors led to the institution of the new local government system.

The New Decentralised Local Government System

A landmark historical aspect of decentralisation reforms in Ghana was introduced in 1988 and led to the promulgation of the Local Government Law, 1988 (PNDCL 207) and creation of a new local government structure to promote decentralisation and effective governance system for the country (Aryee, 1999; 2000). The current decentralised local government system in Ghana is premised on legislations such as the 1992 Constitution of the Fourth Republic of Ghana, Civil Service Law 1993 (PNDCL 327), District Assemblies Common Fund Act 1993 (Act 455), and Local Government Act 1993 (Act 462).

Others are the Internal Audit Agency Act 2003 (Act 658), Public Procurement Act 2003 (Act 663) and Local Government (Urban, Zonal and Town Council and Unit Committees) Legislative Instrument of 1994, LI 1589 (Ahwoi, 2010), and currently, the Local Governance Act, 2016 (Act 936) (LGS, 2016). These legislations articulate the explicit objectives of decentralisation such as

participation, empowerment, accountability, effectiveness, efficiency, responsiveness, and the stemming of rural-urban drift through equitable distribution of facilities (Ayee, 2004).

In Ghana, political decentralisation took the form of creating local government institutions referred to as District Assemblies (DAs) (MLGRD, 2009). A DA can be a metropolitan, municipal or a district (MMDAs). These MMDAs can also have sub-district structures such as urban, town, area councils and unit committees which provide a platform at the local level to deliberate, legislate and execute actions necessary for the development of their areas (Owusu, Owusu, Oppong, & Dogoli, 2005). Metropolitan covers a population of over 250,000; Municipal is over 95,000, and a District is 75,000 and above, in which its inhabitants share similar problems, threats or constraints and resources (MLGRD, 2010).

Opare, Egbenya, Kaba, and Baku (2012) submit that political component of decentralisation gives citizens or their elected representatives more power in public decision-making and more influence in the formulation of policies. Major features of the decentralisation policy included the shift from command approaches to consultative processes and the devolution of power, competence and resources to the district level to make LG a more effective tool for local development (Feruglio, 2007; Egbenya, 2010; MLGRD, 2010; Dickovick, 2013).

Under PNDCL 207, 110 District Assemblies were established from the existing 65 District Councils. In 2004, 28 new districts were created to bring the number of districts in Ghana to 138. On 29th February 2008, 27 new districts and

four municipalities were created; while 37 existing districts and two municipalities were also upgraded bringing the total number of MMDAs to 170. In furtherance to bring governance to the doorstep of the people and enhance the decentralisation process, 46 new districts were created in 2012 to bring the total of MMDAs to 216.

Administrative Structures of the Local Government System

The recognised parts of the LG system, their functions and interrelationships are critical in ensuring its effectiveness. The system is a four-tier structure consisting of 10 Regional Coordinating Councils (RCCs) at the regional level, and six Metropolitan, 49 Municipal, and 161 Districts with sub-structures. Figure 2 shows the structure of the local government system.
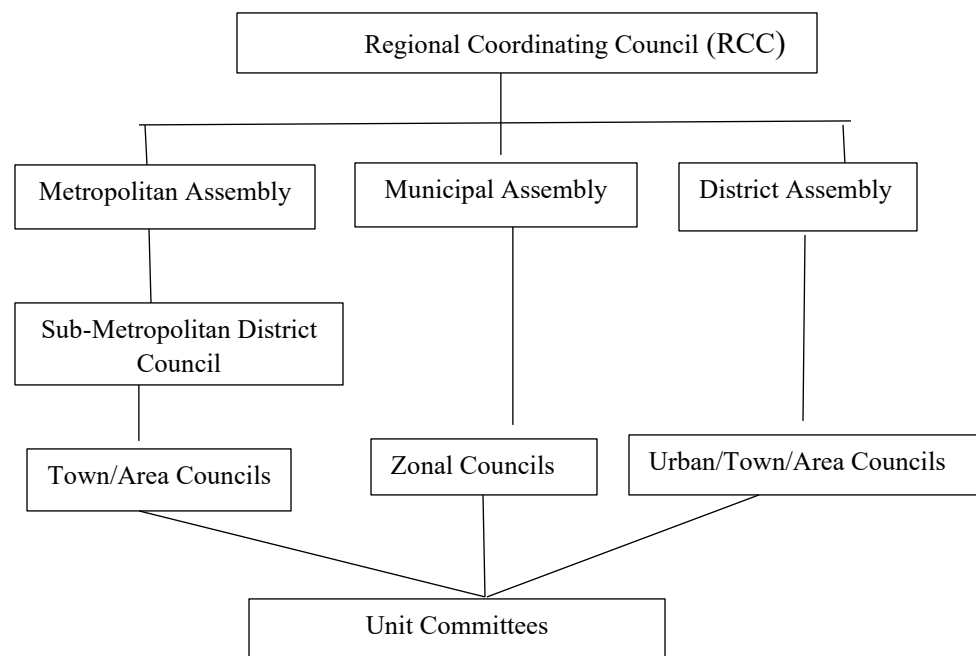
Figure 2: Structure of the Current Local Government System

Source: Local Government Service (2017**).**

34

The sub-district structures for the Metropolitan Assemblies are the Sub-Metropolitan District Councils (SMDCs) and Town Councils (TCs). The Municipal Assemblies have Zonal Councils (ZCs) while the District Assemblies (DAs) have Urban/Town/Area Councils (UTACs). The Urban/Zonal/Town/Area Councils were established by Legislative Instrument 1589. Their main functions include enumerating and keeping records of all rateable persons and properties in the Urban, Zonal, Area or Town; and assisting any person authorized by the Assembly in the collection of revenue due to the Assembly.

Fiscal Framework of the Local Government System

For MMDAs to be able to implement their developmental goals is undoubtedly dependent on fiscal transfers from the government. The legal basis of the DAs financial resources for the accomplishment of the various functions is premised in the 1992 Constitution of the Republic of Ghana, and other by-laws. Article 240, Section (2c) of the Constitution and Sections 34 and 95 of Local Government Act, Act 462 makes the DA an agent of development with rating authority. To secure sound and sustainable financial management of municipalities and establish treasury norms and standards, the government promulgated the District Assemblies Common Fund Act 1993 (Act 455) and the Financial Administration Act 2003 (Act 654).

Revenue of MMDAs, as set out in the Local Governance Act 2016 (Act 936), Section 124 comprise (a) decentralised transfers; (b) internally generated funds (IGF); and (C) donations and grants. Decentralised transfers are made up of the DACF, DDF, UDG, and any other revenue from the CG to the DA. The IGF

35

comprises licenses, fees and miscellaneous charges; taxes; investment income, rates, as well as donations and grants being paid directly to a DA by a development partner (MLGRD, 2012a). As Tiebout (1956) and Oates (1972) posit, the basic theory of fiscal decentralisation postulates public sector allocative efficiency, equity and accountability as benefits and key elements in building good governance.

Functions of Officials in the Local Government System

The provision of the roles and characteristics of the current LG system are enshrined in the 1992 Constitution, the Local Government Act, 1993 (Act 462) and the Local Governance Act 2016 (Act 936). The discourse covers responsibilities at the national, regional, and local levels.

National level

National level institutions are the National Development Planning Commission (NDPC) and Local Government Service (LGS). The NDPC is responsible for sector policy and strategy formulation and budgeting; formulation of guidelines to LGs on sector policies and strategies and programmes; sector policies and programme evaluation; and development plan approval.

The Local Government Service (LGS) is responsible for securing effective administration and management of decentralised local government system in Ghana. The LGS was established by the Local Government Service Act 2003 (Act 656) and inaugurated in 2007. The roles of the LGS, among other things include:

36

Providing technical assistance to DAs to enable them perform effectively their functions and discharge their duties in accordance with the Constitution and the Act 936; developing and coordinating the personnel plans and assessing the personnel needs of the DAs in consultation with the respective DA; and developing and coordinating the training implementation plans of the DAs in consultation with the respective DAs (Section 49, 51, and 52)

Regional level

At the regional level, the Regional Coordinating Council (RCC) is established in accordance with Article 255 of the Constitution. The RCC comprises the Regional Minister, his or her deputy, two representatives of the Regional House of Chiefs, the Municipal or District Chief Executives (M/DCEs) of the districts and the Presiding Members of the DAs in the region. The RCC coordinates activities between the MMDAs and the NDPC. The primary duties of the RCC as stipulated in Section 188 and 189 of Act 936 is to, among other things:

Monitor, coordinate and evaluate the performance of the MMDAs in the region; monitor the use of all monies mobilised, allocated and released to the DAs by any agency of the CG; and review and coordinate public services generally in the region. To be able to perform these functions, a Regional Planning and Coordinating Unit (RPCU) is established as a Secretariat to coordinate development plans.

Local level

Metropolitan/Municipal/District Assemblies were created to perform the following deliberative, legislative and executive roles, among other roles. These roles are enshrined in Section 19 – 20 of the Local Governance Act 2016 (Act 936) as follows:

District Assemblies should first, exercise political and administrative authority, promote local economic development, and provide guidance, give direction to and supervise other administrative authorities in the district as may be prescribed by law.

Secondly, a DA shall exercise deliberative, legislative, and executive functions. Aside these responsibilities, and without limiting themselves, a DA shall (1) be responsible for the overall development of the district; (2) formulate and execute plans, programmes and strategies for the effective mobilisation of the resources necessary for the overall development of the district; (3) promote and support productive activity and social development in the district and remove any obstacles to initiative and development; (4) sponsor the education of students from the district to fill particular manpower needs of the district especially in the social sectors of education and health, making sure that the sponsorship is fairly and equitably balanced between male and female students; and (5) initiate programmes for the development of basic infrastructure and provide municipal works and services in the district.

Others are to be responsible for the development, improvement and management of human settlements and the environment in the district; be

38

responsible for the maintenance of security and public safety in the district in cooperation with the appropriate national and local security agencies, ensure ready access to courts in the district for the promotion of justice; act to preserve and promote the cultural heritage within the district; initiate, sponsor or carry out studies that may be necessary for the discharge of any of the duties conferred by this act or any other enactment; and perform such other functions as may be provided under any other enactment.

These functions constitute the commitments of the Assemblies, on which their existence is justified. Smoke (1993) asserts that devolving powers to lower levels involve the creation of a realm of decision-making in which a variety of lower-level actors can exercise a certain degree of autonomy, provide community leadership, improve service delivery and ensure the economic, social and environmental well-being of the community. Done this way, it strengthens local institutions to play a more representative, responsive and constructive role in the countries they live in (Shah, 2006).

The myriad of functions assigned to the MMDAs show their importance as basic units for local level development. But to be able to achieve these goals, they require key roles and responsibilities of officials for better management of resources, and ensuring that their resources commensurate with the results they hope to achieve (Meier 2003; Văhămăki et al. 2011; Madhekeni, 2012).

Specific Roles and Responsibilities of Officials in the Local Authorities

The District Assembly (DA) is made up of the General Assembly, Executive Committee, Internal Audit, District Planning Coordinating Unit (DPCU), Sub-Committees, Unit Committees, and their departments (Local Governance Act 2016, Act 936).

The General Assembly (GA) comprises Assembly Members (both appointed and elected), MMDCE, Municipal or District Coordinating Director (M/DCD) and Municipal or District Planning Officer (M/DPO). Others are appointed members of the Assembly and some eminent chiefs in the District. The GA is the highest decision-making body of the MMDAs, and provides a platform by which Assembly persons, as representatives of the local people, participate in the development planning process. The GA is responsible for approving development plans, annual budgets, bye-laws and tax systems for the District.

The Assembly persons include both appointed and elected members to represent communities at the GA. They are responsible for coordinating activities between the DA and the communities. Their activities include maintaining close contact with the electoral areas, collating views, opinions, proposals from the local people, presenting such views to the DA, taking part in communal development activities, and reporting general decisions of the Assembly. The activities of the Assembly persons are to promote popular participation in the planning process and to ensure fairness in the distribution of public facilities.

The Executive Committee is responsible for the performance of the executive, administrative and coordinating functions of the MMDA. It consists of

not more than one-third of the Assembly members, the M/DCE, the M/DCD and the M/DPO. The Executive Committee coordinate plans and programmes of the sub-committees and submit these as comprehensive plans of action to the MMDA. The sub-committees are responsible for identifying and prioritising the challenges and opportunities in their areas and reporting them to the Executive Committee. Every Assembly person belongs to a particular sub-committee.

The District Planning Coordinating Unit (DPCU) is responsible for integrating and coordinating district sectoral plans into the district development plans. It is in charge of the monitoring and evaluation of development programmes and projects in the district. The DPCU ensures that the development needs of the local people receive the necessary financial and political support from the CG. The DPCU also ensures that projects and their specifications are implemented as agreed by the GA.

A typical DPCU consists of the DCD, District Directors of Agriculture, Education, and Health as well as District Town and Country Planning Officer, Finance Officer, Social Welfare Officer, Budget Officer, Engineer, Development Planning Officer and the convener of the Assembly sub-committee for development planning (Ahwoi, 2010). The DPCU is expected to use its technical know-how to ensure fairness in the distribution of public facilities. Interviews at the three MMDAs confirmed that development administration and management are undertaken by the Executive Committees and the DPCU.

Sub-committees include officers from the development planning, social services, works, justice and security, finance and administration, education and

41

culture, and health, environment and sanitation. This enables the Assembly persons to participate in the decision-making that affects the district's development. The inclusion of Assembly members in the coordination of plans and programmes of the MMDA ensures transparency in the process. Participation in the activities of the sub-committees empowers the Assembly persons in plan preparation.

The Unit Committee is the lowest unit of the Assembly. It consists of elected members of the communities, and are mandated, to among others, provide a focal point for the discussion of local problems and take remedial measures where necessary, or make recommendations to the Assembly, where appropriate; and organise communal and voluntary work especially with respect to sanitation. The inclusion of members in the coordination of plans and programmes of the MMDA ensures transparency and empowers them in plan preparation. However, at the time of data collection, all three MMDAs had not inaugurated the Unit Committees.

Decentralised Departments of the Local Authorities

The Local Government Act, 1993 (Act 462) established 16 departments (with staff) for Metropolitan Assemblies, 13 in the Municipal, and 11 in the District Assemblies. However, with the coming into force of the Local Governance Act 2016 (Act 936), four new departments were to be integrated into the assemblies. These are departments of housing, statistics, births and deaths, and HR. This means that Metropolitan Assemblies are to have 20 departments, 17 for Municipal Assemblies, and 15 for District Assemblies, as shown in Table 1.

Table 1: Departments under Metropolitan, Municipal and District Assemblies (MMDAs)

No.	Metropolitan	Municipal	District
1.	Central Administration	Central Administration	Central Administration
2	Finance	Finance	Finance
3	Works	Works	Works
4	Physical Planning	Physical Planning	Physical Planning
5	Trade and Industry	Trade and Industry	Trade and Industry,
6	Agriculture Department	Agriculture	Agriculture,
7	Social Welfare and Community Development	Social Welfare and Community Development,	Social Welfare and Community Development,
8	Legal	-	-
9	Budget and Rating*	-	-
10	Transport	Transport (NFI)	-
11	Roads	Roads (NFI)	-
12	Education, Youth and Sports (NFI)	Education, Youth and Sports (NFI)	Education, Youth and Sports (NFI)
13	Disaster Prevention*	Disaster Prevention*	Disaster Prevention*
14	Natural Resources Conservation, Forestry, Game and Wildlife*	Natural Resources Conservation, Forestry, Game and Wildlife	Natural Resources Conservation, Forestry, Game and Wildlife
15	Waste Management	-	-
16	Health Department (NFI)	Health Department (NFI)	Health Department (NFI)
17	Department of Housing*	Department of Housing*	Department of Housing*
18	Statistics*	Statistics*	Statistics*
19	Birth and Death	Birth and Death	Birth and Death
20	Human Resources*	Human Resources*	Human Resources*

Source: Adapted from Local Government Services Act 2016 (Act 936:110); Forth Schedule (Sections 78 (3) and 198 (4).
NFI = Not fully integrated

* = Not departmentalized, still part of Central Administration as Units

McGill (2010) has stated that the minimum conditions for a district, by way of capacity to allow it to perform is (i) a current district development plan and budget; (ii) a functional district council and district administration; (iii) a functional financial management system; (iv) a local development fund; and (v) key district staff. These institutional arrangements are essential for the achievement of good governance and local level development (Ahwoi, 2010).

43

Defining Governance

Governance is a multifaceted compound situation of institutions, systems, structures, processes, procedures, practices, relationships, and leadership behaviour in the exercise of social, political, economic, and managerial/administrative authority in the running of public or private affairs (Kauzya, 2000). It is a set of arrangement relating to decisions that define expectations, and enable governments to serve their people effectively. Governance, as defined by the UNDP (1997) refers to the system of values, policies and institutions by which a society manages its economic, political and social affairs. Borraz and John (2004) further explains governance as a flexible pattern of public decision-making based on loose networks of individuals in key public, para-public and private bodies at various territorial levels.

Governance has been accepted as the best practice for the organisation and management of sustainable development planning and implementation (Mashinini, 2008). Kyreboah-Colemena (2008) contend that effective corporate governance is a critical element to all economic transactions, especially in emerging and transitional economies. Borraz and John (2004) aver that governance implies that public decisions rest less within hierarchically organised bureaucracies, but take place more in relationships between governments and organisations.

Furthermore, it is a process whereby societies or organisations make their important decisions, determine whom they involve in the process and how they render account. Governance relates to the larger decisions about direction and roles, addressing the issues of both where to go, the strategic element, who should be

involved in deciding, and in what capacity. The main purpose of governance is to assure good results following a set pattern of principles.

Principles of good governance

Good governance involves, among other things, interaction between citizens and state actors, to agree on how, and what have to be done to achieve common goals and aspirations. It enables citizens to articulate their interests, mediate their differences and exercise their legal rights (Katsriku, 2012; UNDP, 1997). Accordingly, the researchers present eight main principles of good governance as responsiveness, accountability, rule of law, transparency, equitability and inclusiveness, participation, consensus oriented, and effectiveness and efficiency (Kauzya, 2000; UNDP, 2001; 2009)

Responsiveness in relation to good governance is focusing on the organisation's purpose and outcomes for citizens and service users. This will ensure that citizens receive high quality service and that the taxpayer receives value for money in service delivery, such as quality health care, water and sanitation;

Accountability in good governance implies that public service organisations, their leadership, and staff have clearly-defined functions and roles, and that each individual is clear about his/her responsibilities and those of others, as well as his/her relationships with others in the organisation. This clarity of roles and responsibilities facilitates accountability;

Rule of law in good governance enables the promotion of the values and ethics of the organisation by ensuring that individuals in the organisation behave in

45

ways that exemplify values and ethics such as accountability, transparency, honesty, integrity, diligence, fairness, and excellence;

Transparency in good governance includes putting in place a transparent decision-making process that involves good quality information gathering and consultation with stakeholders, while making sure that an effective risk management system is in operation;

With Equity and inclusiveness, good governance demands of leadership, the commitment to ensuring that all employees have the skills, knowledge and experience that they require to perform well. This also means having the ability to develop and manage people and be able to assess their performance;

Participation in good governance means citizens' engagement and their ability to have a voice and to hold public servants accountable for their responsibilities; consensus oriented requires consultation to understand the different interests of stakeholders in order to reach a broad consensus of what is in the best interest of the entire stakeholder group and how this can be achieved in a sustainable and prudent manner; and effectiveness and efficiency in good governance means that the processes implemented by the organisation to produce favorable results meet the needs of its stakeholders, while making the best use of resources, such as human, technological, financial, natural and environmental, at its disposal.

From the foregoing, local governance, is therefore, the ability to exercise the principles of governance at the local level, by involving the local population in the steering of affairs and determining the direction of the affairs

(PricewaterhouseCooper Canada Foundation, 2011). In essence, whatever governance actor does is planned, implemented, maintained, evaluated, and controlled with the needs, priorities, interests, participation, and wellbeing of the local population as the central and guiding considerations (Kauzya, 2000). Participation empowers the local people to direct the course of their own development to improve the provision and distribution of public facilities and its sustainability (Savitry, 2013).

Local Level Development

The OECD (2009) submits that there are many perspectives to development, reflecting an established consensus that economic development activities are unlike the other roles and responsibilities of local governments. According to OECD, local economic and social development is designed to facilitate transactions between the market and the community. They are primarily 'market facing' (labour markets, property markets, investment markets, among others), rather than 'citizen facing', and involve market-based transactions, and incentive structures, rather than public service delivery. Nonetheless, they advocate that increased local governance, social dialogue and advocacy can heighten the ability of local authorities and social partners to respond to demands in social services by the community and as well as demands by the labour market.

Core to the principles of local development is the simultaneous implementation of economic and social interventions to create an environment where social activities support economic objectives and vice versa (Atkinson,

47

2009). They include, for example, "setting up basic infrastructure, establishing streamlined regulatory environments and zoning regulations, supporting SME development, facilitating public contracts and tendering processes, fostering public-private partnerships, targeting support to the especially disadvantaged such as women and youth.

Others are encouraging labour-intensive methodologies in infrastructural development and facilitating employment creation are just some of the means available to municipalities to support the move out informality for the populations within their territory" (UNDP, 2009). These strategies offer opportunities for multifaceted and comprehensive approaches to upgrading informal economy workers and economic units. The combinations of these tools and strategies have the largest possible impact in contrast to piecemeal approaches.

However, local level development requires the use of social, economic, technological, and institutional processes to build in the people the confidence, skills, assets, and freedom necessary to achieve their development aspirations (Bandie, 2003). In support, the World Bank (2005) states that development should enable people to realise their full potential, build self-confidence, dignity, and fulfillment. It should free people from the evils of want, ignorance, deprivation, and exploitation; and correct existing imbalances and injustice in the society. This people-centered vision of development is premised on the new development paradigm that development must come from within, i.e. endogenous, rather that imposed from outside, i.e. exogenous (UNDP, 2008).

Endogenous development is a process of economic growth and structural change, which is led by the local community and employs its potential for development to improve the local population's standard of living (Rigoberta, 2007). Endogenous development is highly appreciative of ownership, relevance, diversity and identity. Conversely, exogenous development tends to export the process of development from the region, and does not respect local values (COMPAS, 2010). They report that exogenous development is undermined by neoliberal economic policies and the promotion of technological and scientific change that has continually ignored local needs and indigenous knowledge. These changes impose options on communities that undermine endogenous initiative and livelihood strategies that keep benefits within the local area (Freeman, 2010).

As a process, local level development is determined by four identified interlinked factors, which must be endogenous and imperative in ensuring sustainability of local level development. These are local institutions, local linkages, local resources, and local participation (Bandie, 2003). Public and private actors make investment decisions aimed not only at increasing firms' productivity and competitiveness, but also at solving problems and improving the well-being of local society, as such, the intervention of external agents in the local level development process is considered necessary if it is mediated through local institutions (Bandie, 2003).

COMPAS (2010) reports that endogenous development does not mean that local communities are isolated from the outside world and the opportunities that may be available there. It entails people drawing knowledge and resources from

external sources, but only when it supports local knowledge, institutions, initiatives, priorities, culture and worldviews. External agents then become partners in the local level development process, playing supportive and catalytic, but not substitutive roles. Through institutionalised communication, both parties are induced to be responsive to local conditions, which then protect the interest of the locality (Fekade, 1994). The process has mechanisms for local learning and experimenting, building local economies and retaining benefits in the local area (Rigoberta, 2007).

Local linkages are structural conduits through which resources, know-how and skills, information, values, influences, among others, are obtained or transmitted between and among local institutions horizontally and vertically, and between local institutions and external agents. Bronkerhoff et al (as cited in Bandie, 2003) identified local linkages as (1) enabling linkages, which includes organisations controlling needed resource and authority; (2) functional linkage relating to an organisation's engagement in producing complimentary or competitive outputs; (3) normative linkage identified as the source of legitimacy and valuing of the organisation; and (4) diffused linkages relating to the interactions with the organisation's larger public. According to Bandie (2003), development interventions that takes into account the nature and type of existing local linkages and utilises them assures sustainable local level development, with a diversified and strengthened local linkages.

Mobilisation of local resources and their proper utilisation as important for identifying points of intervention, as well as productivity enhancement in the local level development process. Identification of local resources expands the local

50

resource base and facilitates future development at the locality (Kobusingye, 2015). Boschma (2005) contends that local social dialogue offers an opportunity to translate national rights and employment policy frameworks into action and align them with existing local strategies. The objective of local development is to create a participatory environment that strengthens capacities of local institutions to implement socially inclusive and employment-rich interventions.

Decentralisation theorists submit that participation improves the responsiveness of sub-national government agencies and community based organisations to better respond to local needs and capture opportunities (Rondinelli, 2011). Through local participation, community members express their needs, problems, and priorities, whilst at the same time technocrats obtain information about local conditions, needs and attitudes, without which development programmes and projects are likely to fail (Adarkwa & Diaw, as cited in Bandie, 2003). When local government, social partners and civil society organisations support informal economy workers and enterprises to move out of informality, they create the foundation by which the poorest and most vulnerable segment of the population can achieve decent work and sustainable livelihoods.

Although participation has been recognised as essential in the decentralisation process to achieve local level development, Kobusingye & Omvia (2015) notes that politicians and technocrats need political will, social will, and administrative will, otherwise the objective will never be achieved. This position has been put forward by Kendie (as cited in Ghartey, 2012) that in Ghana, participation is not likely to happen without (1) real commitment of politicians and

51

administrators to control critical decision-making issues such as needs assessments; (2) strong civil society organisations able to mobilise the people to demand both participation and the rendering of quality services by state institutions; (3) opened political structures at all levels; and (4) participation ought not be only instrumental, it has to be an end in itself.

Local Level Development and Sustainability

Questions of survival and sustainability have become increasingly important, as CB efforts have failed when external support has been withdrawn. Factors such as leadership and local ownership must be taken into account (Blagescu & Young, 2006). The process must be owned locally; costs and benefits must be acceptable to those who control the local process, and there must be agreement that the effort is both desirable and feasible (Blagescu & Young, 2006).

The main concern of organisations such as MMDAs and donors is to ensure that projects which they provide to facilitate development are sustainable. Sustainability is judged from the way in which institutional arrangements are made to ensure a lasting impact of an intervention on a community. The OECD (2010) describes project sustainability as the extent to which the objectives of an aid activity will continue after the project assistance is over, and the extent to which the groups affected by the aid want to and can take charge of themselves to continue accomplishing its objectives.

Similarly, Baser (2007) views sustainability as the continuation of benefits from an intervention after major assistance has been completed, the probability of

52

continued long-term benefits, and the resilience to risk, of which the net benefit flows over time. The role of sustainable local level development is to create conditions that will enable each human being to realise or attain his or her potential for social, economic, and political fulfilment in a manner consistent with the common good (Bandie, 2003). Baser (2007) posit that in order to promote sustainability, people and organisations should have the abilities to be able to react to external pressures and identify their own solutions to problems that arise. This, in essence, is a bottom-up process, growing from the base, with local communities being key players.

However, the strength of intervention lies not only in its design, but also the capacities of the implementing agents to convert planned strategy into tangible actions (Langaas et al, 2009). As Kauzya (2000) acknowledges, various capacities of a multiplicity of stakeholders and actors need to be built and strengthened so that they can actively engage in the development processes and decisions of effective and responsive local governance, hence capacity building. These principles highlight the importance of a systems perspective, long-term support based on strategic partnership, effective coherence and coordination between the actors offering CB and those whose capacity is being enhanced. The question of roles and how they are negotiated is centrally important.

Summary

The review of literature on decentralisation has shown that system promotes economic, social and political benefits, public administration, good governance, and local level development. The discourse on Ghana's decentralisation experience

show that it had evolved towards devolution and deconcentration of central authority and functions to the local level to facilitate local level development. Furthermore, the responsibilities of officials include, but not limited to planning, implementation, coordination, monitoring and evaluation, reporting, giving feedback, and reviewing documents. These suggest that actors in the MMDAs should have the requisite capacities, in terms of physical, human, and financial, to be able to perform their functions; and wherever that capacity is inadequate, it has to be built, which is the focus of this study. The next chapter focuses on the theories that underpin the study.

CHAPTER THREE

THEORETICAL REVIEW

Introduction

This chapter focuses on relevant theories that underpin the study. Theories are fundamental collection of statements that have been subjected to regular testing on how the world functions. They help to understand the real world by creating the relationships between the different aspects from the theorist's perspective (Dubin, 1976, p. 26). Mainstream literature is replete with information about CB, but the development of a unified theoretical framework remains at a nascent stage (Babu & Sengupta, 2006; Blagescu & Young, 2006). As such different theories from different disciplines are used to explain the different objectives.

Theories that form the foundation for the study are: Systems, Human Capital Development, Dynamic Capabilities, Knowledge-based and Integrated Organisational Learning, Optimal Capacity and Capacity Threshold and Capacity Sequencing. The Instructional Systems Design (ISD) model is also discussed.

Systems Theory

Developed by von Bertalanffy in the 1950s, the systems theory is generally defined as an ensemble of interacting parts, the sum of which exhibits behaviour not confined in its constituent parts (Antwi, 2005; Jackson, 2005). Ng, Maull, and Yip (2009) define a system as an entity, which is a coherent whole such that a boundary is perceived around it in order to distinguish internal and external

55

elements and to identify input and output relating to, and emerging from the entity. Researchers make a distinction between closed, isolated and open systems (Cummings & Worley, 2001).

Closed systems are conceived to produce all their elementary constituents, such as elements, structures, processes and boundaries by their own production processes. Isolated system or reductionism on the other hand refers to the tendency to dismember a system into its essential components, assuming that interactions between these components and feedback are either negligible or linear, and therefore, easily able to be aggregated to explain the behaviour of the whole (Garcia as cited in Ghartey, 2012:55). Open system looks at the relationships between the organisations and the environment in which they are involved in an input-process/transformation-output processes (Cummings & Worley, 2001).

Relating the systems theory to organisational capacity, Katz and Khan (as cited in Oghojafor, Muo & Aduloju, 2012) depict organisations as systems composed of subsystems delineated by identifiable boundaries and indicate interdependence, interrelation and interconnectedness. In the wider context, each area is interlinked, and "feed" influence and information to each other over time, which allow for ease of understanding in relation to the component parts. Open systems relate to input-process-output elements that are influenced in part by external forces or "boundary" such as political, economic, socio-cultural and technological. Input refers to the human resources, financial resources, and time, among others; process or transformation refers to those specific activities of the organisation which modify and convert the input into output; and output relates to

the objective or results, i.e. products and/or services that are valued and accepted by the external environment.

These activities are logically related to one another by a theory of causality that translates into a change in the environment (United Nations Development Group [UNDG], 2011). Feedback is the learning mechanism that mediates between the goal and system behaviour, and can be positive or negative (Cummings & Worley, 2001), as shown in Figure 3. As such, these subsystems should be seen as a whole and not as simply the sum of elementary parts (Antwi, 2005; Mele, 2009).
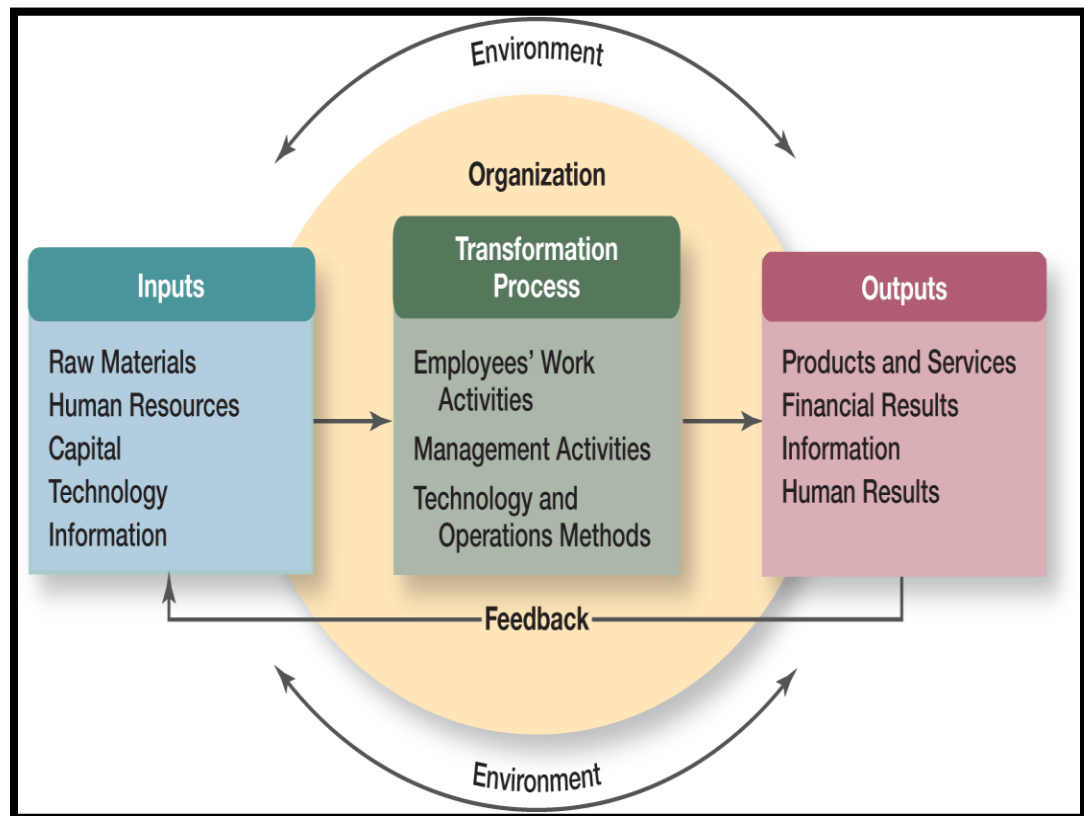
Figure 3: Organisation as an Open System

Source: Adapted from Antwi (2005), Mele (2009), Oghojafor et al (2012)

Tenets of the systems theory for capacity building

Systemic CB is based on six principles, namely, pragmatism, means, participation, multi-dimensionality, environment, and flexibility and the adaptation capacity in different contexts (Antwi, 2005; Mele, 2009; Oghojafor et al, 2012).

First, principle of pragmatism states that it is important to build on what already exists; i.e., it is imperative that there is a core of competence that can be built upon and not an ideal to be attained. Second, principle of means connotes that CB needs time to have an impact, and it cannot be considered a goal in itself. Third, principle of participation means that CB must be undertaken with the direct participation of the persons or organisations involved. Change unfolds through a facilitated process of open inquiry and dialogue (Mele, 2009).

Fourth, principle of multi-dimensionality states that CB can, and should by default be applied to three different levels, i.e. the individual, organisational and environmental level. Fifth, principle of the environment is the fifth and refers to (a) a conditioning factor (positive or negative) on the possibilities for CB of stakeholders and, (b) as an element that one can aspire to transform; and sixth, the principle of flexibility and the adaptation capacity in different contexts points that there is no "magic formula" or "blue print" for CB. The different current approaches are the product of a plethora of strategies, methods and resources focused on changing mentalities, such as the development of certain technical skills and the exchange of knowledge and skills.

The discourse means that for an organisation, such as the MMDA to be effective, the capacity of all the sub-systems need to be developed for change to occur (Antwi, 2005; Seddon, 2008; Senge, 2004). As Binnendijk (2000) indicates, the effectiveness of the change process depends on the extent to which it reflects the full range of stakeholder views and intended outcomes of the project or programme.

Human Capital Development Theory

According to Armstrong (2009), the process of performance comprises of context, skills levels, knowledge, identity, fixed factors and personal factors. Human beings and organisations can produce extra ordinary performance based on their capacity levels. Hence, Barreto (2010) avers that the value and performance of an organisation is measured by the level of intellectual and employee capacity. The argument in the Human Capital Development Theory (HCDT) stems from the poverty and capability postulates of Sen (1999) in the development literature. Sen argues that higher levels of missing capacity in a society are associated with greater levels of poverty. The same argument could be applied at the institutional level emphasizing that deprivation of capabilities within institutions will inhibit the institutions from functioning effectively.

The human capital theory by Schultz (1961) dwells on the idea that of all human abilities, whether innate or acquired, the most valuable and one that can be augmented by appropriate investment will be human capital. The theory views performance as a result of a combination of factors ranging from knowledge,

59

experience, skills, and expertise from the internal and external environments of an organisation. Similarly, Rastogi (2002) conceptualises human capital as knowledge, competency, attitude and behaviour embedded in an individual; while, Frank and Bemanke (2007) see human capital as a combination of factors such as education, experience, training, intelligence, energy, work habits, trustworthiness, and initiative that affect the value of a worker's marginal product. However, Senge (2004) draws a crucial distinction between general education and firm-specific training. According to him, general education does not improve the capabilities of individuals to do their current jobs. Rather, firm-specific training relates to the objectives of the organisation and helps in the achievement of specific goals.

The human is the subject to take charge of all economic activities such as production, consumption, and transaction, and therefore, a 'creator' who frames knowledge, skills, competency, and experience originated by continuously connecting between 'self' and 'environment' (Boldizzoni, 2008; OECD, 2009). As such, learning by 'doing' helps individuals to gain experience and improve over time. Human capital, therefore, corresponds to any stock of knowledge or characteristics or skills the worker has, either innate or acquired, which contributes to a worker's productivity (OECD, 2009). Olaniyan and Okemakinde (2008) argue that investment in human capital improves the quality of life of a population by increasing the level of cognitive stock of economically productive human capability.

The link between human capital and social consciousness is based on a close inter-relationship resulting in socio-political development (Alexander, 1996; Grubb

& Lazerson, 2004; Sen, 1999). Beach (2009) attests that human capital can increase social consciousness of constituents within the community. Consequently, efforts to promote investment in building human capital in LGs are seen to result in rapid development for society (UNDP, 2009).

Although the growth of literature still lacks successful analysis of the role of human capital in explaining growth performance, particularly in the least developed countries. Emerging literature on the role of human capital in economic growth in general provides an entry point to measure the role of capacity in the development process (Baser & Morgan, 2008). The theory of human capital and human capital development are relevant for this thesis in determining institutional capacity and analyse the effects of capacity development strategies that MMDAs employ on employee performance.

Dynamic Capabilities Theory

Dynamic capability, defined as "the firm's ability to integrate, build, and reconfigure internal and external competences to address rapidly changing environments" (Teece, Pisano & Shuen, as cited in Ferdinand, Graca, Antonacopoulou, & Easterby-Smith, 2004), suggests that intangible assets, including the knowledge and skills of the workforce, can be reconfigured into routines to create capabilities responsive to the ambiguous and unpredictable forces of the business environment. Dynamic capability offers a bridge between debates in the strategy field propounding a resource-based view of the firm and the emerging discourse surrounding the knowledge economy (Ferdinand et. al., 2004).

61

The resource management of the organisation is viewed through the dynamic capability's notion. Business competition in both internal and external environment drives the firms in the quest for new approaches that are adequate to meet the competitive business environment. The theoretical underpinnings of dynamic capability were propounded by Selznic and Eisenhardt in the 1980s. The theory exhibits some common elements across a number of firms and the individual approaches that enhance competitive advantage (Eisenhardt & Martin, 2000). The theory presupposes a wide range of processes, resources and capabilities within a business company; a concept that is developed on the assumption that "competences can provide competitive advantage and generate rents only if they are based on a collection of routines, skills, and complementary assets that are difficult to imitate" and hence distinctive (Anderson & Markides, 2006);

However, Ferdinand, et. al. (2004) argue that advocates of dynamic capability seek to connect the resource-based view of the firm to the emerging discourse surrounding the knowledge economy in a manner that effectively 'black boxes' learning and knowledge, thereby completely eliding the complex relationship between learning, practice and activity. According to Boesen and Therkildsen, (2004), capacity development initiatives are key pillars in the learning by doing approaches. The effects of capacity development initiatives affect organisations and individuals through the skills and knowledge achieved, and emphasized through capacity development strategies. Similarly, Palmer and Kaplan (2014) further argue that individual learning directly contributes to organisational learning through policies, processes, information management and reward systems based on the

overall objectives of the organisation. Hence, Ferdinand, et. al. (2004) contend that other views of organisational learning could contribute to a reconceptualisation of the dynamic capabilities concept, including the cognitive view.

The link between dynamic capabilities and the knowledge-based view derives from the perceived influence of knowledge-based factors and organizational learning processes for renewing competences. Since dynamic capabilities are idiosyncratic to a firm, it is acknowledged that they may be based on tacit know-how, hence the connection to Nonaka and Takeuchi's (1995) model of knowledge creation.

Knowledge-Based Theory

The accumulation and protection of valuable knowledge and capability are key responsibilities of any manager (Markides, 1998). The respective capability levels guide the organisation's efficiency in turning its inputs into sustainable and high value outcomes. Knowledge is considered as the most strategic and important resource to organisations (Teece, 2000). It is however argued that the knowledge-based theory advocates for the implicit harnessing of knowledge held by an organisation's employees. This is one of the most valuable substances that is not stored in technological information system. The knowledge held by employees is important for their self-development and motivation, which in return contributes to the overall performance of the organisation.There are two distinctive schools of thought in approaches to knowledge acquisition, namely, behavioural and cognitive.

Behaviourism is a learning theory that only focuses on objectively observable behaviours and discounts any independent activities of the mind (David, 2007; Pavlov & Anrep, 2003). Learning is therefore defined as a change in behaviour in the learner (Nevis, DiBella, & Goulds, 1995; Watson, 2013). However, critiques of behaviorism such as Staddon (2014), Kennison (2013) and Watson (2013), contend that behaviorism approach does not account for all kinds of learning, since it disregards the activities of the mind because there is no reinforcement mechanism. More so, early behaviorist work was done with animals (e.g. Pavlov's dogs) and generalized to humans (Pavlov & Anrep, 2003). In addition, behaviorism rejects structuralism and is an extension of logical positivism (Skinner, 2011).

The cognitive school submits that learning occurs through mental models, structures or schemas which enable people to understand events and situations and to interpret and respond to their environments (Kolb, as cited in Senge, 2004). Kolb's experiential learning theory (ELT) emphasise that learning occurs through the combination of grasping and transforming experience. Experience is knowledge that is generated through exposure to, and application of knowledge. Knowledge is the outcome of learning, and includes both declarative/facts (explicit knowledge), and procedural knowledge or skills and routines (tacit knowledge) (Singley & Anderson, 1989; Nonaka & Takeuchi, 1995).

The relationship between learning, knowledge and dynamic capability has been established by Mahoney (1995) and Senge (1990), and suggest that it is through 'organizational learning processes (that) … the firm adapts to its

64

environment'; the view that 'the firm learns from its experience', and 'An organization …changes its behaviour in response to short-run feedback from the environment according to some fairly well-defined rules. It changes rules in response to longer-run feedback according to some more general rules, and so on'.

Cummings and Worley (1997) and Lähteenmäki, Toivonen, and Mattila (2001)have also argued that the ELT describes learning in four basic steps that are said to neglect the role of social, historical, and cultural aspects of human action.Based on these and other critiques, Leavitt (2011) developed the integrated organisational learning model that integrates important themes, principles, and practices based on the extant literature by different theorists, and highlights the complex interrelationship of the levels, processes, and contexts within which learning occur (Leavitt, 2011).

Integrated Organisational Learning Model

Leavitt's (2011) model dwells on three areas: (1) the requisite antecedents and/or conditions that promote organisational learning, (2) players or beneficiaries, and (3) the key processes recommended for each of the targets.

Antecedents and conditions that promote organisational learning

Organisations are characterized by a shared vision, personal mastery, mental models, team learning, and systems thinking (Leavitt, 2011; Senge, 2004). According to Argyris and Schon (1978), Nevis et al, 1995) and Senge (1990; 2004), it is important to establish a learning climate and culture that offer learning

opportunities for all. Shared vision includes a vision, mission, strategy or image of an organisation's desired future and a set of governing values by which organisation members define how they behave with each other, and fosters a supportive environment in which knowledge sharing can flourish (Senge, 2004).Otibine (2016) found that when organisations develop a shared vision, staff are motivated to learn and to align their individual goals with the corporate goals.

For personal mastery to occur, people should be encouraged to take responsibility for their own professional development, as encouraged by the leader (Argyris, 1991; Nevis, et al., 1995; Senge, 1990; 2004). The commitment of an individual to the process of learning, that is, how individuals make effort to learn and develop over time is what defines personal mastery (Otibine, 2016).

Mental models are conceptual frameworks consisting of generalizations and assumptions to understand the world and take action in it (Senge, 1994; 2004). Learning situations where phenomena are explained require the construction and successful manipulation of mental models, such as simulations, role play, etc. (Senge, 2004; Seel (2006). The role of the leader, who is the guiding force behind the learning process, has to adopt different, effective roles depending on the particular situation (Senge, 1996). Leaders should also facilitate members' experimentation and learning from experience, giving appropriate feedback and guidance (Senge, 2004; Yeganeh & Kolb, 2009).

Team learning relates to a practice of group interaction. Teams transform their collective thinking; they learn to mobilize their energies and actions to achieve common goals and thereby draw forth an intelligence and ability greater than the

66

sum of the individual members' talents (Senge, 2004). According to Otibine, a team whose individuals are continuously learning is a learning team and hence a learning organisation in totality. Team learning empowers employees in the development of their working context and get them committed to continuous personal development (Isaacs, 1993; Senge, 2004).

Players:

The 'players' are the individual, group, and organisation and serve to underscore the importance of learning and put "teeth" behind its use and reinforcement (Senge, 1994; 2004). An organisation that engages all members in active learning and provides mechanisms for the transfer and application of that knowledge requires a systems' thinking. It requires collective mind shift at all levels from "seeing parts to seeing wholes; from seeing people as helpless reactors to seeing them as active participants in shaping their reality; and from reaction to the present to creating the future (Senge, 2004).

Processes

Finally, is the establishment of learning processes and systems enterprise-wide that support the collection, storing, and disseminating of information and knowledge. This type of technological infrastructure is required in order to make it easy and "natural" for members at all levels to engage in knowledge sharing. Additionally, technology can be instrumental in facilitating access to peers,

67

especially when they are geographically dispersed, through virtual, albeit face-to-face means, which supports and reinforces the sharing of tacit knowledge.

The integrated learning model is relevant to the study because it encompasses both the cognitive and behavioural elements that individuals need to change. Leavitt (2011) emphasises that cognition as a thoughtful and purposeful process is a vital part of the individual learning process, and the behaviour change that emanates from it is a strong metric for performance evaluation. The knowledge-based theories help to answer research question 4, which seeks to explore training strategies used in the selected MMDAs, and whether the strategies influence outcomes such as peer-to-peer connection and information sharing.

Theory of Optimal and Threshold Capacity

The theory of optimal capacity relates to the levels and dimensions of capacity development that is required for achieving a pre-specified level of development objectives. It also raises issues related to the levels at which capacity should be built to achieve the maximum effectiveness and to avoid the crowding out even within the locally produced capacity (Babu & Sengupta, 2006). Akin to optimal capacity is the capacity threshold. The theory of capacity threshold states that in any particular community or organisation, a certain level of capacity will exist (Abrams, 2003). The postulation is that all systems will need capacity in certain general categories, each of which, to a large degree, can be pre-determined (Abrams, 2002; Babu & Sengupta, 2006). Where this capacity is less than the

threshold capacity required for sustainability, the threshold must be built in order to ensure sustainability (Abrams, 2003; Langaas et al., 2009).

The gap between the level of capacity and the threshold needed to achieve optimal performance is what Vygotsky (1933) referred to as the zone of proximal development (ZPD) (Chaiklin (2003; Shabani, Khatib, & Ebadi 2010). ZPD is defined as the distance between the actual development level as determined by independent problem solving and the level of potential development as determined through problem solving under adult guidance or in collaboration with more capable peer (Shabani, Khatib, & Ebadi, 2010). Chaiklin (2003) asserts that Vygotsky's interest was to develop a theoretical basis for appropriate pedagogical interventions, including principles for possible instructional grouping of learners and identification of specific interventions for individual learners.

The basic principle of ZPD is dynamic assessment (DA). DA is an interactive approach to psychological or psycho-educational assessment that embeds intervention within the assessment procedure (Sternberg & Grigorenko, 2002). According to Chaiklin (2003:3), interventions must be based on diagnostic procedures, which is in turn based on a learner's current state of development. A true diagnosis must provide an explanation, prediction, and scientific basis for practical prescription, because it allows penetration into the internal causal-dynamic and genetic connections that determine the process itself of mental development.

Secondly, there should be the use of collaboration procedure and interpretation as diagnostics in instructional experiments to identify learners who

have "larger" and "smaller" ZPD; and thirdly, there should be pretest then an intervention and then a post-test, which allows the assessor to determine the response of the client or student to the intervention.

In the context of CB, DA means assessment of the needs and assets of the organisation and employees through participation to identify strengths and weaknesses of employees and direct the course of their action.

Theory of Capacity Sequencing

The theory of capacity sequencing relates to the appropriate entry point for formal capacity strengthening efforts in the process of development (Babu & Sengupta, 2006). Sequencing is primarily a consideration for the operational planning of any capacity development initiative. It is about working with what is doable, realistic and acceptable to all stakeholders at any given time, rather than creating ambitious plans that are doomed to fail because the right conditions are not in place (Rowntree, 1997). Sequencing provides the learner with a pattern of relationship so that each activity has a definite purpose. Sequencing also helps to avoid inconsistencies in the content of the instruction, and avoids duplication of efforts. The more meaningful the content, the easier it is to learn and, consequently, the more effective instruction (Brown, 2018).

Capacity sequencing was first developed for the US Army Field Artillery School (1984) to determine the order and structure of learning material to ensure that learning objectives are met. Sequencing is the basis for breaking the objectives down into clusters based on the class relationship between them, and to ensure the

70

appropriate strategies are identified (Babu & Sengupta, 2006). They recognize that capacity strengthening strategies should encompass a broader dimension to be fully effective. It includes identifying various stages in which capacity should be built and appropriately sequenced for effective utilization in the development process.

Capacity sequencing does not mean that all interventions and activities have to follow each other one at a time. It means getting them into the most logical groupings and order for success, being strategic in prioritising needs and choosing interventions to make sure that activities address the necessary components of capacity incrementally and coherently (Abrams, 2002). Underpinning the capacity sequence theory is leadership support and resource availability (Abrams, 2002). Capacity sequencing steps result in delivery plans as an efficient and effective way for training.

The theories of optimal capacity, capacity threshold and capacity sequencing are useful in answering research questions 2, 3 and 4, that is, ascertaining whether or not MMDAs assess the levels of capacity through participative approach to ascertain the gap; design strategies to meet the needs; sequence programmes to avoid duplication, and help plan for resources in effective ways.

Stemming from the theoretical framework, it could be argued that the instructional design model (as discussed in the following section) integrates the research themes as pathways through which CB helps in the translation of development goals to development outcomes. Hence, the model is critical in

71

addressing the process used to build capacities for the achievement of development goals.

Instructional Design Model

Instructional design model (IDM) is a systematic process that is employed to develop education and training programmes in a consistent and reliable fashion (Reiser & Dempsey, 2007). The Florida State University was the first to develop the Analysis, Design, Develop, Implement and Evaluate (ADDIE) Model for the U.S. Military during the 1970s to offer both educational and training organisations design steps, management guidelines and teamwork collaboration options with designers, technicians and clients (Gustafson & Branch, 2002; Morrison, Ross, Kemp & Kalman, 2010). As Ryder (2006) notes, the application and value of a model is dependent on the instructional situation, problem, or task. Hence, human resource development scholars have adapted and use Assessment, Design, Implement and monitor, and Evluate (ADImE) as a flexible guideline for building effective training and instructional materials (Noe, 2010; Kramer, 2013), and explained in the following section:

The first is the assessment phase where the instructional problem or gaps between the current and the desired performance, goals, success metrics, and overall objectives are also established. Information regarding the learner such as the learning environment, preferences, demographics, and existing knowledge and skills are also identified;

72

Design is the second stage where instructional designers develop the content and learning interactions based on the assessment. The learning objectives, instructional methods and activities, storyboards, content, subject matter knowledge, lesson outlines, and media assets are identified. The objectives are determined by using the task requirements and performance information collected during analysis stage to specify the knowledge, skills and attitudes that are provided in the training. This is important to identify how the employee will know, if the objectives have been met and what measures will be used. Also, the content is written and graphics, audio, and photography are also produced and assembled. Critical input is essential at the development stage to ensure that the training materials are clear, concise, and effective in addressing objectives. This stage ends when the validation demonstrates that the instruction meets the performance standards specified by the objectives, and the organisation accepts the final product.

The third stage is the implementation. Implementation is where the instructional designer delivers the content and materials to the trainer for live training events. Conditions (who, what, when and where) under which the training will be offered and the solution implemented are also determined. The availability of employees, facilities and resources should be confirmed and used to create the training programme schedule. The instructional designer also provides training needed to trainers, facilitators, subject matter experts (SME's) or instructors.

Evaluation is the final stage and occurs throughout the process giving feedback to the instructional designer to determine what success will look like and how it will be measured. The results from these test help to inform the instructional

73

designer and stakeholders on whether or not the training accomplished its original goals outlined in the analysis phase to help make changes (Morrison, et al, 2010; Noe, 2010; Kramer, 2013).

The ADImE model has been criticised because it is frequently presented in flowchart form, leaving the impression that it is mechanistic and linear in its approach (Zemke & Rosett, 2002). Some scholars argue that training design process rarely follows the neat, orderly, step-by-step approach activities. However, Noe (2010) and DeSimone and Werner (2012) have pointed out that the model is not a mechanical, algorithmic, step-by-step procedure, but rather an exploratory problem-solving technique that uses evaluation and feedback, making it iterative.

Summary

In synthesising, the system theory revealed interrelatedness and interconnectedness of an organisation as composed of subsystems that need to be assessed to ascertain the levels of capacity to be built to achieve optimal capacity. The theories have revealed that achieving optimal capacity depends on holistic approach to create synergistic relationships between sub-systems that are interrelated, interconnected and interdependent. In addition, the theories of capacity sequencing, knowledge-based, and organisational learning provided essential elements for effective CB as feedback, strategies and enrichment activities, as well as tools, processes to achieve the goals, and competent instructor to help achieve the goals. The ADImE model encapsulates the theoretical issues and shows that CB should follow an iterative and participatory process of assessing capacity needs,

designing strategies to meet the needs, implementing, monitoring and evaluating CB activities to give feedback, ownership, commitment, learning, and empowerment for organisational effectiveness.

CHAPTER FOUR

CONCEPTUALISING INSTITUTIONAL CAPACITY AND CAPACITY BUILDING

Introduction

Chapter Three focused on the theoretical foundation for this thesis, delineating the core elements for building capacity of institutions. The chapter was relevant as it facilitated the understanding of cause-effect variables of the phenomena investigated and also generated the essential concepts that informed the subject matter of the study. In pursuing effectiveness of CB, it is important that one identifies the levels of capacities of the officials, as well as strategies put in place to build these capacities. Hence, this chapter reviews literature on institutional capacity, concepts of CB, historical approaches to CB, and CB strategies. The rest are challenges to CB, measuring CB, and empirical evidence. The chapter ends with a conceptual framework to guide the study.

Defining Institutional Capacity

The term 'institution' is defined by contrasting it with the term 'organisation'. The World Bank (2000) for instance, believes that institutions overlap with organisations but institutions and organisations are not synonymous because, although both institutions and organisations are affected by policy design, institutions are broader in context and less subject to frequent change. Many

development theorists go further than the World Bank and use the term institution and organisation interchangeably. Brinkerhoff (1986:p.12) notes that donor countries, in the context of international development assistance, usually define institutions operationally as organisations. He refers to 'institution' as the rules, roles, and structures developed by people to organise their joint activities.

Uphoff (1986) defines an institution as 'a complex of norms and behaviours that persist over time by serving some socially valued purposes'; and an organisation as 'a structure of recognised and accepted roles'. This has been reiterated by Goldsmith (1992) that the principal meaning of institution in management and organisation theory usually refers to a role or organisation. Hence, Uphoff suggests that the two terms can be used interchangeably despite his definition. Therefore, in this thesis, the terms 'institution' and 'organisation' are used interchangeably to mean the same.

Institutional capacity matters to achieving programmatic outcomes and strong institutional capacity acts as bedrock in the mobilisation and utilisation of local resources for local level development (Bandie, 2003). Early researchers on local governments such as Rondinelli (1989) assert that institutional capacity describes the ability of local governments to carry out their functions, and has to do with determining the role they ought to play and how that role should be carried out effectively and efficiently, and with equity. The OECD (2008) sees institutional capacity as the sum of organisational, structural and technical systems, as well as individual competencies that create and implement policies in response to the needs of the public. Similarly, the UNDP (2009) reports that institutional capacity

includes the human, physical, knowledge resources that focus on the structures, management systems, as well as processes and procedures employed to transform these resources into services or products.

According to Langaas et al (2009), institutional capacity has to do with both tangibles and non-tangibles. The tangibles include physical assets such as infrastructure, machinery, natural resources, health of the population and education. Organisational structure and systems, legal frameworks and policies are also included in this category. The tangibles are factors that generally are amenable in either physical terms or in terms of indices, and can be referred to as hard capabilities. The intangibles on the other hand, have to do with social skills, experience, creativity, social cohesion, social capital, values, motivation, habits, traditions, institutional culture etc., and hence can be referred to as soft capabilities.

Intangible capabilities are core and refer to the creativity, resourcefulness and capacity to learn and adapt to individuals and social entities, and difficult to quantify (Langaas & Odeck, 2008). They aver that intangibles are as important as the tangibles because they determine how well a given society uses the other resources at its disposal. Intangibles are what allow individuals to realize their human and social potential to the highest possible level. Thus, institutional development is more likely to succeed if there is a balance between the tangibles (technical competencies and organisational framework) and intangibles (social arrangements) (Langaas et al, 2009) as shown in Figure 4.
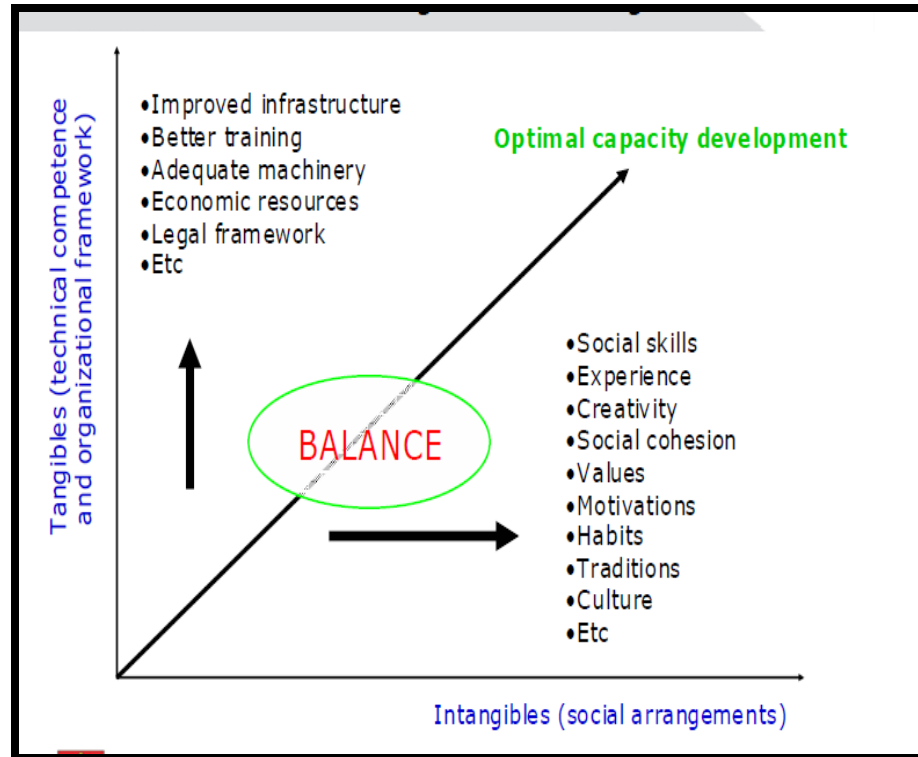
Figure 4: Balance between Intangibles and Tangibles

Source: Langaas et al (2009: p.3)

Institutional capacity is a complex notion. It involves multiple actors, multiple dimensions, and multiple levels. In simple terms, capacity "represents the potential for using resources effectively and maintaining gains in performance with gradually reduced levels of external support" (LaFond & Brown, 2003). This definition points to two components: existing capacity and a capacity gap that needs building; it assumes an internal process that is enhanced or accelerated by an external source (Goldberg & Bryant, 2012).The discourse means that for organisations to build capacities, it is important to identify the components of capacity within the organisation in order to build and create, change, enforce, and learn from the processes and rules (Rugumamu, 2011). As the World Bank (2000)

79

explains, the many functions of the public sector or government, such as policy-making, service-delivery, and oversight and accountability are performed by various public sector institutions (Imbaruddin, 2003), as such, to carry out these functions depends on the type of institutional capacity in place. The following section focuses on the taxonomies of institutional capacities.

Taxonomies of Institutional Capacity

In the systems approach, holistic lenses to institutional development are applied which are dynamic and multidimensional (Baser & Morgan, 2008). Researchers have developed different frameworks comprised of similar organisational elements with the main differences being how they are grouped into components (Raymond, 2010). Wholey and Hatry (1992) identified five components of institutional capacity as resource, organisational, programmatic, networking, and political. Simister and Smith (2010) differentiate between technical and general capacities; while Connelly and York (as cited in UWCA, 2011) proposes four key areas with specific sub-components. These are leadership, management capacities including human resource management, financial resource management, technical, and adaptive capacities and discussed in order to incorporate the dimensions into CB strategies and to make it manageable.

Leadership capacity

According to Connelly and York (as cited in UWCA, 2011), leaders need capacity to govern, lead, and sustain organisations. Leadership capacity is the

80

ability of all organisational leaders to create and sustain the vision, inspire, model, prioritize, make decisions, provide direction, and innovate, and motivate others in an effort to achieve the mission of the organisation (York, 2005). The UNDP (2009) reports that developing leadership capacity in LG should target both current and future leaders such as LG councils, executives and senior public servants. They suggest that when developing the capacities of future leaders, programmes need to focus on training civil servants at entry and mid-career-levels.

Thus, leadership strategy makes explicit how many leaders an organisation need, of what kind, where, with what skills, and behaving in what fashion individually and collectively to achieve the total success (Pasmore, 2014). Pasmore found that very few organisations have an explicit leadership strategy, and few organisations give thought to the leadership that will be required to implement strategies that call for changes in the direction or capabilities of the organisation. He concludes that without proper leadership, even the best and boldest strategies die on the vine, their potential never realized.

Human resource management capacity

Human resources (HR) play a key role in the execution of organisational processes as they are the brain behind the functioning of an organisation's systems including ICT (Otibine, 2016). HR capacity consists of principles for managing the workforce through HR policies and practices, covering the various areas of HR functions such as recruitment, staffing, compensation, performance management, reward and recognition, employee relations and training that are linked to the

81

organisation's vision, mission and goals (Council for the Voluntary & Non-Profit Sector, 2009). Such enhanced capabilities lead to organisation offering superior quality and services into the market and subsequently developing a competitive advantage over other players (Otibine, 2016).

Hence, there is the need for HRM strategies that lead to the implementation of functions such as recruitment, staffing needs, compensation, etc. (Ragupathi, 2013). For example, through the PMS, a continuous process of identifying, measuring, and developing the performance of individuals and aligning performance with the strategic goals of the organisation will be determined (Armstrong, 2011). These strategies are guided by the overall strategies of the business and serve to help the business attain its long-term goals through its staff (LaMarco, 2018).

Financial resource management capacity

Financial management is the process of managing financial resources and decisions aimed at moving the organisation in the direction of reaching its mission and maximising benefits to shareholders (Gitman, 2007). It includes the capacity to formulate, plan, manage and implement projects and programmes, including the capacity to prepare a budget and to estimate capacity development costs; the ability to raise, manage and deploy organisational revenues and assets to ensure efficient operations (Stowe & Barr, 2005); as well as manage human and financial resources and procurement; and set indicators for monitoring and also monitor progress (UNDP; 2008; 2015).

With the transfer of significant fiscal and allocative decisions to local authorities, it is important to have a financial management strategy to plan and control for the future of a business enterprise to forecast for a positive cash flow within the organisation to achieve value for money (Oduware, 2011). Financial resource strategies aim at instituting good financial management systems that better capture an organisation's resources and ensure accurate forecasting and tracking of expenditure (Otibine, 2016). The goal for financial strategy is to prudently use capital resources and maximise on the outcomes.

Technical capacity

Technical capacity relates to the ability of personnel to address a specific issue concerning an organisation's activities, and is often carried out in the context of a specific project or programme, for example, strategic planning and technical training (UWCA, 2011). Technical capacity is directed to the skills, tools, and facilities for organisation to deliver its programmes and manage its operations. Specific areas of focus include programme design and evaluation. For instance, MMDAs are responsible for developmental interventions and projects needed for the welfare of communities. Technology and technological skills refer to the utilization of Information and Communication Technologies (ICT), for example, the use of computers, laptops, teleconference facilities and a central information storage system (Wafula, 2008).

MMDAs are responsible for developmental interventions and projects needed for the welfare of communities. Having technical and technology capacity

means being able to develop and design programmes with relevant programme logic model or other evaluation tools that can measure the effectiveness of programming. This means that organisations, such as MMDAs,\ should then put in strategies to train people to attain fundraising skills to be able to procure the financial and in kind resources necessary for efficient operations; marketing skills relating to the capacity to communicate effectively with both internal and external stakeholders; and technology and technological skills comprising organisations having the necessary resources (i.e., equipment, systems, software, etc.) needed to efficiently operate the organisation; as well as the ability to run efficient operations (TCC Group, 2010).

Adaptive capacity

Adaptive or research capacity refers to the ability of an organisation to monitor, assess, respond to, and create internal and external changes. Adaptive capacity is determined by the ability of institutions and networks to learn, store knowledge and experience; creative flexibility in decision-making and problem solving; the existence of power structures that are responsive and consider the needs of all stakeholders (Leeman et al, 2015). Adaptive capacity involves three components: environmental learning, programmatic learning, and organisational learning.

Environmental learning refers to the ability to learn about what is happening in the local community as well as staying current with what is going on in the field through networking with community leaders and funders (York, 2005). In the

context of local government, Wholey and Hatry (1992) used political capacity and refer to it as the ability of the local government to involve the local people/communities in determining needs and shaping development policy, programmes, and projects. It includes a local government's ability to empower local people to make their own choices in all spheres of life, such that sustainable development is realised. It also involves working within the locality, such as advocating on behalf of constituents or communities (Bandie, 2003), through participation (UNDP, 2009).

Programmatic learning refers to the ability to assess the needs of clients, and use the results of programme evaluation as a learning tool in enhancing programme delivery (TCC Group, 2010). It is the ability of the organisation to make use of the results to improve performance and service delivery. Finally, organisational learning relates to the capability to carry out self-assessments, utilize the findings to carry out and follow through on strategic plans (TCC Group, 2010). As Argote (2013) points out from the organisational learning theory, apart from the organisation's task and the tools, the latent or background context also affects members' abilities, motivations, and opportunities. Thus in MMDAs, Assembly Members and Unit Committee Members need adaptive capacity to learn from their communities and report same to the Executive Committee. They should have the ability to assess the needs of clients, and use the results of programme evaluation as a learning tool in enhancing programme delivery (TCC Group, 2010).

Therefore, LG officials should put in place adaptive strategy to understand the processes of the context within which the organisation finds itself. The strategy

85

should focus on how to conduct research on external forces, such as laws and regulations, technological advances, and socioeconomic changes that are taking place around them. Tison (2018) aver that proactive leaders keep a pulse on key factors influencing their business environment and monitor those external and internal dynamics on an ongoing basis. The foregoing discussions imply that MMDAs should be conversant with the laws governing their own activities, and put in place strategies to guide CB for the achievement of their mandate.

Concept of Capacity Building

Capacity building is widely recognised, both formally and informally by developed and developing countries as consisting of a range of dimensions, from the knowledge and expertise of individuals to organisational capability and complementary frameworks and norms that govern their operations (Otibine, 2016). Also, it entails targeted and strategic change choices that will lead to the achievement of a number of defined results; a key feature in organisational development which focuses on successful organisational change and performance. Intended outcomes will generally sprout from people deliberately choosing to perform their jobs differently and with greater competence (Freeman, 2010). Hence, CB aims at establishing workable linkages between organisational operations and its effectiveness.

In institutional sense, CB refers to the process of optimising the skills of individuals and institutional support of one or more organisations (Chapagain, 2004). Others have defined the term as a holistic enterprise, encompassing a

multitude of activities (Simister & Smith, 2010), or a complex process that can exist at the individual, organisational, and/or community levels, and consists of skills, motivations, knowledge and attitudes necessary to implement programmes (Flaspohler et al. 2008).

In development literature, both CB and capacity development (CD) have been used. UNEP (2002) views CB as strengthening the processes, systems and rules that influence collective and individual behaviour and performance in all development endeavours. It means enhancing people's technical ability and willingness to play new developmental roles and adapt to new demands; while OECD/DAC (2006) sees CD as building abilities, relationships and values that will enable organisations, groups and individuals to improve their performance and achieve their development objectives.

In the context of local governance, CB is defined in Ghana's Decentralisation Policy Framework (2010) as activities that enhance the ability of an organisation to meet its intended objectives. It is linked to performance improvements and may include human resource development in a broader sense, organisational and institutional development, process improvements, logistics and resource enhancements, motivational and change management interventions that impact desirable change on the environmental, institutional and individual fronts (Mahama, 2014).

Conceptually, the term CB incorporate the concepts of 'capability' and 'capacity' (Franks, 1999). Capability refers to the knowledge, skills and attitudes of the individuals, separately or as a group, and their competence to undertake the

responsibilities assigned to them; while capacity refers to the overall ability of people, organisations, and society as a whole to manage their affairs successfully (Franks, 1999; OECD, 2006). It is also the ability or power of an organisation to apply its skills, assets, and resources to achieve its goals (USAID, 2011).

Berg (1993) looks at CB as characterized by three main activities: 'skill upgrading, that is, both general and job-specific; procedural improvements; and organisational strengthening'. Skill enhancement refers to general education, on-the-job training and professional strengthening of skills such as policy analysis and Information Technology (IT). Procedural improvements refer to context changes or system reforms.

Considering the different conceptual perspectives, the International Atomic Energy Agency (IAEA, 2012) describes CB as an 'umbrella' consisting of four essential elements. These are education and training; human resource development; knowledge management; and knowledge networks. According to IAEA report, fundamental to CB strategy is the establishment of sustainable education and training infrastructure and processes. Education and training programmes provide a structured knowledge base for individuals involved in the utilization or control of technologies to develop their individual capacity, which by implication also means improving national capacity. Furthermore, education and training provide the basis for lifelong human resource development.

As submitted by the Support to Local Governance Project in Rwanda, (SLGPR, 2012), CB involves improving people's knowledge, skills and attitudes as well as institutional mechanisms, tools and procedures to translate into

sustainable practice changes. Capacity development may mean the planning processes and the end results that aim at enhancing individual capabilities and the overall performance of firms. Light (2004) goes ahead and argues that different kinds of capacity development produce different kinds of outputs.

Point of Entry to Capacity Building

There is a wide range of approaches to capacity development and performance enhancements identified in the literature. These can be individual, organisational, and environmental or societal (Freeman, 2010; UNDP, 2009).

Individual dimension

The individual dimension refers to the skills and competencies of staff available within the institution, and the work ethic staff embrace in performing their functions efficiently and effectively (EU, 2014; UNDP, 2007). It relates to the development of staff competencies for the dissemination of improved working methods, procedures, tools and IT systems together with better overall coordination and planning. The ability to learn skills, acquire knowledge, and experience that will empower and equip individuals help them to transform things around them (JICA, 2006).

According to Babu and Sengupta (2006), this is the major dimension of capacity strengthening and most of the prior activities in the capacity strengthening literature that have been concentrated at this level without assessments of the other dimensions. Capacity assessments at this level are designed according to the

89

individual's function within the organisation. This level also covers people who are not directly involved in the organisation but are beneficiaries from the various activities of the organisation. Assessment of capacity at this level depends on the individual's role and assignments within this framework. The skill assessment of the individual and the requirement for the job enables an assessment of the capacity gap, that can then be addressed through training and development plans

The organisational or institutional dimension

The institutional context in which organisations and individuals operate is critical to ensuring the necessary incentives and rewards for improved public sector performance (Yamoah, 2013; 2014). This level refers to the structures, processes, resources of the organisation, and management styles, as well as working culture adopted by members of the organisation (Babu & Sengupta, 2006; Imbaruddin, 2003). Thus, Babu and Sengupta submit that an analysis of capacity at the organisational level has to take into consideration the mission and resource strategy of the organisation. This helps in identifying the existing capacity and also the capacity gaps within the organisation (Kay, 2005). Furthermore, an analysis of the existing resources which are at the disposal of the organisation are important.

The TCC Group (2010) submits that current available physical, human, financial and informational resources determine existing capacity. Physical resources or tools include adequate office space, tables, chairs, and needed equipment such as computers, general logistics and materials etc. that practitioners might use to plan, implement, organize, summarize, communicate knowledge, and

evaluate an intervention (Leeman et al, 2015). DeSimone and Werner (2012) Fraser (2007) and UNDP (2009) contend that organisational culture, i.e., vision, core values, mission, goals and objectives and strategies of the organisation are important resource. According to Mckinsey (2001), culture holds the organisation together; this means that individuals in organisations should share the same vision and values. It is important that the organisational culture is developed to support continuous improvement in employee's performance so that employees are able to identify with the values, norms and artifacts of the organisation (Ojo, 2009).

Others are any informational (electronic or print) resources information technology (IT), quality assurance systems (QAS), monitoring and evaluation (M&E) mechanisms, performance management systems (PMS), and capacity building frameworks (CBF) to guide the implementation of programmes (Armstrong, 2011; Fowler et al, 2007). Technology has changed many aspects of operation and direction in organisations, and contributes to the development of performance (TCC Group, 2010). Otibine (2016) found that besides the impact on the organisational performance, technology also influences the living conditions of groups and individuals as well as the relationship between staff. However, it is prone to change and advancements, thus the need for continued organisational flexibility and adaptability in order to best realize optimal effects on performance.

Human resources refer to the size and experience of the staff with the requisite knowledge, skills, and abilities (KSAs) (USGAO, 1997; Itell, 1998). Mascarenhas (1996) found that one of the major barriers to the execution of development interventions is lack of experience and expertise. Finally, financial

resource capacity refers to the financial position of the organisation. They are arguably the most central aspect of the organisation's resource pool because they can affect the recruitment of human resources and the acquisition of physical resources (Kobusingye, 2015).

Based on the role of management, it is important to put in place strategies to provide resources and tools so as to improve the conditions for capacity development (Langaas, et al, 2009). Whether capacity strengthening would involve bringing in external resources or train and develop internally available capacities depend on the outcome objectives of capacity strengthening projects. Langaas et al note that external resource strategy has in the past dominated development aid, and caution that the risk is that resources supplied may be appropriated by officials of the institutions for their own personal benefits. Otibine (2016) also found that external supply of resources may sometimes make the institutions donor-dependent; becomes pay-offs rather than incentives, and may not lead to sustained development of the institutions.

Environmental or societal dimension

The environment level is the broader social system within which people and organisations function and one that facilitates or hampers their existence and performance (DAC, 2006; Imbaruddin, 2003; UNDP, 2008). It is the laws and policies, legislation, the system of governance, the broader political and cultural environment, and network of civil societies. Babu and Sengupta (2003) argue that analysis at the systems level would have to begin with the broad policy environment

92

within which the system is defined. This could be the national level, involving a country, its laws and its institutions. It could also be at the regional, state or local level depending on the objective for the capacity strengthening.

The interrelatedness of the three levels implies that any effort to develop capacity needs to take into account capacity at each level, otherwise it becomes skewed or ineffective (Babu & Sengupta, 2006). They argue that to be successful, any capacity strengthening programme should address all the three levels. For example, organisations require an enabling environment to perform the additional responsibilities which come with enhanced capacities. Also, capacity building done at the individual level requires enabling infrastructure at the organisation level and enabling policy environment at the systems level to be successful. Conversely, Babu and Sengupta (2006) posit that CB programmes can start by first focusing on the individual and then zooming out to perform related capacity development at the organisation and the systems level. Another strategy could also be to first develop favorable environment through policy reforms and then create capacities at the subsequent levels to be able to make use of the favourable policy environment (UNDP, 1998) as illustrated in Figure 5.

This thesis focuses on the assessment at the individual and organisational level. Hilderbrand and Grindle (1997) argue that both organisation and human resources dimensions are located at the organisational level, and they affect the capacity of public institutions. For example, the clarity of organisational mission and goals, physical resources, as well as financial resources affect institutional capacity because clear goals can guide staff to perform their tasks and

responsibilities; whereas vague organisational goals do not help the creation of a sense of mission and commitment among staff, which are also important to the capacity of institutions to perform their functions.
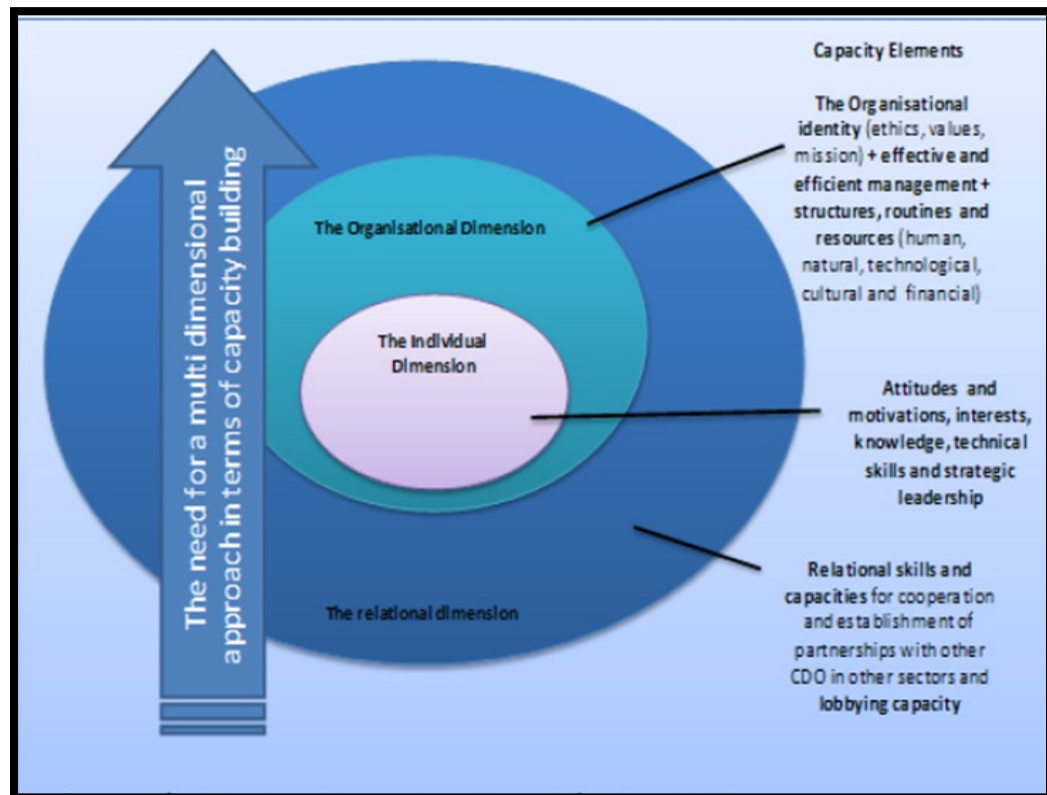
Figure 5: Systemic Capacity Building Model

Source: Adapted from Hilderbrand and Grindle (1997), UNDP (2009)

Effects of Capacity Building on Institutional Development

There has been scattered evidence on the role of CB as a strong contributing factor to economic growth, poverty alleviation, and national development (Levy & Kpundeh 2004). For example, the United Nations attests that governments in developing countries believe that institutions are effective instruments for social

94

change and development, and therefore accept institution building as 'a major effort for promoting consistent accelerated economic, social, and political progress' (UN, 1982:3). Similarly, the World Bank (2000) remains convinced that unsatisfactorily functioning public sector institutions and weak governance are major constraints to growth and equitable development in many developing countries.

According to DFID (2010), the goal of CB is to facilitate individual and organisational learning which builds social capital and trust, develops knowledge, skills and attitudes. When successful, CB creates an organisational culture and a set of capabilities which enables organisations to set objectives, achieve results, solve problems, and create adaptive procedures which enable them to survive in the long run, and contribute to sustainable social and economic development (Babu & Sengupta, 2006). Ojokuku and Adegbite (2014) assert that the single advantage that any organisation may have over any competition sometimes consist of the number and quality of people employed to manage organisational activities. As such, for individuals to be able to perform their duties, they need to acquire necessary knowledge and skills, which will help in no small measure to improve the productivity of the organisation. This is made possible by the provision of adequate training and CB programmes by the organisation.

Building the capacity of organisational staff has been identified as part of an organisational strategy to improve overall productivity, motivate staff to deliver high quality services and create an on-going commitment to innovation and system improvement (Ojokuku & Adegbite, 2014). Additionally, staff training has been found as an integral part of a larger human resources investment strategy designed

95

to transform workforce service delivery system into high performance organisations that strive continuously to improve service quality and customer satisfaction.

Templeton (2009) posits that in addition to contributing to the development of technical outputs, human CB can directly benefit both the newly trained individuals and the organisation that they work for. The main benefits to trainees include improvements in confidence, competence, promotion and higher income, and is the most direct link between CB and impact. The benefits can also have a ripple effect to flow to the trained individual, other workers in the organisation, the organisation as a whole, and communities. Community-level impact of the capacity built arises from the outputs generated and adopted when this capacity is used.

The UNDP (2009) reports the importance of CB in employees, and affirmed that development and training improve trainees' prospects of finding and retaining jobs' while also improving their productivity at work, their income earning capacity, and as a result their living standard. It also effectively widens their career choices and opportunities. Training and development help to ensure that organisational members possess the knowledge and skills they need to perform their job effectively, take on new responsibilities and adapt to changing conditions (Jones & George, 2008). Furthermore, training helps improve product or service quality, customer satisfaction, productivity, morale, business development and profitability.

At the organisational level, activities improve the performance of internal organisational systems and processes, leading to stronger organisations with the

96

ability to adapt and continue to develop over time. In addition, individual or workforce level CB activities improve the performance of staff according to specific, defined competencies and job requirements (Fy, 2012; Gordon & Chadwick, 2007). The efficiency of the organisation can be enhanced through the trainees' capacity-induced changes in practice and behaviour. This is reflected in increased efficiency in the provision of services or outputs; innovations in the type of services or outputs delivered and in the delivery process; in new and better R&D effectiveness and increased influence in the policy arena (Ojokuku & Adegbite, 2014). Langaas et al (2009) identifies CB as a tool to promote good governance and integrity.

Systems and policy level CB activities improve the external environment in which organisations and individuals' function, including structures supporting the way organisations interact, and/or policies and standards that must be adhered to (Fy, 2012). Policy makers regard community capacity as a key success factor in a range of policy interventions (ODPM, 2003). The importance of CB suggests that the approach needs to be effective for the benefits to be accrued. CB interventions for local authorities would be relevant when they are designed to address organisational deficiencies and individual competency gaps at the institutional and individual levels respectively.

However, historically, CB as a development process for developing institutions in developing countries has been approached from various perspectives and paradigms, which made institutions face enormous challenges and deprived of the benefits (Whyte, 2004; Babu & Sengupta, 2006; Langaas, et al, 2009).

97

According to Langaas et al (2009), approaches focused on either tangibles or intangibles, but not both, hence defeating Fy's (2012) assertion that, CB is an evidence-driven process of strengthening the abilities of individuals, organisations, and systems to perform core functions sustainably, and to continue to improve and develop over time. The historical approaches to CB is discussed in the ensuing section.

Historical Approaches to Institutional Capacity Building

Capacity building is not a new concept. The UNDP (1999) dates the first efforts in CB back to the 1950s. History also shows that CB has manifested itself in two ways, namely, supply-driven (traditional approach) and demand-driven (country-owned approach), and recently, the systemic approach.

Supply-driven approach

Traditionally, CB has been supply-driven relating to the transfer of knowledge by donors (technical cooperation) and academics through human resource development (DAC, 2006). According to Steffensen (2010), supply-driven involves the support for developing basic systems and procedures for core activities, such as planning, budgeting, procurement and reporting. This approach is external to the organisation in the sense that external parties (though they may have diagnosed capacity gaps in collaboration with the organisation) lead in equipping the organisation with the solution (Mahama, 2014).

Skinner (1997) notes that supply-driven CB has been conceptualised through a 'deficit' model approach - a deficit to be corrected through intervention if communities are to play an active role in the status quo of local regeneration. Such intervention is driven by the belief that existing practices and processes of regeneration, which have been designed and established by regeneration professionals, are more sustainable with the active involvement of local communities once they have been 'brought up to speed'.

For example, several development interventions that were made through these approaches, such as the nation-building (Fukuyama, 2004; Varma & Winslow, 2005) and institutional strengthening in the 1950s and 60s helped in establishing mechanisms for provision of public services, particularly through sectoral ministries and institutions (Imbaruddin, 2003). Others were the national capacity for governance (Kernaghan, 2004), the policy and civil society reforms (UI Haque & Aziz, 2005) approaches relating to restructuring institutions and policy reforms at the macro and sectoral levels through cutting down cost and retrenching (UI Haque & Aziz, 2005).

Strategies in the supply-driven era either emphasised on technical competencies or organisational framework or social arrangements (Langaas et al, 2009; Leeman et al, 2015). This was a key issue relating to the structural adjustment policies (SAP) implemented in developing countries that led to low levels of human capacity in national institutions (Langaas & Odeck, 2007). However, organisational capacities cannot take place only through supply-driven training until its strategy addresses the organisational priorities (Horton Douglas et al, 2003:30). Nair (2003),

DAC (2006), and ODI (2009) have criticised that supply-driven CB has failed to help developing countries create their own sustainable capacities; prevented genuine comprehensive training, thereby, resulting in poor outcomes and very low returns in many countries.

Holcombe, Nawaz, Kamwendo and Ba (2004) assert that CB efforts driven by outside organisations or funders are often ineffective in cultivating a sense of ownership within the partner organisation. The OECD (2010) cautions that supply-driven cannot directly influence the cultural norms and political economy underpinning the demand for public sector performance.

Demand-driven approach

Demand-driven CB refers to a move away from the donor-led knowledge transfer approach into one of development co-operation, focusing on ownership and strengthening capacities (Land & Ssewankambo, 2002; World Bank, 2005; OECD, 2005; and Kŭhl, 2009). In local governments, this is internal and initiated by the organisation to solve its peculiar performance challenges with no or modest assistance from external parties (Mahama, 2014). As a process-orientated approach, it enables organisations to diagnose their own problems and create solutions through knowledge sharing (Baser, 2007; Kühl, 2009; Freeman, 2010). The emphasis is on needs assessment, based on responsive intervention, and clients' participation to ensure ownership of CB programmes (Schneider, 1999; Tadele & Manyena, 2009).

100

Advocates of demand driven CB acknowledge a correlation between sustainability of development assistance and local capacity. They also recognise that the approach is an endogenous process of change that strengthens these local capacities and lead to ownership. They further see ownership of these capacities to be key to sustainable development. Ownership of CB is stressed by the Commission for Africa (2005) that developing countries must be the ones that should lead their own initiatives.

Demand-driven approach sees community members (employees in this thesis) as essential partners whose skills and knowledge are vital. Such a view of CB acknowledges that communities already have skills that need to be harnessed (Beazley et al, 2004). It sees communities as active and equal partners that need to be engaged in new ways of working. A problem though with this approach was its one-size-fits-all nature (Ohemeng, 2012). For example, Walley (2013) contends that demand-driven approaches did not differentiate between different public sector organisations, especially "revenue driven" and "demand driven" public service organisations. Hence the systems approach has been emphasised for CB effectiveness

Systems approach

The UNCDF (2010) submits that demand as well as supply factors shape capacity constraints, opportunities and outcomes. External assistance can help on both the supply and demand sides of the process by providing inputs to enhance the functioning of the public sector and by strengthening structures of demand and

accountability. Holistic approach is about transformations that empower individuals, leaders, organisations, and societies to obtain, strengthen, and maintain capabilities to set and achieve their own development objectives over time (OECD, 1997; 2005; UWCA, 2003; World Bank, 2005). Transformation is about changing mindsets and attitudes at all levels to generate sustainable development over time (Kauzya, 2000; UNDP, 2009). Hence, from the 2000s, increased attention to missing institutions and capacity vacuums within existing institutions have brought to light the need for a systems approach for designing, implementing, and evaluating development plans (Babu & Sengupta, 2006).

Although Haider (2008) argues that supply-driven CB promotes a coherent institutional development strategy and provides strong incentives for local governments to build up capacity, the author is of the view that the holistic approach is necessary for quality control. His studies conducted in Tanzania found that LG authorities tend to emphasise on quantity (number of people trained) with very limited attention to quality of training. Furthermore, the author identified the need to increase the level of coordination in CB planning and management in order to avoid inefficiencies resulting from each local government unit acting entirely on its own. Additionally, Haider (2008) opines that CG must set guidelines and standards through certification processes to ensure that training provided through demand-driven mechanisms is not mediocre, especially in the early stages of CB efforts. Hence, the systems approach to CB, which is discussed in Chapter Five

CHAPTER FIVE

SYSTEMS APPROACH TO CAPACITY BUILDING

Introduction

In Chapter four, the literature was reviewed to ascertain the components of institutional capacities. Emerging literature on the role of institutions in economic growth in general provides an entry point to assess CB. This chapter dwells on the systems approach to building capacities. As argued in the historical approaches, assessment of the CB activities within an institution has to be undertaken from a more comprehensive or systemic perspective. Hence, the system, optimal capacity and capacity threshold, capacity sequencing, and knowledge-based theories provide theoretical indices for the development of a conceptual framework for the study.

Application of the Theoretical Issues

Approaches to CB refer to the processes and strategies or methods used by the organisations collaboratively to help better achieve their mission and goals and solve problems that may arise in the future. As a process-oriented concept, a systems approach to CB follows a five-stage iterative process as follows: (i) stakeholder participation in identification of development objectives; (ii) assessment of capacity needs; (iii) formulation of capacity building programmes; (iv) implementation of capacity building programmes; and (v) evaluation of capacity building programmes to elicit effectiveness. Figure 6 presents the theoretical framework for building holistic capacities, and explained in the following sections.
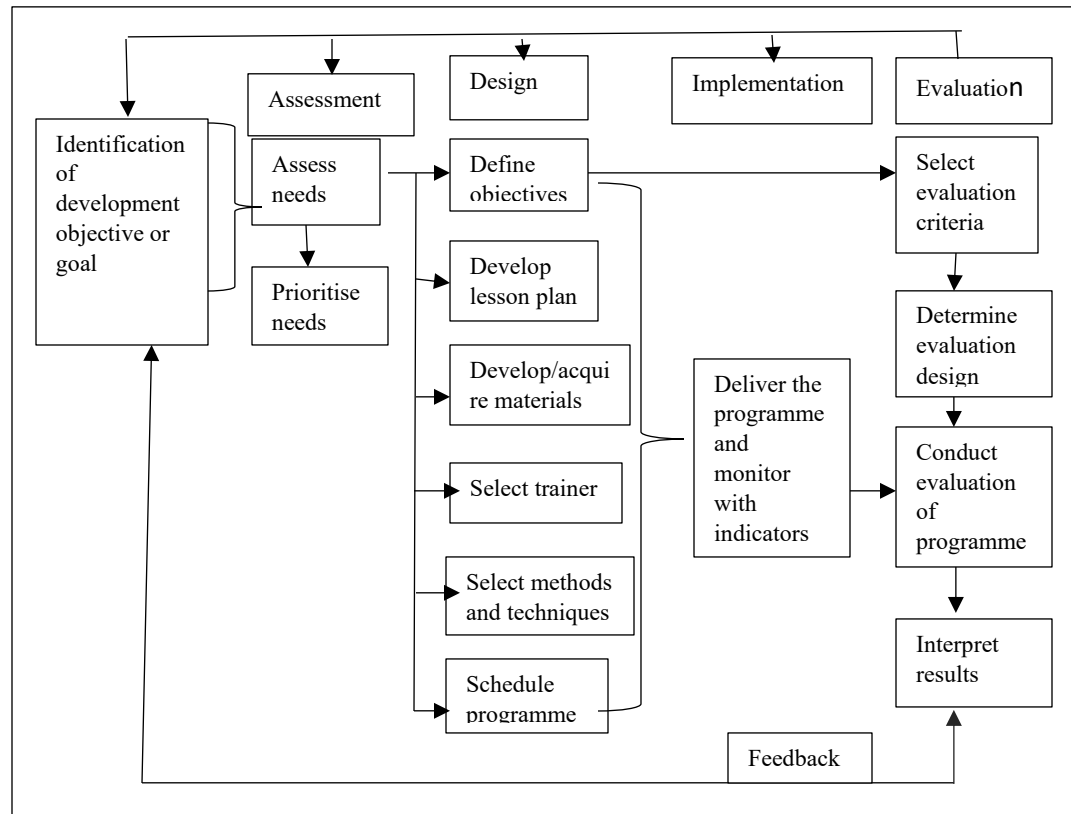
Figure 6: Theoretical Framework for Holistic Capacity Building

Source: Adapted from DeSimone and Werner (2012); Noe (2010); UNDP (2009)

Identification of development objective

As Babu and Sengupta (2006) and Langaas et al (2009) contend in the optimal capacity theory, capacity is not developed in a vacuum; it is developed to meet a special objective or fulfil a special need. Similarly, Suarez-Balcazar et al (2008) contend that to conceptualise CB at the institutional level, one must first ask 'capacity for what?' The goals and specific needs of the institution at a particular time needs to be assessed. The basic element involves clarifying objectives (results/output to be achieved), defining precise and measurable statements,

identifying the resources needed to achieve the results (input), and then identifying the means (process) to be employed to meet those objectives (Binnendijk, 2000).

Venture Philanthropy Partners (2001), UNDP (2009) and Kauzya (2007) have argued that identification of development objective should be based on the culture, i.e., vision, core values, mission, goals and objectives and strategies of the organisation (DeSimone & Werner, 2012;Floridi, et al, 2009; Fraser, 2007; Noe, 2010; Ojo, 2009; Suarez-Balcazar et al, 2008; UNDP, 2009). According to Mckinsey (2001), culture holds the organisation together; this means that individuals in organisations should share the same vision and values. It is important that the organisational culture is developed to support continuous improvement in employee's performance so that employees are able to identify with the values, norms and artifacts of the organisation (Ojo, 2009).

In the context of local government institutions, goals are linked to development goals such as the delivery of community services; meeting local peoples' needs; mainstreaming gender into planning and participatory evaluation; efficient and transparent management; consultation among stakeholders of both genders; civic engagement and participation, inclusive of various social categories and equitable between people (MLGRD, 2010; SLGPR (2012). These functions imply that capacity does not only depend on the capabilities of the people alone, but also on the overall size of the tasks, the resources needed to perform them, and the framework within which they are discharged, as discussed under the taxonomies of institutional capacity.

Stakeholder participation

Stakeholder participation is emphasised in the identification of development objective (UNDP, 2009). Participatory approach focuses on the adequacy in the process of achieving optimal capacity development (Eisenhardt & Martin, 2000). Scholars and development agencies such as Binnendijk (2000), UNDP (2008; 2009), and Noe (2010) submit that identification of clear and measurable objectives should include all stakeholders, and should be participatory to get their support, or at least to neutralize their resistance (UNDP, 2008; 2009).Hence, any CB activity must not only be effective in the existing culture, it must also be designed to bring about changes (Raymond, 2010). Managers therefore need to bring along their staff and other stakeholders carefully if they intend to make any dramatic changes (Mckinsey, 2001). Research shows that appropriate leadership and a sense of shared commitment to the reform process is critical to building a performance-oriented culture (CIPD, 2016).

There are many stakeholders and players in the local governance structure, therefore, the appropriate way to approach addressing issues and problems of CB is to first conduct stakeholder's and key players' identification analysis. Kauzya (2016) points out that such an analysis should always be conducted in a participatory manner to make the stakeholders and actors involved in local governance to share a common understanding of one another's strengths and weaknesses. This would in turn facilitate the process of cooperation, harmonisation, and synergy in CB activities.

Stakeholder theorists stress the need for management to identify who constitute the stakeholders of an organisation; what their interests are; and how to develop a model that enables management to knit such interests and related roles together through a set of collectively accepted methods and principles that give due regard to each stakeholder (Freeman, 2010). Stakeholders are in the public sector, the private sector, civil society, among donors and DPs, at local community, national, regional, and international levels (Kauzya, 2000). Haider (2008) advocates that networking with community-based organisations (CBOs), non-governmental organisations (NGOs), private firms and other local institutions to play a supportive role in the development process is a necessary capacity needed at the local authority.

Noe (2010) refers to institutional stakeholders as actors in the CB process. He identifies actors involved in the CB process as upper and mid-level managers, trainers and employees, and subject matter experts (SMEs). Upper-level managers are directors, chief executive officers (CEOs), and vice presidents who view needs assessment from the broader company perspective. For example, in MMDAs, upper-level managers will include officials of LGS, RCC, and leadership of the Assemblies comprising M/DCE, M/DCD, M/DPO, and Presiding Members. Mid-level managers in MMDAs include all departmental/sectional/unit heads with a focus on identifying how much of their budgets they want to devote to training, the types of employees who should receive training, and for what jobs training can make a difference.

107

Subject-matter experts (SMEs) include academics, technical experts, trainers, and even customers or suppliers who are knowledgeable in the organisation (Noe, 2010). Employees are knowledgeable with regard to tasks to be performed; knowledge, skills, and abilities required for successful task performance; necessary equipment; and conditions under which the tasks have to be performed (Noe, 2010). Involvement of SMEs and employees in the CB process is to gain information that they need to administer, develop, and support training programmes. The information includes determining if training should be purchased or developed in-house, identifying the tasks for which employees need to be trained, and determining top-level and mid-level managers' interest in and support for training (Noe, 2010).

Stakeholders and actor's involvement will help share a common understanding of one another's strengths and weaknesses; which would in turn facilitate the process of cooperation, harmonisation, and synergy in CB activities (Kauzya, 2000). Secondly, their involvement will help work out the priority issues to address, making sure that everyone is thinking holistically about the levels and all types of capacity, in order to avoid the trap of thinking everything starts and ends with training individuals. The process also helps in policy making, project planning and implementation and general process of decision making (Ridley & Jones, 2002; Mathur, Price, Austin & Moobela, 2007).

Assessment of needs and assets

Capacity-building is usually equated with training, rather than understood as a more complex set of tools for institutional and organisational development mechanisms (Anyonge, et al, 2013). Hence, needs assessment provides important input into most of the remaining steps in the training design (DeSimone & Werner, 2008; 2012; Noe, 2010). Conducting assessments can support an organisation to pinpoint their current status and seek the results for growth. Results can then help in the planning of priorities and measures for progress (United Nations Development Group [UNDG], 2011). The first principle of systemic CB is pragmatism (Floridi et al, 2009). It is important to build on what already exists because there is a core of competence that can be built upon in every organisation.

As optimal capacity and capacity threshold theorists contend, it is important to involve stakeholders to assess both tangibles and intangibles to ascertain the existing capacity and to build the threshold to achieve the development objective (Abrams, 2003). It is only when the priority areas are identified that CB specification will be created on the basis of the identified gaps between the actual and desired capacity (Abrams, 2003; Langaas et al, 2009; Noe, 2010). Identifying needs involve examining an organisation's resources such as tools, equipment, human and financial, its environment, job tasks, and employee performance to help sequencing for expending CB efforts (DeSimone & Werner, 2012).

Identifying needs, developing strategies to address these needs, and allocating scarce resources creates a balance within the organisation. Assessment will provide the desired level or threshold of capacity within the organisation

(Abrams, 2003); the capacity anticipated to achieve development or organisational goals (Ontario Trillium Foundation [OTF], 2005; UNDP, 2009); as well as the entry point for training (if training is found to be key) (Noe, 2010). This is important because the selected resources will influence the types of strategies that can be employed, as well as the indicators of success that are likely to be achieved.

On the contrary, if needs assessment is not properly conducted, it may result in erroneous decisions. First, training may be incorrectly used as a solution to a performance problem, e.g. when the solution should deal with employee motivation, job design, or a better communication of performance expectations. For example, DeSimone and Werner (2012) found problems related to some management practices, such as staffing, compensation, change in organisation of work, or a change in the focus of total quality or process reengineering, which may need other types of interventions. As such, assessing needs show who needs training and what trainees need to learn, the tasks in which to be trained, the knowledge, skill, behaviour, or other job requirements that should be focused on.

Second, training programmes may have the wrong content, objectives, or strategies. Third, trainees may be sent to training programmes for which they do not have the basic skills, prerequisite skills, or confidence needed to learn. Forth, training will not deliver the expected learning, behavioural change, or financial results that the company expects; and finally, money would be spent on training programmes that are unnecessary because they are unrelated to the company's business strategy (Noe, 2010:104).

Use of appreciative inquiry (AI)

In the assessment of needs, researchers suggest the use of competency models, such as Mckinsey's model, because it helps create a road map for succession planning (Noe, 2010). Noe further notes that using a competency model to assess needs helps identify the competencies necessary for each job as well as the knowledge, skills, behavior, and personality characteristics underlying each competency. Additionally, it provides descriptions of effective and ineffective competencies that are common for an entire occupational group, level of jobs, or an entire organisation. It also provides a tool for determining what skills are necessary to meet today's needs and the company's future skill needs.

However, Rickett (2000), Chapagain (2004), and Carman, Levinger, Massoud and Nesbitt (2014) suggest the use of appreciative inquiry (AI) during the assessment process. According to the writers, past approaches and methodologies were sometimes used to the benefit of the donor organisation that impede progress in development rather than pushing it forward (Chapagain, 2004). Appreciative inquiry has evolved as a participatory approach and is being practiced in countries such as the US and Nepal by non-governmental organisations (NGOs) (Imbaruddin, 2003; Chapagain, 2004). Developed by Cooperrider and Srivastva (1987), AI is a model that seeks to engage stakeholders in self-determined change.

Central to the process of AI is the 4-D cycle comprised of stages in which participants discover, dream, design, and deliver. Discovery means the identification of organisational processes that work well; dream means the envisioning of processes that would work well in the future; design refers to

111

planning and prioritising processes that would work well; and deliver or deploy means the implementation of the proposed design (Chapagain, 2004). Critics of AI believe that excessive focus on dysfunctions can actually cause organisations to become worse or fail to become better (Wallis, 2005). However, Chapagain (2004) and Scott (2007) have argued that the methodology enhances the implementation of visionary and self-motivated participatory programmes and builds ownership of CB programmes.

Designing capacity building programmes

Capacity building design refers to the organisation and coordination of the training and resources programme (Werner & DeSimone, 2008; 2012). Some scholars have shown that organisations cannot design programmes to cover every aspect of its activities at the same time, as such, key performance indicators (KPIs) should be identified to help minimise the number of indicators to use (Kaplan & Norton, 1992; Fraser, 2007; Padovani & Young, 2012). Key performance indicatorss are activities that significantly impact total process efficiency, effectiveness, quality, timeliness, productivity, or safety. At the management level, critical activities impact management priorities, organisational goals, and external customer goals.

The primary objective of identifying KPIs is to control the number of measures and keep business activities on course. Further, it will help to measure and monitor the achievement, and also keep the number of measures to a manageable yet useful level. Too many can lead to an overwhelming number of

112

measures and resulting data. Too few can lead to inadequate information on which to base business decisions (Boyle, 2003). The process results in the identification of objective information for the design of CB interventions. The use of logic models in the identification of KPIs in local governments (LGs) have been ascribed by Padovani and Young (2012) and Mihaiu (2016). The United Nations Development Group (UNDG, 2011) refers to the logic model as results chain, and reports that they will always be embedded in a given context that reflects the overall situation, needs, issues, priorities, and aspirations of key stakeholders.

As demonstrated by Mihaiu (2016), the use of logic models results in the specific description of the intended result or, possibly, the intended effect that the organisation wishes to accomplish with respect to the external or internal policy to be pursued. The policy objective should cover the goals to be accomplished; action plans to be laid down to accomplish each goal; and the effect of the achieved goal, given environmental influences, as shown in Figure 7.
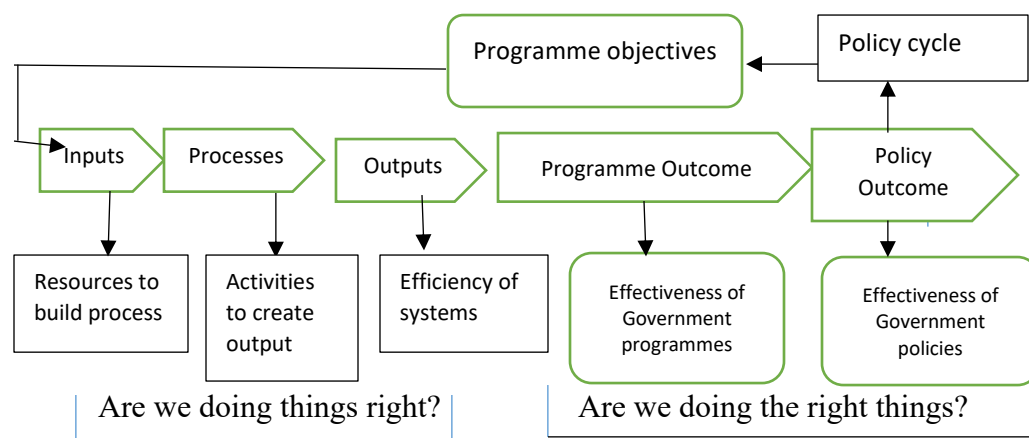
Figure 7: Programme Design Logic Model

Source: Adapted from Padovani and Young (2012), Mihaiu (2016)

113

Matachi (2006) proposes a matrix, detailing the scope of project/objectives. Levinger (2011) points out that starting with easily achievable goals builds social capital and momentum for change (Levinger, 2011). The matrix should also include a description of the trainees or beneficiaries; a description of lead time to notify programme participants and the checkpoints or tasks that need to be completed as the course is developed, as shown in Table 2.

Table 2: Capacity Building Matrix

Overall Goal:				
Project Goal:				
Whose capacity?	Capacity to do what?	Breakdown (elements) of the capacity	How to develop the capacity	How to sustain the capacity
Individual (skill, knowledge, attitude, value, experience, etc.) of staff				
Organisation (infrastructure, budget, decision-making process, leadership, administrative structure, organisation culture etc.)				
Task environment (policies, procedures and processes, legal framework, etc.)				

Source: Adopted from Matachi (2006:p.18)

Based on the activities identified in the matrix building process, developers of CB should develop implementation plan to ensure the logical sequence of the activities. The implementation plan should include the tasks to perform, including months/dates/days throughout the project, the resource plan, financial/budget plan,

114

and procurement plan (de Waal, 2007). The development of the appropriate resource plans determine whether to acquire or develop the appropriate materials for the trainees.

Designing training programmes

Flaspohler, et.al. (2012) and OTF (2005) note that training programmes should be designed to help individuals share knowledge, skills, resources and tools, as well as serve as coaching groups to help participants become more 'motivated' to change" (Rohrbach, Gunning, Sun & Sussman, 2010; TCC Group, 2010). The training programmes should be designed in conformity with the institutional capacities and strategies. Hence, Doherty and Mayer (2003) and UWCA (2011) submit that actors in the CB process should co-design the programme and be owned by the beneficiaries.

Co-designing has recently emerged as a meaningful way for SNGs to build their administrative capacities, as well as between them and their external stakeholders, as a way to overcome the deficiencies in both the supply and demand driven approaches (Sevaravlli, et. al. 2017). Co-design plays an important role in building trust among stakeholders and elicits knowledge of policy or problems that public managers do not possess (Britton, 2017; Pirinen, 2016).

Co-designing will lead to customised CB programmes. As Joyce (as cited in Freeman, 2010) puts it, public agencies are not all alike and, therefore, it is important to customise CB programmes according to the needs and situation of the users. This has been reiterated by the Australian Volunteer Association (2006) that,

115

"a one size fits all' approach cannot be effective. Floridi and Corella (2009) emphasise that there is no "magic formula" or "blue print" for CB; hence designers should be flexible and adapt capacity in different contexts. They should consider the needs within the three levels identified during the assessment stage (Nassazi, 2013).

Training delivery strategies/methods

Strategies or methods are the systematic approaches that direct and focus the training and development effort through the use of individual programmes, and according to well-defined criteria. Training strategies provide employees with the knowledge and skills required to operate within the systems and standards set by management that should be done to change the organisational skills (Leeman et al, 2015). In addition, the strategies are meant to develop the beneficiaries and improve performance, and therefore, should clearly enunciate the basic principles that guide and propel the CB plan and related processes (Otibine, 2016). Armstrong (2013) provides a wide variety of training techniques grouped into two: on-the-job techniques and off-the-job techniques.

On the job techniques

On-the-job techniques are practiced on a day-to-day basis or as part of a specially tailored training programme. Armstrong (2013) posits that on-job-training is the only way to develop and practice the specific managerial, team leading, technical, and administrative skills needed by the organisation. These include

116

coaching, advisory, guidance and counselling, mentoring and supervision, and establishing web-based or e-learning platforms such as the ICT-based Community of Practice (CoP) learning tools, internships, attachments and meetings. Others are job shadowing, vestibule and simulation.

Coaching refers to an approved person training an employee on the skills necessary to complete tasks. A manager or someone with experience shows the employee how to perform the actual job (Armstrong, 2013). The coach can provide specific performance improvement and correction (DeSimone & Werner, 2008). Mentoring is a process by which an employee can be trained and developed by an experienced person. The Christian Outreach Relief and Development (CORD, 2009) adopts coaching and mentoring as techniques to create a 'culture of learning'. They believe it allows their partners to be active participants in changing and shaping themselves, their organisations, and societies.

Job shadowing is a delivery method consisting of on-the-job training and the employee's learning skills by watching someone more experienced. However, the downside to this type of training is the possibility that the person learning on-the-job may learn "bad habits" or shortcuts to performing tasks that may not be beneficial to the organisation. Vestibule training is performed near the worksite in conference rooms, lecture rooms, and classrooms. This might be an appropriate method to deliver orientations and some skills-based training.

Web-based training involves the use of technology to facilitate training. There are two types of web-based learning. First, synchronous learning uses instructor-led facilitation. Asynchronous learning is self-directed, and there is no

117

instructor facilitating the course. There are several advantages to web-based training. First, it is available on demand, does not require travel, and can be cost efficient. However, disadvantages might include an impersonal aspect to the training and limited bandwidth or technology capabilities (Wafula, 2008).

Off-the-job techniques

Off-the-job training techniques are the formal training courses that occur away from the place of work. It can include sending employees to conferences, workshops or seminars for leadership development or even paying tuition for a class they want to take (Armstrong, 2013). Off-the-job training include formal classroom or face-to-face training, management development programmes linked with career development of employees as well as educational and academic programmes (Mahama, 2014).

Others are cross-border twinning initiatives and networking (UNDP, 1998; 2008; Ouchi, 2004; Haider, 2008; Saha, 2015). Twinning is a "process that pairs an organisational entity in a developing country with a similar but more mature entity in another country" (Ouchi, 2004). Twinning strategy has become a vehicle for sustainable organisational learning meant for building and strengthening institutional capacity. Twinning are partnership arrangements usually based on mutual needs, and involve transfers of knowledge, skills and experiences through staff exchanges, study and teaching, and networking (Haider, 2008). Saha (2015) suggests that through twinning strategy, organisations are capable to achieve distinctive advantages, i.e. organisational development and organisational learning

that play the role as a vehicle to sustain and to strengthen institutional research capacity, although it is costly.

Opportunities for peer networking include bringing practitioners together to learn from each other via in-person trainings and TA sessions (Flaspohler, Meehan, Maras & Keller (2012); interactive conference calls and web-based discussion forums and platforms for international cooperation which facilitate the sharing of knowledge (Rohrbach, Gunning, Sun & Sussman, 2010; Karré & van Twist, 2012). Flaspohler, Meehan, Maras and Keller (2012) and OTF (2005) note that training programmes should be designed to help individuals share knowledge, skills, resources and tools, as well as serve as coaching groups to help participants become more 'motivated' to change" (Rohrbach, Gunning, Sun & Sussman, 2010; TCC Group, 2010).

Staff skills building through formal training, coaching, mentoring, shadowing opportunities, and twinning to other similar organisations help professionals to obtain guidance from other senior cadres. In addition, training strategies ranging from leadership, programme management, people management, commercial capability, financial management, risk and control, value for money, and on the use of various information technology systems including the information storage and finance management systems help ease the work of individuals to deliver better quality (Otibine, 2016). It will also inform the selection of external or internal facilitators.

Competencies of trainers:

One obvious possibility for organisations conducting CB is the selection of professional trainers or consultants (DeSimone & Werner, 2012; Noe, 2010). Trainers, whether from inside or outside the company, should have expertise in the topic and experience in training. The TCC Group (2010) reports that CB services need to be offered by well-trained providers that offer well-established best practices in the field (OTF, 2005). The provider is supposed to possess the skills of assessing current situations and aiming at future performance; offering coaching and peer exchange opportunities, particularly in participants' functional areas (Noe, 2010).

Implement capacity building programmes

The goal of the assessment and design stages is to implement the CB programme. Once partners agree to pursue a set of results through a programme, implementation starts and monitoring becomes an essential task to ensure results are being achieved (UNDG, 2011). According to the report, monitoring and evaluation (M&E) provide invaluable information for decision-making and lessons learned for the future. However, Poister (2003) found that there is lack of capacity to collect and monitor performance data in organisations.

Implementers of training activities should be guided by lesson plans developed at the design stage for the monitoring of training activities. Lesson plans include the proper sequence of topics that will be treated in the training session and identify the administrative details (Babu & Sengupta, 2006; Noe, 2010). The lesson

120

plan includes the learning objectives, topics to be covered, target audience, time of session, lesson outline, the activity involved, any required preparation or prerequisites, how learning will be evaluated, and steps to insure transfer of training (DeSimone & Werner, 2008; 2012; Noe, 2010).

The detailed lesson plan translates the content and sequence of training activities into a guide that is used by the trainer to help deliver the training. Sequencing does not mean that all interventions and activities have to follow each other one at a time, it means getting them into the most logical groupings and order for success (Abrams, 2003; Langaas, et. al, 2009). Sequencing is a primary consideration for the operational planning of any capacity development initiative. It is about working with what is doable, realistic and acceptable to all stakeholders at any given time, rather than creating ambitious plans that are doomed to fail because the right conditions are not in place. It is also dependent on resource availability.

Evaluate capacity building programmes

The final step is to evaluate the CB programme. CB providers need to evaluate their processes with the use of indicators to sharpen the objectives and become more aware of assumptions (UNDP, 2011). The most popular and influential framework for evaluating training activities is articulated by Kirkpatrick (DeSimone & Werner, 2012). According to them, training can be evaluated at any of the four levels, i.e., reaction, learning, behaviour, and results.

121

The reaction level focuses on trainees' perceptions about a programme and its effectiveness. The learning level relates to whether the trainees really learnt what the objective sought to be. The behaviour level looks at whether transfer of training has occurred; and finally, the results level looks at the improvement within the organisation pertaining to the training. It focuses on whether the organisation is more efficient, more profitable, or better able to serve its clients or customers as a result of the training programme.

Goldberg and Bryant (2012) note that evaluation in CB projects is necessary to increase the accountability of both donor and partner organisations, to allow donor organisations that sponsor CB initiatives to engage in more evidence-based grant making, and to compare the effectiveness of different CB approaches. However, LaFond, Brown, and Macintyre (2002) report that, CB has gone through little formal evaluation and there are numerous explanations for this dearth of evidence. For example, there is no standardized approaches to monitoring and evaluating CB measures and also due to the range of activities and circumstances that comprise CB interventions. CB providers should have clear criteria that assess the success of the CB engagement (Connolly & York, 2003).

Success Drivers that Impact Capacity Building for Organisational Effectiveness

The UWCA (2011) and Kobusingye & Omvia(2015) postulate that regardless of which area and specific component of capacity that is addressed, there are a number of key success drivers that need to be considered in the process in

order to effectively build capacity for organisational effectiveness. These include time, leadership support, willingness and readiness, CB strategies, and resources (i.e. human, physical, and financial resources).

Doherty and Mayer (2003) and Raymond (2010) note that CB is often done with the unrealistic expectation that it can be done with little time or effort. The time in planning, implementing, and evaluating programmes has been referred to in literature (OECD, 1997). OECD cautions organisations to take time to develop CB programmes, be patient and persistent to build consensus, and maintain momentum. The UNDP (2008) cautions that CB may take many years; societal transformation may take generations. CB should therefore be seen as a long-term process, whose outcomes may not evolve in a controlled and linear way. A study by PricewaterhouseCoopers Canada Foundation (2011) suggested that an investment of three to five years needs to be in place before meaningful improvements can be achieved.

Partnership and leadership are two elements crucial for organisations to own CB (UWCA, 2011). CB needs to be internally led in an organisation so that there is commitment and support at the highest management level. All CB activities require the identification and involvement of influential champions who are engaged in guiding the efforts to implement the change strategies (Light & Hubbard, 2002). These individuals need to have the capacity initiative at the top of their agenda, plan the overall approach, drive the implementation timetable, and promote it to everyone affected (TCC Group, 2010).

Gwata (2013) found that one of the biggest reasons why CB change efforts often fail is that it lacks a champion with the skills, time, and resources to make the initiative a success. Change efforts need senior people who have the time and resources available to them to "own" the CB initiative and ensure the change is driven within the organisation (McKinsey, 2001; Gwata, 2013). They opine that, leaders and senior management should champion the cause and commit to its success; delegate responsibilities and empower employees to form design teams that have the responsibility for defining, selecting, and identifying a contact person who has overall responsibility for strategic measures. However, UWCA (2011) and Pazvakavambwa (2014) found that effective implementation of development interventions such as CB depends on the strengths of incentives, which should be attractive for the leadership to pursue intentionally. Ghartey (2012) found that leadership is an important factor in the implementation of any intervention in the decentralised local government.

Willingness towards the CB programme has been emphasised. Kauzya (n.d) points out that most decentralised policies and programmes falter during implementation because they are introduced with political hesitation, bureaucratic resentment, and suspicion or incomprehension from the general society. Eyben (2013) notes that successful implementation of CB efforts requires strong political will, bureaucratic will and social will. For example, bureaucrats wield enormous power and always get the impression that decentralisation will diminish their bureaucratic empire and power. Accordingly, they try to oppose or quietly sabotage the process (Kauzya, 2000). Social will relates to the involvement of local

communities to understand the objectives and benefits of the capacity building programmes. Communicating externally about programme's effectiveness helps it gain greater visibility and builds support from stakeholders.

Kauzya (2016) states that, to overcome these attitudinal capacity constraints, all should be extensively involved to ensure their role in its implementation and coordination. Their involvement will also dispel their fears and threats about the policy by fathoming the benefits that will accrue to them. He asserts that the very initial CB activities for effective local governance should be geared towards creating awareness and sensitization as well as mobilisation of political and administrative powers and authorities to campaign for decentralised governance, which will lead to shared vision and co-creation of public value

Comprehensiveness of CB strategies ties in with the notion of 'customisation', meaning that CB strategies and processes need to help beneficiaries improve and should be able to continue learning once individual(s) return to their organisation. Organisations and CB facilitators should incorporate and offer follow-up activities to continue the learning while providing tools and resources (OTF, 2005; TCC Group, 2010). Haider (2008) advocates that networking with community-based organisations (CBOs), non-governmental organisations (NGOs), private firms and other local institutions to play a supportive role in the development process is a necessary capacity needed at the local authority. Learning occurs once an individual acquires knowledge and experience.

Fowler et al (2007) and Kobusingye & Omvia(2015) suggest human, physical and finance as the resources that hinder the implementation of CB

initiatives. Human resource includes the availability of staff with the requisite knowledge, skills, and abilities (KSAs) to develop CB interventions is essential for successful implementation (USGAO, 1997; Itell, 1998). Mascarenhas (1996) found that one of the major barriers to the execution of development interventions is lack of experience and expertise. In another development, Mayne (2007) found that lack of technical capacity, knowledge of the concepts, and resistance to change were some of the common challenges during the implementation process. Like natural resources, time, money, and human capital are usually scarce or difficult resources to access (Fleming et al 2001).

Physical resources include adequate building space, facilities, needed equipment and materials. In addition, information (technical, social, political) for the programme performance should be available (Fowler et al, 2007). Financial resources are arguably the most central aspect of the organisation's resource pool because they can affect the recruitment of human resources and the acquisition of physical resources.

The United Nations Joint Inspection Unit (UNJIU) in 2004 reported that harnessing the organisation's resources to achieve its desired objectives, and demonstrating the linkage between resources and results is essential for an effective CB programme. Similarly, Newcomer and Wright (as cited in Gwata, 2013) affirm that a study in the USA suggests that when top management commit to resources, including their time and efforts devoted to the design and implementation of a feasible results agenda, staff are motivated, which in turn minimizes implementation risks.

Consequences of the success drivers in the capacity building approach

From the discourse, participation, time, leadership support, willingness and readiness, CB strategies, and resources (i.e. human, physical, and financial resources) have been emphasised through the institutionalisation and implementation of CB for its effectiveness. Participatory practices balance the involvement of managers and their subordinates in information processing, decision making and problem solving endeavours (UNDP, 2009). Thus, researchers opine that these success drivers in the CB process are useful in enhancing learning and empowerment (Noe, 2010; UNDP, 2009), leading to CB effectiveness.

The importance of participation in CB process cannot be underestimated. Ownership is seen as one of the consequences in building organisational effectiveness (Kobusingye, 2015; OECD, 2006; UNDG, 2011). The EU (2011) point out that participation in the design process leads to customisation of programmes that will help beneficiaries to own as well as empower them in greater understanding. Mutually defined and agreed upon results may enhance role players' sense of ownership and their consequent commitment for results (UWCA, 2011). Raymond (2010) assert that CB will be successful if the motivation to do so is present.

Moreover, participation of staff members may promote the quality and sustainability of a programme and its effectiveness. It is also a main aspect of accountability in implementing a particular programme (Pazvakavambwa, 2014). The ongoing dialogue helps to establish both upward, horizontal, and downward accountability as to who does what, who ensures what is to be done, and what the

consequences will be if it is not done, thereby promoting communication, feed-forwarding and feedback (Steffensen, 2010). For example, Meier (2003) and CIDA (2000) submit that involvement of stakeholders for clear identification of expected results brings about transparency.

Development cooperation and researchers affirm that when CB is built from within, it leads to success and sustainability (DFID 2003; Jacobs 1998; OECD 2001; 2006: World Bank 2005). Levinger (2011) notes that CB is not so much about achieving the results; it is about the journey, the process, and ownership of the process. Closely tied to the ownership is the commitment of all involved stakeholders (DFID 2003).

Another rationale for participation in achieving results is organisational learning (Meier, 2003). Learning occurs once an individual acquires knowledge and experience. Participation improves organisational learning by providing performance information to decision-makers through assessment, performance evaluation and monitoring. This offers the necessary opportunities at individual, group and system level to adapt the organisation continuously to satisfy its role players (UWCA 2008).

Otibine (2016) alludes that CB strategies help beneficiaries to learn. According to Carman et al (2014), CB strategies that help people to learn by 'doing' helps them gain experience and empowers them to direct the course of their own development to improve the provision and distribution of public facilities. In addition, participating fully in the assessment process maximises the force of learning in organisations by asking questions that affirm the past, build on the

present, and inspire hope for what might be (Carman et al, 2014). The commitment of an individual to the process of learning is what defines personal mastery (Otibine, 2016).

Empowerment stems from effective participation (EU, 2012). The theory of empowerment explains the process by which the local people gain power to influence decision-making. Empowerment is 'the creation of sustainable structures, processes, and mechanisms over which local communities have an increased degree of control, and from which they have a measurable impact on public and social policies affecting these communities (The Royal Society of Edinburgh (RSE, 2014). Binnendijk (2000), UNDG (2011) and Zimmerman (2000) are certain that without CB interventions being participatory, empowering partnerships for which those involved feel a greater degree of ownership, intended results cannot be achieved.

The purpose of empowerment at the community level is to enable communities to determine the outcomes they want to achieve, and to initiate the action needed to bring these outcomes about (Zimmerman, 2012). Zimmerman points out that an employee with access to information, support, resources, and opportunity for advancement increases perceptions of empowerment.

It could be argued that in organisations, empowerment will also be achieved in the CB process when employees participate in the assessment and design of CB programmes to help bring the desired outcomes, when leaders are supportive and willing to help actors, and when human resources with expertise, as well as physical and financial resources are adequate. This means beneficiaries to CB should be

involved in the process to have access to information, receive support, resources, and opportunity for advancement to enable them to be confident, resilient, energetic and independent in addressing challenges affecting them. According to Locke and Latham (2006), employees empowered with authority to make decisions are most likely to meet or exceed performance goals and solve problems related to the results for which they are accountable.

Similarly, Hur (2006) avers that empowerment processes should develop a sense of responsibility, commitment, and ability to care for collective survival, as well as skills in problem solving, and political efficacy to influence changes in environments relevant to their quality of life. In addition, empowered staff have confidence, room for creativity and ability to maintain and enhance the overall performance of the organisation (RSE, 2014). In addition, staff knowledge is key in cementing the capability of employees to make distinctions in the execution of their responsibilities in different contexts through a set of attributes and skills attained over time. Empowerment is to enable the disempowered groups to gain some level of control over the pace of their own development (EU, 2004). This implies that the empowered groups should be able to influence decisions over the provision and distribution of development facilities that interests them across space.

Challenges in the Capacity Building Process

From the literature, several challenges to CB activities targeted at building organisational effectiveness are raised. Fowler et al (2007) submit that lack of organisational competencies, such as identity, mission, vision, systems, and

structures do not enable people to focus and work together. Low quality and reliable resources with conditions attached to them hinder organisations to achieve best practices (Kobusingye, 2015). In addition, resistance to change has been found by a number of studies. Researchers recommend involvement of stakeholders in the CB process to be motivated and own the CB programme. (Noe, 2008; 2010; UNDP, 2008; UNDG, 2011; Werner & DeSimone, 2008; DeSimone & Wener, 2012).

Similarly, the UWCA (2011) presents challenges that stem from lack of clear understanding around CB, little attention or effort to the framing of CB initiatives, lack of appropriate support for effective activities, and mixed evidence supporting CB outcomes (UWCA, 2011). They recommend that first, organisations should adopt a shared definition of CB that support their strategies. This will make stakeholders be clear at the outset about the purpose and goals for CB. Second, organisations should develop a CB framework in its initial stages. Such a framework should incorporate the approaches and processes to be used to avoid duplication of efforts. The third is for organisations to invest in appropriate support for CB and also assess the quality of the support being received. Forth, organisations should assess its readiness to undertake CB activities and ensure that CB efforts are evaluated. The evaluation results will support them to learn around CB activities, support the overall organisational effectiveness and its sustainability.

Models for Measuring Capacity Building for Organisational Effectiveness

Researchers have formed six evaluation categories, which "constitute a set of main variables which evaluators are commonly expected to address, and have

been used by development cooperation's such as UNDP and OECD. These evaluation categories are efficiency, effectiveness, impacts, relevance, sustainability, and replicability (OECD, 2009).

Efficiency is the link between inputs and outputs. It establishes "the amount of outputs created and their quality in relation to the resources invested. Effectiveness is the link between targets and the output, or impact of the CB project. It "expresses to what extent the planned outputs, expected effects and intended impacts are being or have been produced or achieved". Impacts are the "longer-term, largely indirect, consequence of the programme or project for the intended beneficiaries and any other people". Relevance establishes to what extent the project has addressed the right priorities and deals with the question whether the resources "might have been used with greater advantage for some alternative development measures". Sustainability is the core of a CB project. It evaluates whether the positive changes induced by the project is sustained by the organisation after the project has been terminated; and finally, replicability. Replicability is where the project is evaluated to find out the feasibility of repeating the project or parts of it for later use in another context, organisation or CB project (OECD, 2010).

This thesis assesses the effectiveness of the CB activities by investigating the relation between plans for the project that have been made and the impact that resulted from the CB project. By assessing the effectiveness, I investigate to what extent the planned development of the core skills and functions has been achieved.

A plethora of effectiveness models or metaphors exist that different groups of evaluators tend to endorse. The multiplicity of these models can be explained by

132

the nature of the construct of effectiveness and how various authors conceptualise effectiveness. The UNDP (2010) contends that measuring the success of CB cannot be reduced to an increase in input resources such as human, financial, or physical resources, because these inputs do not necessarily guarantee their contribution to development strategies. For example, the UNDP uses a "common sense" approach. To them, one can sense that capacity has been developed by asking questions such as: "how does it sound, look, or feel like? However, using the common-sense approach will be anecdotal evidence and analysing through appropriate research methodologies will be difficult.

Hence, in this research, three effectiveness models are discussed. These are Goal Model (Etzioni, 1960), Strategic-Constituencies Model (Goodman et. al., 1977), and Systems Model (Yuchtman & Seashore (1967).

Goal model

The oldest approach of measuring effectiveness is the goal approach. Developed by Etzioni (1960), the assumption relies on a vision of the organisation as a rational set of arrangements oriented toward the achievement of goals. Using the goal model, effectiveness is measured in terms of outcomes, that is, whether goals, objectives, or targets have been met. The focus of the goal model is on the ends, and not the means. However, critics argue that there are different dimensions of goals. Perrow (1970) identified five categories of goals: societal goals (how organisations satisfies the goals of a society), output goals (the type of output that is defined by the function of the organisation), system goals (functioning of the

133

organisation independent of its products), product goals (characteristics of the products), and derived goals (like community services).

Studies have shown that goal displacement is very common when the focus of effectiveness is on goals. Organisations divert their energies away from stated goals when the means to an end is being treated as the end itself. Besides, goal preferences vary amongst organisations and therefore, what is preferred by organisation 'A' will be different from organisation 'B'. For example, Padovani and Young (2012) view goal as a role of the internal function, dynamics and values of any given organisation, where each organisation runs its affairs in such a way it believes will lead to effectiveness.

Strategic-constituencies model

The strategic-constituencies model perceives organisation as a set of internal and external constituencies that negotiate a complex set of constraints, goals, and referents (Goodman et. al., 1977). The model expresses effectiveness as the need for both internal and external stakeholders, such as employees, suppliers, customers, government, and interest groups to be satisfied. Adopting the stakeholder approach, Zamuto (1984) defines organisational effectiveness as human judgments about the desirability of the outcomes of organisational performance from the vantage position of the varied constituencies directly and indirectly affected by the organisation.

But the question is, there are several stakeholders with diverse interests and power. As Hall (1991) argues, effectiveness is in the eyes and minds of the

beholder, but some beholders are more powerful than others. As such, it is difficult and even doubtful how to ascertain consensus satisfaction. Oghojafor et al. (2012) submit that as stakeholders change over time, the preferences of stakeholders change and the society itself also changes.

Systems model

The systems model of effectiveness developed by Yuchtman and Seashore (1967) sees organisation as an open system that engages in continuous exchanges and feedback with the external environment. The model emphasises the means needed for the achievement of specific ends in terms of inputs, acquisition of resources, and processes. Using the systems model, the survival of an organisation depends on its ability to attract or acquire the appropriate inputs, with the outputs valued and accepted by the external environment. This means that the focus of managerial attention is on the input-process-output cycle (Ivancevich & Matesson, 2002). Kauzya (2016) and Oghojafor et al (2012) suggest a holistic approach to assessing the approaches, strategies, and success drivers of CB, such that the ultimate results would be achieved. This study adopts the systems model to assess the effectiveness of the CB activities.

Empirical Review

The discourse so far has been on CB for organisational development (in this context, the decentralised local government system). This section presents case studies and research works on varied areas on CB. Chapagain (2004) conducted a

135

case study on human resource capacity building through appreciative inquiry approach in achieving developmental goals. The study concentrated on organised non-governmental development organisations involved in integrated community development sector in different parts of Nepal. The study covered 111 interviewees comprising academics and free-lancing professionals basically from non-governmental community development sectors of Nepal.

Qualitative research design was employed to collect data from the cases. The study found that any approach to capacity building by itself is not an end in itself unless a person internalises it appreciatively or positively, or follows thoroughly by 'valuing it', 'knowing it', 'internalising' and 'acting on it'. He concluded that one can contribute more in building human resource capacities as well as attaining developmental goals if pursued through appreciative spirit.

Freeman (2010) conducted a case study in Uganda using Christian Outreach Relief and Development (CORD), a non-governmental organisation. Following a country assessment, CORD partnered KITWOBEE, a local CBO in Northern Uganda in the rehabilitation phase to develop the capacity. Using qualitative research design, she found among others that, many of the difficulties that come with capacity development were balancing power and dealing with vested interests, time and money as big obstacles. Freeman recommends that CORD should re-visit the motivations and incentives for both parties in the partnership, particularly with regards to the changes in leadership to discuss relationships moving forward. In addition, the parties should produce a CD Memorandum of Understanding (MOU)

to ensure both parties are clear of their expectations going forward, and to avoid further misunderstood intentions.

In a study conducted by TCC Group (2010) of more than 260 non-profits in the Los Angeles area, most respondents reported low level of satisfaction with the CB services they had received, and only one in three would refer their consultant to someone else. The group recommended that capacity builders need to have the right mix between enough field expertise, for example, knowledge of the LG sector and its challenges; and content expertise; example, workshops that are more tailored and targeted, greater in frequency and aimed at different levels of proficiencies and offering implementation support, such as on-going technical assistance and check-ins.

Rugumamu (2011) studied the importance of capacity development in conflict and fragile contexts in Africa; findings point to the poor results in capacity development efforts in such areas. Such initiatives in Africa have been seen as generally imposed on the beneficiary nations and populations by the donor community and lacking in locally driven need for capacity building. The absence of home-grown capability driven initiatives limits the sustainability of such opportunities. Leidel et al (2012) studied capacity development in water resource management in Ukraine. The study proposed the use of stakeholder engagement for well-tailored capacity development interventions.

Savitry (2013) investigated capacity building funds incorporated in PBGS in LGs in Uganda and Tanzania. Her prior assessments showed that some of the districts which had benefited from intensive CB funded through bilateral

programmes performed no better in core areas such as planning, budgeting and financial management than districts that had not been provided with such support. She concluded that holistic approach to capacity building should be in place to ensure learning in the institutions.

Ojokuku and Adegbite (2014) assessed the effect of capacity building and manpower development activities on the staff performance in selected business organisations in Nigeria. Data was gathered from 128 managers of randomly selected firms in south western Nigeria, with the aid of a questionnaire, while descriptive and inferential statistical tools were applied for data analysis. Findings revealed a significant positive relationship between capacity building and staff performance in the selected organisations. It was concluded that capacity building and manpower development activities result in new knowledge, skills and management capabilities, and should therefore be the focus of greater attention and efforts by organisations.

Kobusingye (2015) and Kobusingye and Omvia (2015) examined factors influencing the implementation of capacity building initiatives in national information technology authority in Uganda. A descriptive survey research design was adopted. Both qualitative and quantitative methods were used to collect data on a population of 63 members including directors, managers, specialists, support staff, and officers' specialists using questionnaire and interview guide. The results show that it is important that the organisational culture is developed to support continuous improvement in employee's performance so that employees are able to identify with the values, norms and artifacts of the organisation. Human, financial,

and time resources were found to influence not only the types of approaches that can be taken but also the indicators of success that are likely to be achieved.

Coffey (2015) examined the concept of capacity development through international projects. The study focused on the use of results based management (RBM) by donors alongside well-tailored monitoring and evaluation tools (including logical framework analysis, logic models and results frameworks). The study deduced that donor agencies relied upon such tools to generate the evidence base for measuring "success" across the spectrum of their work, although projects differed enormously in their nature, scope and time-span.

Saha and Saha (2015) studied twinning strategy as a mechanism for sustainable organisational learning and enhancing research performance under globalized conditions. The study was principally based on a combination of both empirical evidence and inductive reasoning. Empirical argument depicts method of gaining the knowledge, whereas, the inductive argument shows some degree of support in the form of probabilistic reasoning and the origin of most scientific theories. The study indicated that twinning is the unique method for sustaining organisational learning and capacity building. It also shows how the distinctive features of twinning strategy can be the key of institutional development.

Vallejo and When (2016), evaluated capacity development by identifying and analysing the various approaches put forward over time. The study outlines the processes and challenges of CD when the pre-defined indicators are not captured in the preparation stage. The study indicates that CD strategy ought to consider the

139

programme, human resources, beneficiary population, other stakeholders and the operational context and a tailor-made approach to capacity development.

Otibine (2016) researched on the effects of capacity development strategies on performance of the Department for International Development (DFID) in Kenya. The specific objectives were to identify the capacity development strategies employed by DFID in Kenya and the effects of these strategies on the overall performance of the organisation. The study adopted a case study design approach Interview guide was used to conduct both face-to-face and telephone interviews to collect data. The target interviewees were composed of the members of the DFID Kenya Leadership Team (which comprises of the director, deputy director, section heads), human resource and finance officers. The findings established that DFID capacity development strategies included effective financial management, human resource development and information management, communication and technology as well as continuous automation of systems. These capacity development strategies contributed to the timely fund flows to project beneficiaries, accurate financial forecasting, effective programme management and enhanced relationships between employer and employees as well as with project implementation partners and stakeholders affiliated to DFID operations in Kenya.

Conceptual Framework

Conceptual framework expresses explicitly the relevant relationships between a set of concepts, interrelated ideas, and variables derived from the review of theories and empirical evidences. This relationship is depicted by means of the

linking phrases forming propositions (Novak, 1998). It is the spatial representations of concepts and their interrelationships that are intended to represent the knowledge structures that humans store in their minds (McAleese (1999; Novak & Cañas, 2006). The rationale for incorporating conceptual framework is to help organise information to make meaningful connections between ideas and concepts in order to address the identified research niche. The framework for the study is informed by decentralisation, systems, human capital development, dynamic capabilities, knowledge-based theories, and the integrated learning model. Others are optimal capacity and capacity threshold and capacity sequencing theories, and the associated concepts of institutional capacity and capacity building.

The dependent variable is the outcome of the CB approach, i.e. improved capacities and structures and effectiveness of local government officials. For an organisation to set the basis for capacity building, it is important to know the responsibilities of the officials in that institution before any capacity building strategies could be put in place. Hence, at the extreme left side of the framework dubbed local government officials' responsibilities is informed by the decentralisation theory. A review of the theory and related concepts showed a myriad of structures, resources, and responsibilities that officials need to undertake for decentralisation to be effective (Ahwoi, 2010).

Based on the systems and dynamic capabilities theories, there exist a plethora of capacities within institutions that need be built for effectiveness. These capacities were informed by framework developed by Connelly and York (as cited in UWCA, 2011) and include leadership, management, human resource

management, financial resource management, technical and technology capacity, and adaptive capacity. Legal framework capacity is also informed by the decentralisation theory and the attendant Local Government Act 2016, Act 936 and other Legislative Instruments. In MMDAs, lack of any of the capacities will have negative implication in the delivery of governance and local level development. As such, the need to adopt systemic capacity building approach within the institution as dubbed "capacity building process" in the mid-point of the framework. The process is informed by the optimal capacity, capacity threshold and capacity sequencing theories.

The initial stage relates to the identification of development objective, where the various stakeholders, i.e., MLGRD, NGOs, CBOs, leadership of the Assembly, Assembly Members, staff, etc. identify a problem and the need for interventions, depending on their interests and how those interests could be improved to affect a desired change (UNDP, 2009). Capacity is not developed in a vacuum, it needs to bridge a gap between expected and desired mandate, as noted by Babu and Sengupta (2006).

At stage two, assessment of needs and assets by actors is done to ensure that the gap between the existing and the threshold needed to deliver their development mandate is known for them to establish strategies needed to fill the gap. Thus, assessment should cover both tangibles and intangibles, as opine by Langaas et al (2009). Assessment of tangibles and intangibles will show the type of strategy to pursue, i.e. whether training or other institutional facility is important (DeSimone & Werner, 2012).

Stage three is the design of programmes, and should be related to the gaps identified during the needs assessment. Strategies should be related to the key responsibilities, be customised, comprehensive, and with indicators to monitor during the implementation stage; the methods used in training should be those that help in learning. The strategies and objectives to be achieved should be sequenced to avoid duplication of training efforts. There should be a plan or matrix to guide implementation.

Implementation and monitoring of capacity building programmes is the fourth stage. The stage is guided by the lesson plan developed at the design stage as a guide. Monitoring existing capacity and reorganizing its effective use based on various roles individuals play in the development process is essential. Such monitoring will also be useful in the evaluation of capacity's impact on translation of development goals into development outcomes (Babu & Sengupta, 2006). Finally, the adoption of a criteria to evaluate the programmes. Kirk Patrick's evaluation criteria include learning, results, behaviour, and reaction. Evaluation will then help to give feedback to ascertain whether the development objective is achieved or otherwise. The feedback makes the process iterative and not linear in nature.

The intervening or mediating factors that help in creating new capacity and eventual organisational effectiveness throughout the process includes participation in the process (Cooperrider, 1997; Noe, 2010); leadership support, time, financial resources, human expertise, and physical resources, as well as willingness of political and bureaucratic leaders, These success drivers and the factors in the

143

process should lead to empowerment of local government officials, learning organisation, ownership of capacity building programmes, and eventually, effectiveness of local government officials. The conceptual framework is depicted as Figure 8.

Summary

The literature review has revealed that for capacity building to be effective, it is necessary to involve stakeholders in the identification of objective, assessment of needs, design of training programmes so that individuals will own, be committed, and learn for the sustainability of the programmes. It has also provided the basis for understanding the conceptual, theoretical and empirical gaps regarding how to approach capacity building for effectiveness.
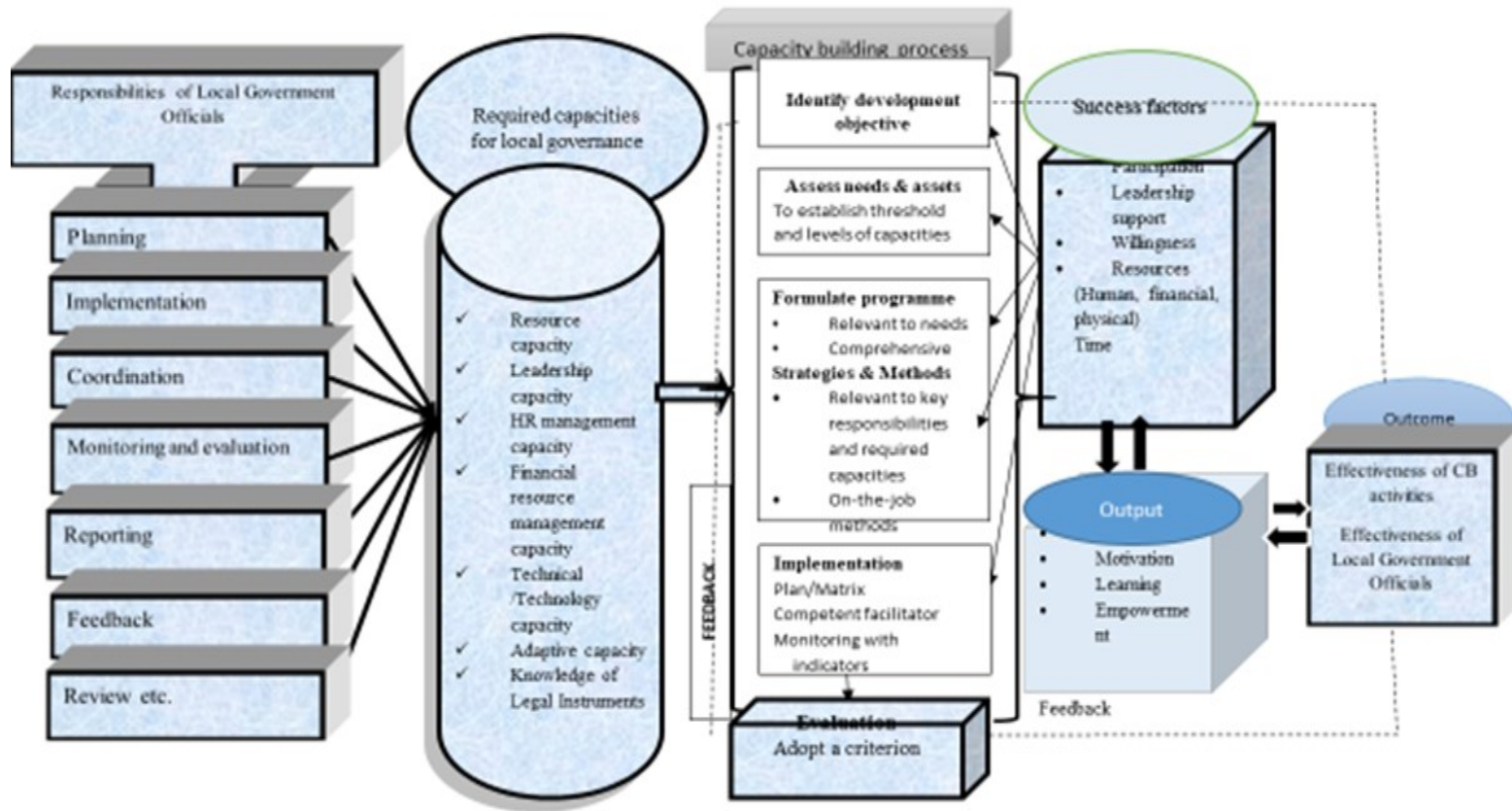
Figure 8: Systemic Capacity Building Framework

Source: Adapted from Connelly and York (2003); DeSimone and Werner (2012); Noe (2010); Wholey and Hatry (1994)

CHAPTER SIX

RESEARCH METHODS

Introduction

The focus of this chapter was to discuss the methods adopted to conduct this research. The researcher began this chapter by presenting the research setting and explaining the research design. The study population, the sampling procedures and instrument design were then explained. Furthermore, the organisation of the data was explained, particularly, the data collection methods, analysis, and the standards of quality issues (i.e., internal validity, external validity, and reliability issues). The chapter concluded with the pre-testing, ethical considerations, field work, problems encountered, as well as data processing and analysis procedures.

Study Region

The Central Region of Ghana was selected for the study based on the 2009 – 2014 FOAT results and the 2014 – 2017 (MLGRD, UNICEF Ghana, & CDD) report in the region. The region was also of interest because it is considered the heartbeat of Ghana tourism based on its wealth of beaches, forts and castles and festivals, as well as high concentration of educational institutions. Furthermore, as the first capital of Ghana, it is deeply rooted in the decentralised system of local government (Ahwoi, 2010). These potentials notwithstanding, statistics show that the region still remains the fourth poorest region. Central region is one of the ten

146

administrative regions of Ghana and constitutes 4.19 percent of the nation's land area. The Central Region in national context is shown in Figure 9.

It is bordered by Kumasi (Ashanti region) and Koforidua (Eastern region) to the north, Sekondi-Takoradi (Western region) to the west, Greater Accra region to the east, and to the south by the Gulf of Guinea. The total population as presented in the 2010 population and housing census was 2.107 million, representing 8.7 percent of Ghana's population (Ghana Statistical Service (GSS, 2014).

The region is renowned for its many elite higher education institutions. A report by the Central Regional Coordinating Council (CRCC, 2009) indicates that as at 2007, the region recorded 1,625 pre-schools, 1,712 primary, and 1,254 junior high and 72 senior high schools. Others are three colleges of education, one nursing college, two technical institutes, two public universities, and one technical university. In addition, the region recorded 128 health facilities which comprise 17 hospitals, 54 clinics, and 57 health centers/health posts. The region's economy is dominated by services, agriculture and its manufacturing enterprises, which are mainly agro-based. Other economic activities include fishing, and extractive industries such as timber logging, mining and quarrying. The region has 20 MMDAs comprising one Metropolitan, seven Municipal, and 12 District Assemblies.
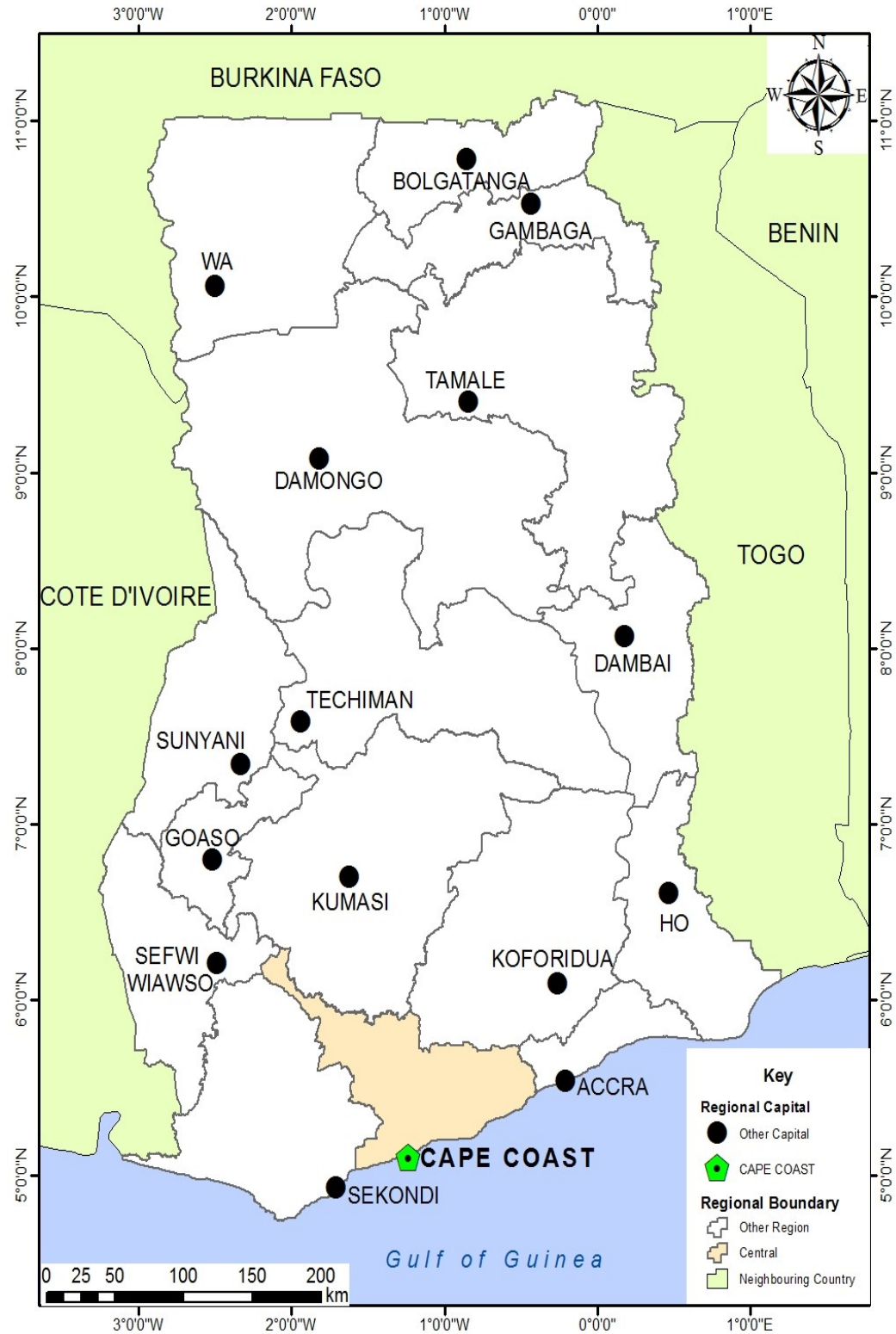
Figure 9: Central Region in National Context

Source: Department of Geography and Regional Planning (2019)

148

Study Areas

Three study areas, namely Cape Coast Metropolitan Assembly (CCMA), Komenda-Edina-Eguafo-Abrem Municipal Assembly (KEEMA) Abura-Asebu-Kwamankese (AAK) District Assembly formed the study areas. Figure 10 represents the region with the study areas.
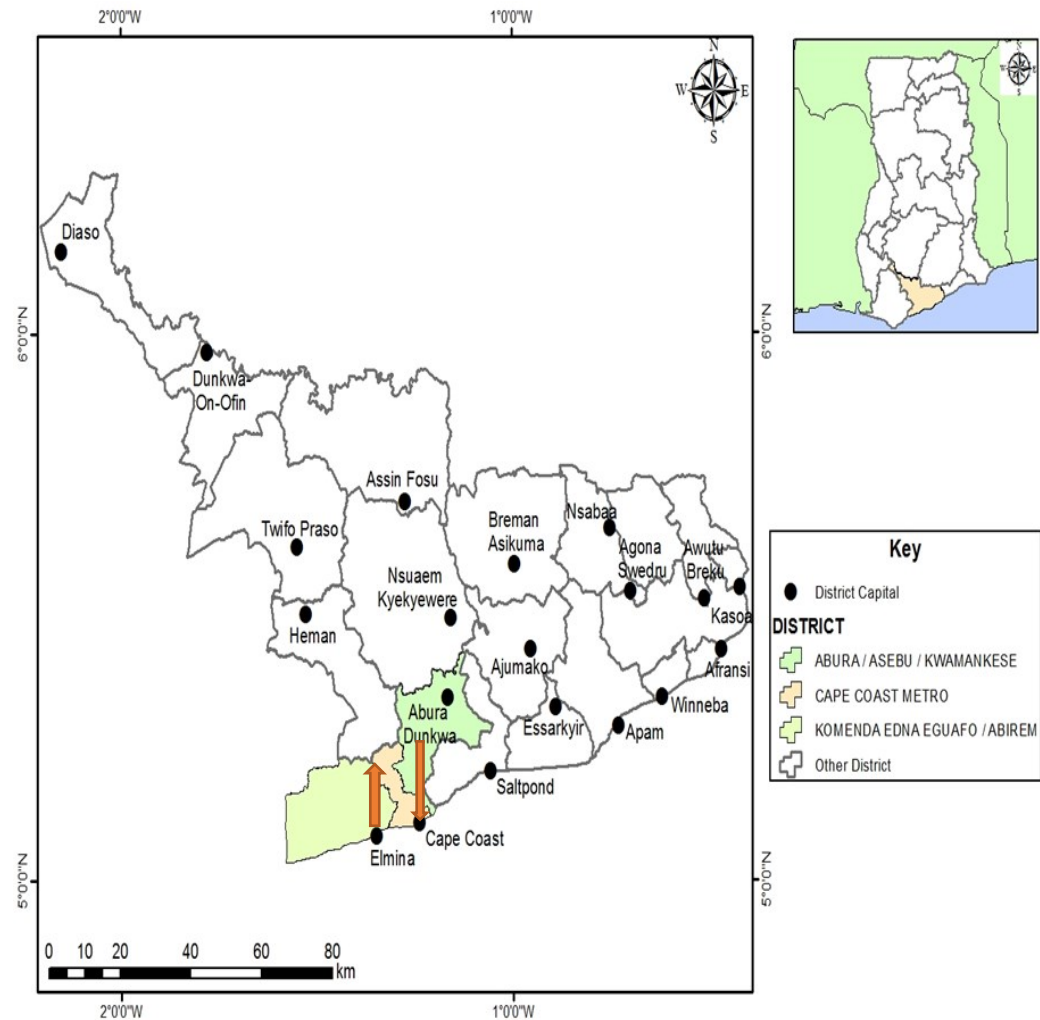
Figure 10: Central Region with the Study Areas

Source: Department of Geography and Regional Planning (2019)

149

Characteristics of the study areas

The characteristics of the study areas are discussed in detail in the following section. The discussion is based on the location, size and population, structure, economic activities, as well as socio-economic infrastructure of the selected Assemblies.

Cape Coast Metropolitan Assembly (CCMA)

The Cape Coast Metropolitan Assembly (CCMA) is bounded to the north by the Twifu-Heman-Lower Denkyira District, south by the Gulf of Guinea, west by the KEEA, and east by the Abura-Asebu-Kwamankese District. Cape Coast is the central regional capital and is noted for its historical sites, with its potential for tourism development. According to the Ghana Statistical Service (GSS, 2014) report, the population of CCMA was 190,180 in 2010, which was made up of 93,619 females (51.26%) and 89,017 males (48.74%). About 65 percent of the population was engaged in agriculture, 33.1 percent in government employment; while 7.4 percent were self-employed.

Structurally, CCMA is the highest political and administrative authority in the region. The Assembly has 60 members, made up of 42 elected and 18 appointed members, including the Member of Parliament who has no voting right. The Central Regional departments and organisations responsible to the Regional Coordinating Council are accommodated in the Metropolis. In addition, there are 16 departments, two Sub-Metropolitan Assemblies, seven Town Councils and 87 Unit Committees. Per the CCMA (2010) report, the sub-district structures are yet to be fully

established. The main economic activities are farming and fishing. Food crops such as cassava, maize, and plantain; as well as cash crops such as citrus and coconut are produced in the Metropolis. Others are vegetables and livestock that are produced in commercial quantities.

The Metropolis is endowed with a good number of health facilities. There is one Regional Teaching hospital, one Metropolitan hospital, the University of Cape Coast hospital, and seven others. There are 11 private clinics and one maternity home. There are numerous trained Traditional Birth Attendants, and three Community Health Planning Services (CHIPS) Compounds, with other two under construction (CCMA, 2016). There are 120 public and private pre-schools, 113 primary, 94 junior high schools, 15 senior high schools, eight technical/vocational schools, two special schools and three tertiary institutions (CCMA Composite Budget, 2016). Over 90 percent of the communities have access to educational facilities. All communities also are served with pipe-borne water.

Komenda-Edina-Eguafo-Abrem Municipal Assembly

The Komenda-Edina-Eguafo-Abrem Municipal Assembly (KEEAMA) was carved out of the Cape Coast Municipal Council in 1988. KEEAMA is bounded on the south by the Atlantic Ocean (Gulf of Guinea), to the east by the Cape Coast Municipality, the north by the Twifo-Hemang-Lower Denkyira district and the west by the Mpohor-Wassa East district in the Western Region. The administrative capital is Elmina (Edina) (GSS, 2014). The population of KEEAMA, according to the 2010 Population and Housing Census, as reported by the GSS was 144,705 in

2010 representing 6.6 percent of the region's total population. Out of this population, 6.3 percent were persons with disability, mostly living in the rural localities. The KEEAMA had the highest population of persons with disability in the central region (GSS, 2014).

Structurally, KEEAMA has 55 Assembly Members, made up of 37 elected and 16 appointed members, as well as one Member of Parliament, who is co-opted. It is divided into six zonal councils (Elmina, Komenda, Eguafo, Ntranoa, Ayensudo, and Kissi) with 54 electoral areas. There are 15 decentralised departments and 14 agencies/commissions/service units (KEEA Municipal Assembly, 2016). The main economic activities of the KEEA municipality are fishing, farming, salt winning, and forestry. There are several small-scale enterprises located throughout the Municipality, which include canoe and boat building and repair, oil extraction, garages, services such as tailoring and dressmaking, barbering and hairdressing. In addition, alcohol distillation, bricks and tiles making and sawmills can be found in several locations. About 21 percent were engaged in service and sales; 18.0 percent in craft and related trades, 1.3 percent in technician and related associate professionals, and 6.7 percent in managerial and professionals. Tourism can also be seen as a major potential booming sector.

In KEEA, about 82.5 percent of the population had access to potable water; while 75.9 percent had access to electricity (GSS, 2014). It has one urban clinic, 1 psychiatric hospital, 2 health posts, 2 private maternity homes, and 2 CHIPS Compounds. There are 158 public and private basic schools, five senior high and

vocational schools, one psychiatric nursing training college, one private polytechnic and one college of education (KEEA Education Office, 2017).

Abura-Asebu-Kwamankese District

The Abura-Asebu-Kwamankese District (AAKD) is one of the 20 political districts in the Central Region. It was carved out of the erstwhile Mfantsiman District Council in 1988 and was established by Legislative Instrument, L.I.1381 with Abura Dunkwa as the capital. It is bounded on the North, by Assin South District, on the East by Mfantsiman Municipal, on the South-East by a 5km stretch of the Gulf of Guinea, on the South by Cape Coast Metropolitan and on the West by Twifo-Heman-Lower Denkyira District. The population of Abura Asebu Kwamankese District, according to the 2010 Population and Housing Census, was 117,185 in 2010 representing 5.3 percent of the region's total population.

Politically, Abura-Asebu-Kwamankese District Assembly had one constituency, eight Area Councils, 31 electoral areas (18 in Abura traditional council, 10 in Asebu traditional council and 3 in Kwamankese traditional council) and 92 Unit Committees. The administrative structure of the assembly is made up of 44 members, with 31 elected and 13 appointed. There is also the Member of Parliament who is an Ex-Officio Member (AAK Desk Report, 2017).

The people of Abura-Asebu-Kwamankese District are mainly farmers with some of the population engaged in trading. Maize is the most common agricultural product found in the District together with, cassava, pepper, pineapple, watermelon, sweet potatoes, plantain, yam, cocoyam, okra, tomatoes and others. The men also

earn their living through fishing. Majority of the dwellers in AAK use electricity (65.7%), followed by kerosene (26.0%). The main source of drinking water in AAK district is bore-hole/tube accounting for 32.2 percent; while 25.6 percent use public tap/standpipe and 22.7 percent use pipe-borne water outside their dwelling. Only 4.8 percent of households use pipe-borne water inside their dwelling as main source for drinking.

Research Design

The study adopted a cross sectional and descriptive study design. A cross sectional study design is used when a researcher intends to collect data on a particular phenomenon at a point in time without tracking changes in the research subjects over some time. This design was used because data for the study were gathered at a single point in time. Descriptive study design is used to obtain information concerning the current status of a phenomenon and to describe "what exist" with respect to variables or conditions in a situation (Patton, 2011).

Key (1997) notes that methods involved in a descriptive study design range from the survey which describes the status quo, the correlation study which investigates the relationship between variables, and developmental studies which seek to determine changes over time. This study sought to assess the approaches and processes employed in the design, implementation and evaluation of capacity building programmes. Thus, the study required a participatory approach for better data, better understanding of the data, more appropriate recommendations, and

154

better uptake of findings, as Gujit (2014) suggests. This means gathering data through documents, and survey from different stakeholders to ascertain their views.

Philosophical Underpinning of the Study

Benton and Craib (2001) assert that a researcher must be guided by a philosophy and paradigm that underpin the piece of research. There are two philosophical assumptions – ontological assumptions that relates to the nature of reality, and epistemological assumptions that relates to the nature of knowledge (Burrell & Morgan, as cited in Jui, 2010; Gwata, 2013). These notions provide the foundations for research and guide social scientists towards adopting appropriate strategies and methods to conduct research (Benton & Craib, 2001).

Ontological notion

According to Willis (2007), ontology is concerned with the nature of reality where different positions reflect different perceptions of the "characteristics of existences". The central point of ontological debate is whether to view the social world as objective entities that have a reality external to social actors; or whether they should be considered as social constructions built up from the perceptions and actions of social actors. Saunders, Lewis and Thornhill (2003) referred to these two positions as objectivism and subjectivism. Objectivism considers the social world as a tangible, objective reality which exists as strongly as the physical world and external facts to individuals' perceptions. On the other hand, subjectivists have an opposite view to social world, they stress that individual perceptions create reality

and social world constitute only names, concepts and labels in our mind, to help us to understand how individuals construct reality.

Epistemological notion

Epistemological assumptions, on the other hand, is concerned with the nature of knowledge, and decipher whether knowledge is hard, real, and in a general form; or it is soft, subjective, and generated from unique individual experience (Saunders, et al 2003). The essential issue of epistemology in social research is whether the social world can be studied according to the principle of natural science (Bryman & Bell, 2007). There are two epistemological debates – positivism and interpretivism.

Positivism is based on a more objective ontology which treat reality as objective and external to the researcher's perception. According to the positivists, reality is stable and can be observed and described from an objective point of view without any interference on the phenomena being studied (Lewin, as cited in Gwata, 2013). The philosophy is that the phenomena under study should be isolated with observations repeatable. Positivists argue that there is one objective reality, as such, a valid research can only be demonstrated by the degree of proof that can correspond to the phenomena presented by that study

Conversely, interpretivism is based on the assumption that the social world cannot be understood as objective (subjective ontology) and views the social world as constructed by individuals' cognition (Jui, 2010). Interpretivists contend that reality can be fully understood only through the subjective interpretation and

156

intervention. They argue that scientific methods are inappropriate for the study of human beings who think and reflect, unlike objects in the natural world.

Research Paradigm

According to Wholey, Hatry and Newcomer (2010), in terms of research paradigms in evaluation, both quantitative and qualitative approaches are common. These two approaches differ in terms of their epistemological and ontological foundations that have informed the design of research projects (Babbie, 2005). Quantitative methodology is based on positivism, and emphasises quantification in data collection and analysis of those data; or numerical representation and manipulation of observation for the purpose of describing and explaining the phenomenon that those observations reflect. Quantitative research design is formed by the positivist philosophy, which makes knowledge claims on the basis of careful observation and measurement of the objective reality that exists in the world (Jui, 2010).

By contrast, qualitative methodology is based on interpretivism, and focuses on words rather than quantification in data collection and analysis. Qualitative approach is based on social constructivism and stress the subjective meaning that individuals attach to their experience as they seek to understand the world. This methodological approach places considerable emphasis on getting closer to one's subjects and exploring its detailed background and life history (Robson, 2002). Qualitative research approach or mindset means taking an inductive and open-ended approach in research and broadening questions as the

157

research evolves. Qualitative data are typically words or visual images whereas quantitative data are typically numbers (Babbie, 2007; Wholey et al, 2010).

Both quantitative and qualitative data have strengths and weaknesses, and the use of one type of data set is not exclusive to using the other (Patton, 2011). As Bryman and Bell (2003) note, it is not appropriate to say one is better than another, because the adoption of a methodology is influenced by the ontology, epistemology, values, theory and practical considerations. The UNDP (2011) and EC (2012) have suggested that both quantitative and qualitative methods offer a way to provide a measurement of change, as well as providing context for the change. They suggest however that, the extent to which a researcher uses more quantitative or more qualitative methods and seeks more quantitative or more qualitative data should be driven by the questions to answer and the audiences for the work. In addition, practical factors such as time constraints, access opportunities and availability of resources should also be taken into account (Wholey et al, 2010).

This research employed pragmatism paradigm. Pragmatism is a deconstructive paradigm that advocates the use of mixed methods in research, which sidesteps the contentious issues of truth and reality (Feilzer 2010). This results in triangulation, where both quantitative and qualitative data collection methods are used (Yin, 2003; 2015). Yin postulates that triangulation is the combination of methodologies in the study of the same phenomenon, on the assumption that the weaknesses of each individual method will be balanced for by the strengths of the other. Creswell (2010) contends that in a triangulation approach, the researcher tends to attribute knowledge claims to pragmatic reasons, thus,

different methods are employed to gain as much insight as possible into the issue under investigation.

Study Population

The population for the study was 594 as indicated in Table 2. The frame of the accessible population was made up of the Director, Human Resources (HR), Local Government Services, Accra; Regional Coordinator, (M&E), RCC; Metropolitan, Municipal, District Chief Executives (MMDCEs), Metropolitan, Municipal, District Planning Officers (MMDPOs), and Metropolitan, Municipal, District Coordinating Directors (MMDCDs). The rest were Assembly Members, and staff (both junior and senior).

Sample Size and Sampling Procedure

The multi-stage sampling procedure and purposive sampling techniques were used to select the respondents. According to Neuman (2006), multi-stage sampling is a process of taking samples in series of steps with the sampling portion constituting the sample units at each step being selected from a larger number of the previous step, or from a composite sample. This method is used when the population is very large and extensive. The method was adopted to ensure that the different categories of actors who have a stake in the study were adequately represented on the sample. It also facilitates comparison, ensures valid conclusions, and enable generalisations in terms of the population.

Purposive sampling on the other hand, is a non-probability sampling technique that entails a conscious decision about which elements would best provide the desired information (Saunders & Thornhill, 2003). The process involves identifying and selecting individuals or groups of individuals that are proficient and well-informed with a phenomenon of interest (Creswell & Plano Clark, 2011). The debate is that the technique is applicable to both qualitative and quantitative studies (Patton, 2002).

The multi-stage procedure

The region has 20 MMDAs comprising one Metropolitan, seven Municipal, and 12 District Assemblies. The researcher did not aim to do a comparative study but desired to have respondents from the three levels of the decentralised system. As such five multi-stage sampling procedure was used to get to the units of investigation.

The first stage involved purposive selection of the Cape Coast Metropolitan Assembly as the only metropolitan assembly in the region. In stage two, simple random sampling was used to select one district and one municipal from the categories of the Assemblies in the region. The assemblies that were selected using the simple random sampling technique were the KEEAMA and the AAKDA. In stage three, a list of all the Assembly persons (both elected and appointed) were obtained from the Heads of Human Resource (HR) department in the three Assemblies. Assembly persons from KEEA were 55, CCMA were 64, and 44 from

AAK. However, the list for Unit Committee members were not available in all the Assemblies during the reconnaissance visits because they had not been inaugurated.

In stage four, the lists of staff were received on request from the Heads of HR department. The Assemblies have two categories of staff, namely mechanised and non-mechanised. Mechanised staff are those employed by government and paid through the Controller and Accountant Generals Department. Non-mechanised staff are casual workers paid on commission basis by the Assemblies, and are mostly found in revenue, environmental health and sanitation, and metro guards departments. The researcher focused on the mechanised staff because they are permanent and always at post unlike the non-mechanised staff. CCMA has 153 mechanised staff; KEEA has 143; and AAK has 130.

In stage five, the M/M/DCEs, M/M/D/POs and M/M/D/CDs were also purposively sampled. Furthermore, the human resource development director (HRD Director) at the Local Government Service, Accra, and Regional Coordinator, M&E were also purposively sampled. These are the actors who provide policy on planning, implementation, monitoring, coordination and financial support for CB. Their selection enabled them to share their views on pertinent issues relating to the planning, implementation, monitoring, and evaluation of CB in the MMDAs.

To ensure that an adequate number of responses were received, the staff and assembly members were treated independently in order to have adequate respondents. Therefore, census was used for the assembly members. A

161

representative sample for KEEA was 103 out of 151; CCMA was 108 out of 164; and 97 out of 133 for AAK (Krejcie & Morgan (1977).

Thereafter, a quota sampling method was used to obtain representatives of the various elements of the total population in the proportion in which they occurred. In all cases, units with 1 – 5 staff population were purposively selected. In cases where the total population was higher than 5, stratified sampling was used to select sample size. For example, in CCMA, Revenue section had 16. This was divided by the total population of staff (153) and multiplied by the total sample size (108). This gave the researcher 12. The procedure was repeated in all the categories.

The total sample size for the study was 414, indicating a response rate of 92.4 percent as indicated in Table 3. Table 3 shows the population, targeted sample size, actual number of respondents and response rates, while Table 4 shows the sample size distribution.

Table 3: Population, targeted sample size, actual sample size and response rate from selected Metropolitan/Municipal/Districts Assemblies (MMDAs)

Sampling Unit	Population	Targeted Sample size	Actual sample size	Response Rate (%)
KEEA				
Core staff	143	103	91	88.3
Assembly members	55	48	42	87.5
Sub-total	198	151	133	88.0
CCMA				
Core staff	153	108	104	96.3
Assembly members	64	56	54	96.4
Sub-total	217	164	158	96.3
AAK				
Core staff	130	97	87	89.7
Assembly members	44	36	36	100.0
Sub-total	174	133	123	92.5
Total	**589**	**448**	**414**	**92.4**

Source: Field survey (2017)

Table 4: Sample size distribution of Decentralised Departments

NAME OF DEPARTMENT	CCMA Staff/SS*	KEEAMA Staff/SS	AAKDA Staff/SS
Central Administration			
HR	2	2	1
Planning	1	2	1
Records	2	2	1
Procurement	1	1	-
Stores	1	2	-
IT	1	1	3
Revenue	16/12*	15/10*	15/11*
Finance	5	5	2
Internal Audit	3	2	1
Budget	4	2	1
Administration	4	4	4
Legal	2	-	-
Waste Management	8/6*	-	-
Trade and Industry	2	1	-
Metro Guards/security	20/14*	6/4*	3
Transport	10/8*	9/6*	7/5*
Parks and Gardens	4	3	5
Urban Roads	7/4*		
Environmental Health & Sanitation	30/21*	46/33*	44/32*
Department of Agriculture	19/13*	25/18*	22/16*
Social Welfare & Community Dev.	9/6*	6/4*	11/8*
Works Department	2	9/6*	9/6
Total (Core Staff)	153/**108***	143/**103***	130/**97***
Assembly Members	56	48	36
Total sample size	**164**	**151**	**133**

Source: Field survey (2017)

*SS = Sample size

164

Data Collection Method

The survey method was used for the study. Wholey et al (2010) note that the most common qualitative data collection methods are interviews other than highly structured interviews, focus groups, and participant observation. In addition, open-ended responses to survey questions can provide qualitative data as well. On the other hand, the most common sources of quantitative data are administrative records and structured surveys. However, Adèr, Mellenbergh and Hand (2008) argued that responses are limited to the questions included in the survey and rely too much on participants' perceptions rather than reality. This notwithstanding, Shaughnessy, Zechmeister, and Zechmeister (2006) contend that the survey method help study the sample of individuals from a population with a view towards making statistical inferences about the population using the sample. In addition, the method requires less time and cost, and useful in describing the characteristics of a large population.

Research Instruments

Both primary and secondary data were relied on. The primary data were collected through self-administered questionnaires and personal interviews using interview schedules and interview guides. The questionnaires were administered to the core staff of the three selected Assemblies. Questionnaires pertaining to the questions were developed using a 4-point Likert type scale, for example, in some cases, 1 = Weak; 2 = Moderate; 3 = Strong; and 4 = Very strong; or 1 = Strongly disagree; 2 = Disagree; 3 = Agree; and 4 = Strongly agree. The reason for the 4-

point Likert scale was informed by the results from the pre-testing. Results from the pre-testing showed that majority of the respondents were choosing the mid-point scale, i.e. Neither Agree nor Disagree or Undecided. Upon interrogation, they indicated that they did that for fear of victimization, although a letter was presented indicating anonymity. Upon further discussion with supervisors and other researchers, it was agreed to use a four-point scale to elicit the right answers.

The Likert Scale method was selected because it is most popular, easy to administer and to score (Borg & Gall, 1989). According to Sarantakos (2005), each item is judged according to whether it reflects a favourable or unfavourable attitude towards the object in question. It is aimed at ensuring uniformity of measurement, thus assuring high reliability of answers to suit the pattern of response needed by the researcher (Wholey et al, 2010). In addition to the Likert scale, few items were forced choice questions allowing for responses of "yes" or "no"; and few open-ended. The questionnaire was considered to be more convenient as respondents could take it home to answer at their convenience.

The interview guides were used to collect data from the national and regional directors, DCD, and MMDPOs. The interview was important for the study because it helped the researcher to pursue a consistent line of inquiry and at the same time ask actual questions in a fluid rather than a rigid manner. The interview schedules were administered to the Assembly members. The questionnaires, interview schedules and interview guide administered to the various categories of respondents are shown in Appendices A to C.

The secondary data sources included documentary review of documents on the implementation of the FOAT, M&E framework and corporate strategy handbooks. Others were institutional reports on the DDF from the DDF Secretariat, documents and reports on CB from the MMDAs to LGS, as well as policies and procedures on governance of local governance administration. Local Government Bulletins and Journals, Acts, laws, guidelines, MMDAs' development and budget plans, empirical studies, reviews and publications on the decentralisation process in Ghana were also reviewed.

Pre-testing

Before the pre-testing, the questionnaires were given to some lecturers and colleagues for their comments and suggestions after the design. This was done for the purpose of refinement and content validity. After those comments and criticisms, some refinements were made by removing some entire statements, maintaining many and even adding some statements. According to Creswell (2008), when one modifies an instrument or combines instruments in a study, the original validity and reliability may be distorted and it becomes important to re-establish validity and reliability. The validity and reliability of the instruments were then pre-tested at the Mfantsiman Municipal Assembly (MMA) from 3rd to 24th May, 2017. Mfantsiman was used because it has similar characteristics as the study districts in terms of the historical development in the decentralised local government system, governance structure, and leadership and common legal and regulatory requirements.

The prepared items were tested on 30 staff, 2 heads of department (HoDs), and 15 Assembly members. The pre-test helped to correct ambiguities and poorly worded questions, which were modified to facilitate reading and understanding. The interview guide lasted between 25 to 30 minutes, which was seen as good by the interviewees. In addition, the pre-testing helped to train the assistants for the actual exercise, and also provided data to determine the reliability of the instrument. In the case of the questionnaires, the Cronbach alpha reliability coefficient obtained was between 0.97 and 0.78 for the individual scales, suggesting that the instrument was reliable.

Ethical Considerations

Ethical considerations are essential parts of research decisions (Bulmer, 2001). Ethics connotes the norms for conduct that distinguish between acceptable and unacceptable behaviour. The American Psychological Association reports that ethical consideration includes the need to minimise harm and risks while maximising benefits, respect to human dignity, privacy, and autonomy, hence, the study was conducted in conformity with these ethical standards. Before the commencement of the administration of the instruments, informed consent of all respondents was sought.

Anonymity and confidentiality were complied with by first submitting an introductory letter from the Director, Institute for Development Studies (now School for Development Studies) assuring respondents that the purpose of the research was purely academic. In addition, the statement of anonymity and

confidentiality were clearly stated on the instruments. This was to seek respondents' approval and time to complete the interviews. Other codes of ethics regarding accuracy of research design, data collection and processing, as well as acknowledging sources of information were also followed.

Field Work

Given the enormity of work in this study, three qualified interviewers with experience in conducting research in the districts were employed to join the researcher to administer the interview schedules. In addition, two Research Assistants were trained to assist in the questionnaire administration. The data collection was done from 5th October to 18th December, 2017. The researcher supervised the administration of the interview schedules by the interviewers and helped in the daily review of completed interviews. Prior to the administration of the instruments, the researcher visited the HR Director at the LGS and the respective MMDAs with a letter from the Institute for Development Studies, University of Cape Coast informing them about the research and to seek their support in accessing respondents.

There were numerous follow-up telephone calls between July and September, 2017 which helped the researcher to receive dates and time to prepare itineraries on respondents' readiness and availability. Interviews at the national, regional and district levels lasted for 45 minutes approximately.

The questionnaires were distributed to staff with assistance from the HR units of the three MMDAs, and were collected within three weeks. With the

interview schedules, the researcher was given the schedules of meeting of the Assembly Members by the Presiding Members. Based on the dates, the researcher first met the members and a convenient time was scheduled to meet them an hour before their meeting time. The interview schedules were administered on the scheduled dates on individual basis at the respective Assemblies as and when they entered the meeting hall. The researcher and assistants read and interpreted the questions to them. The filling of the interview schedules lasted for 30 minutes.

Data Processing and Analysis

Data analysis involves turning a series of recorded observations into quantitative and descriptive statements for practical application. This depends largely on the analytical strategy that will help the researcher treat the evidence fairly, produce compelling analytic conclusions, and thereby rule out alternative interpretations. According to Yin (2003), data analysis consists of examining, categorising, tabulating, testing, or otherwise recombining both quantitative and qualitative evidence to address the initial proposition of a study. Hence, in this study, the response rate, transcription of qualitative data, document review as well as examining, categorising, tabulating and cross-tabulating and frequencies to present the quantitative data according to the objectives of the study were done at this stage.

After the instruments were received, the qualitative data were transcribed, and the completed interview schedule and questionnaires were numbered for the purposes of identification and coding. After the interview, the researcher found out

that there were certain questions which were not on the interview guide but came to the fore during the interview. These questions were inserted against the responses given to establish consistency. Afterwards, the responses from the interviews were systematically categorized under broad headings. Master data sheets were then prepared based on the responses provided. The questionnaires were sequentially numbered. Since multiple data collection methods were used, similar text segments were coded. The quantitative data were processed and analysed using the Statistical Products and Service Solutions (SPSS) version 21.0. Descriptive and inferential statistics generated from the SPSS provided detailed analysis of the data which guided the write up of the findings of the study.

Statistical techniques

Both descriptive and inferential statistical techniques were used to analyse the data. Descriptive statistics such as frequencies, percentages and cross tabulations were used to present the data. According to Van Thiel (2014), cross tabulation helps a researcher to easily establish whether certain combinations of values occur more frequently than others, which can be indicative of a theoretically relevant relation. Chi square test of independence was used to establish association between responses on the CB approach (process, success drivers, and strategies) and empowerment issues in the three study MMDAs.

171

Interpretation of data

The final stage in the data analysis was the interpretation of the results, which involved explanation, answering the how questions, attaching significance to particular results and putting patterns together to fit the conceptual framework, as ascribed by Sarantakos (2005). Data interpretation goes beyond the data to really understand the results, make meaning out of the data, and draw conclusions.

Summary

The chapter has discussed the choice of methodology that was used in conducting this research. The methods of sampling, data analysis and choice of tools of analysis have been described in detail. Mixed-methods research design and descriptive study design was adopted. Although the range of methods and approaches applied fall largely within the quantitative research paradigm, qualitative approaches were also employed to augment the quantitative methods. This approach is supported by the benefits of triangulation and how it suits the requirements of the study as a whole.

CHAPTER SEVEN

CAPACITY BUILDING APPROACHES USED IN SELECTED METROPOLITAN/MUNICIPAL/DISTRICT ASSEMBLIES IN THE CENTRAL REGION

Introduction

The results and discussion of this study were presented in two parts with this chapter forming the first part. The second part was considered in Chapter Eight. As discussed in the conceptual framework, CB approaches include the processes and strategies used to build the capacities. The current chapter centers on results and discussion on the process which relates to research objectives 1, 2 and 3 as follows:

1. Examine CB process adopted by the selected MMDAs to build capacities for the implementation of development goals;

2. Assess success drivers such as participation, leadership support and resources in the capacity building process in the selected MMDAs;

3. Assess whether the process influence factors such as ownership, commitment, enthusiasm and motivation in the capacity building process.

In tandem with the conceptual framework, the study set out to identify the processes used in the selected Metropolitan/Municipal/District Assemblies (MMDAs) in the Central Region of Ghana to identify the enabling and constraining factors accounting for the gap between the current undesirable situations and the

173

desired situation in terms of capacities for the achievement of local level development. Issues elicited from the respondents aimed at examining the factors accounting for the current situation and how they enabled and/or constrained the achievement of local level development in the Central Region. The results are presented and discussed from the perspectives of the respondents from the national, regional and district levels and therefore, important to discuss their socio-demographic characteristics. Percentages are shown in parenthesis in all the tables in this chapter.

Socio-demographic Characteristics of the Respondents

The socio-demographic characteristics regarding the sex composition, years of work, and educational background of coordinators, staff and assembly members were presented in Table 5 to aid in the understanding of their perspectives towards the issues under study. The results indicate that the majority (81.4%) of the 414 respondents were males, with females representing 18.6 percent. Thus specifically, males dominate in all the studied institutions. The results confirm findings from Asare-Bediako (2012) and Ghartey (2012) who found that males have over the years dominated in the governance structures in Ghana across the national, regional, district and community levels.

From the table, about 24 percent (24.2%) of the respondents had worked for more than 10 years; 41.5 had worked for more than six years; while the remaining 34.3 percent had worked for up to five years. According to Asare-Bediako (2010), number of years that employees have spent in the service determines their experiences they have had over the years. Given the number of years in service,

most of the respondents were therefore, placed in a better position to provide answers on CB issues. On educational background of the 414 respondents, 14 percent had master's degree; 30. 4 percent had diploma; 18.8 had bachelor's degree; 18.1 percent had basic education; 11.1 percent had certificates in diverse disciplines. However, 7.6 percent no formal education.

Table 5: Socio-demographic characteristics of the respondents

Background	CCMA f(%)	KEEA f(%)	AAK f(%)	Total f(%)
Sex				
Males	123(77.8)	112(84.2)	102(82.9)	337(81.4)
Females	35(22.2)	21(15.8)	21(17.1)	77(18.6)
Total	158(100,0)	133(100.0)	123(100.0)	414(100.0)
Years in service				
0-5	60(38.0)	34(25.6)	48(39.0)	142(34.3)
6-10	68(43.0)	59(44.4)	45(36.6)	172(41.5)
10+	30(19.0)	40(30.0)	30(24.4)	100(24.2)
Total	158(100.0)	133(100.0)	123(100.0)	414(100.0)
Educational background				
Nil	10(6.3)	8(6.0)	13(10.6)	31(7.6)
Basic	30(19.0)	25(18.8)	20(16.3)	75(18.1)
Diploma	40(25.3)	52(39.1)	34(27.6)	126(30.4)
Bachelor	38(24.1)	16(12.0)	24(19.5)	78(18.8)
Masters	30(19.0)	15(11.3)	13(10.6)	58(14.0)
Others (certificates)	10(6.3)	17(12.8)	19(15.4)	46(11.1)
Total	158(100.0)	133(100.0)	123(100.0)	414(100.0)

Source: Field survey (2017)

Specific results from the Assemblies show that majority of the respondents hold diplomas in all cases. Interviews show that most of the people in the environmental units do not need higher qualifications, hence the number of people with either basic or no educational background. It was also gathered that most of the diploma and degree holders were developing their careers on individual basis through distance education.

Results on educational background may have implications for responsiveness in the local governance system in terms of participation, planning, design, implementation and evaluation of development interventions, such as CB.As the United Nations (UN, 2007) assert, the more educated and informed the leaders and followers, irrespective of their sex orientation, the better they would be able to ensure responsiveness in the implementation of development interventions. This has been reiterated by Ahmadi (2012) that employees with lower levels of education do not perform better because they lack the requisite education and modern managerial skills, which may have implications for performance. This is to say that the more educated individuals are will influence their judgements about CB approaches.

Capacity Building Process Used to Develop Capabilities in the Metropolitan, Municipal, and District Assemblies

The first research question focused on the approach adopted in the selected MMDAs to develop capacities. Approaches to CB refer to the processes and strategies/methods used in organisations collaboratively to help better achieve their mission and goals and solve problems that may arise in the future (UNDP, 2009). The

176

process was measured by a five-step iterative scale as discussed in the conceptual framework. These are: 'participation in the identification of development objective'; 'participation in needs assessment'; 'participation in design of CB programme'; 'implementation of CB programme'; and 'evaluation of CB programmes'.

Awareness of CB activities

To be able to ascertain participants' views on the CB process, they were asked to indicate their awareness of CB activities. The results are based on the 414 respondents (i.e. core staff and assembly members). The majority of respondents (76%) indicated that they were aware of CB activities in the respective assemblies. A follow-up question was on how they were made aware. About 59 percent of the respondents indicated that they were made aware through Assembly meetings; while 28.5 percent indicated that they were made aware through workshops and seminars, as shown in Table 6.

Specifically, 41 percent and 95.5 percent of staff and Assembly Members respectively indicated that they were made aware during their Assembly meetings. Interviews with the DCD and HR heads also confirmed that participants were made aware through meetings and other workshops organised by the respective Assemblies. The different ways in which respondents perceived the leadership approaches in making them aware of CB activities promote participation as enshrined in the Local Governance Act 2016 (Act 936). Section 16 (Sub-section 1c) states that "Assembly Members should attend meetings of the District Assembly and meet sub-committees of which that member of the Assembly is a member to participate in the decision-making that affects the district's development".

Table 6: Ways of creating awareness in the Assemblies

Item	Staff f(%)	AMs) f(%)	Total f(%)
Assembly meetings	116 (41.1)	126 (95.5)	242(58.5)
Workshops/seminars	112 (39.7)	6 (4.5)	118(28.5)
Informed by HR	23 (8.2)	0 (0.0)	23(5.6)
Advice letters	23(8.2)	0(0.0)	23(5.6)
Community durbar	8(2.8)	0(0.0)	8(1.9)
Total	282 (100.0)	132 (100.0)	414 (100.0)

Source: Field survey (2017)

Participation in decisions affecting the MMDAs is in conformity with local governance as enshrined in the Local Governance Act 2016 (Act 936). Participation in the activities of sub-structures empowers actors in local governance in the planning and coordination of programmes to ensure transparency in the development process (Ahwoi, 2010; MLGRD, 2010). The process is discussed in the following section.

Participation in the identification of development objectives

In terms of the process of CB, the conceptual and theoretical frameworks show that stakeholders of the Assemblies should be involved in the identification of development objectives (Decentralisation Policy Framework, MLGRD, 2010; Kauzya, 2000; Noe, 2010). Stakeholders identified were officials of MLGRD, LGS, RCC, donors (any group that provide funding to the Assembly), M/DCEs, D/DCDs, M/DPOs, Assembly Members and staff. These stakeholders were confirmed in interviews with

officials of LGS and MMDAs. In view of this, the 414 respondents (representing staff and assembly members) were asked whether they or their representatives participated in setting development objectives for building capacities in their respective Assemblies using the scale: 'never', 'sometimes', and 'always'. The results are shown in Figure 11.
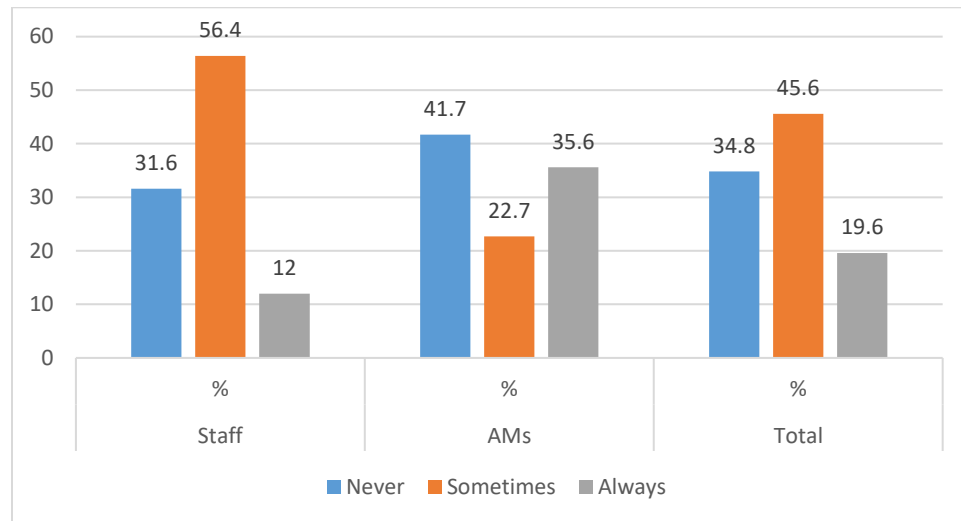
Figure 11: Respondents' participation in identification of development objectives

Source: Field Survey (2017)

Results from Figure 11 indicate that of all the three selected MMDAs, about 46 percent sometimes participated in the identification of development objectives, 34.8 percent had never participated, while 19.6 percent indicated that they always participated. Staff-specific results indicated that from all the three selected MMDAs, 56.4 percent sometimes participated, 31.6 percent never participated, while 12 percent always participated. Similarly, 41.7 percent of the Assembly Members (AMs) had never participated, while 35.6 percent indicated that they always participated.

The results showed that quite significant portions of the respondents sometimes did not participate in the identification of development objectives in

179

the Assemblies. This could affect the level of responsiveness of the programmes emanating from such development objectives to the needs of staff and constituents as indicated by Ahwoi (2010) that participation of the beneficiaries of development programmes at the initiation stage is critical in achieving sustainable impact. The responses from the Assembly Members were attributed to the political nature of the Local Governance System, where Assembly Members are voted into power with the coming in of a new government. Therefore, those who had just joined had no experience concerning participation in the setting of development objectives.

In proportionate terms, multiple responses across the three Assemblies showed that HoDs and MCEs/DCEs respectively fully participated in the identification of development objectives, with responses from KEEA ranging from about 28 percent (27.8%) to 23 percent. Similar proportions were presented across CCMA and AAK. Particularly, 28 percent, 28 percent, and 22 percent of the responses related to MCD, MCE, and HoDs respectively in CCMA. The responses were not different from AAK, where 28 percent and 21 percent of the responses showed that DCE and HoDs participated fully in the identification of development objectives.

Interviews with officials indicated that stakeholders who participated in the identification of development objectives for the respective Assemblies were the DCEs/MCEs, HoDs, DCDs/MCDs, and Assembly Members. When asked about stakeholder participation in the identification of development objective, they indicated that, development objectives were national issues, and as a result, were identified in collaboration with key stakeholders such as NDPC, MLGRD, Development Partners (DPs), LGS, MDAs, and other NGOs and CBOs.

They pointed out that representatives of AMs and union members were part and therefore privy to any information concerning development plans. Similarly, HoDs were expected to communicate outcomes of their meetings to their staff members. When further probed about the non-involvement of local NGOs, chiefs and CBOs in the identification of development objectives at the local levels, officials indicated that they engaged them when it came to fee fixing for taxes and other rates, but not during the identification of development objectives.

A review of the responses may have adverse implications on the achievement of the development objective. For example, Babu and Sengupta (2006) and Langaas et. al., (2009) contend that capacity is not developed in a vacuum; it is developed to meet a special objective or fulfil a special need; hence, the identification of the development objective should be done in collaboration with other stakeholders and should be participatory to get their support, or at least to neutralise their resistance (DeSimone & Werner, 2012; Floridi, et al, 2009; Noe, 2010; UNDP, 2009).

Similarly, Steffensen (2010) asserts that participation of stakeholders such as local NGOs and CBOs help to establish both upward, horizontal, and downward accountability as to who does what, who ensures what is to be done, and what the consequences will be if it is not done. Done this way, the process will promote communication, feed-forwarding and feedback (Steffensen, 2010); transparency (Meier, 2003; UNDP, 2009); ownership of programmes (Noe, 2010; DeSimone & Werner, 2012); and accountability in terms of results (Floridi et al, 2009; UNDP,

2009). The next step was assessment of needs, and whether respondents or their representatives participated in the process.

Participation in the needs assessment process

Participation in the needs assessment process, as theorised by optimal capacity and capacity threshold help to identify the gap between what is existing and what is expected. As envisaged in the conceptual framework, assessment of needs is part of the CB process to identify gaps for which capacity needs to be built to achieve the development objective (DeSimone & Werner, 2012). In conformity with the second research question, this section examines whether respondents were involved in the assessment of needs in their respective assemblies. Both staff and Assembly Members were included, and shown in Table 7. Majority (66.2%) of the total respondents indicated that they had never been involved in any capacity needs assessment; 13.8 percent partially participated, with 20. percent stating that they fully participated in their Assemblies. MMDA-specific responses were similar with about 68.4 percent of the respondents in KEEA; 68.9 percent in CCMA and 60.2 percent in AAK indicating that they never participated in capacity needs assessment in their respective assemblies.

The results on respondents' participation in capacity needs assessment process contravene the systems, optimal and capacity threshold theories. Research by scholars such as Noe (2010), Rugumamu (2011), DeSimone and Werner (2012) show that it is important to involve actors in assessing their capacity needs because they are knowledgeable with regard to tasks to be performed, necessary equipment to be used, and the conditions under which the tasks will have to be performed. This

has been affirmed by Leeman et al (2015) that interventions for building capacities should include technical assistance, tools, and training, as such assessing needs and assets will help organisations put in place the required strategies and interventions for organisational effectiveness.

Table 7: Respondents' participation in the needs assessment process

Item	KEEA	CCMA	AAK	Total
	f(%)	f(%)	f(%)	f(%)
Never	91(68.4)	109(68.9)	74(60.2)	274(66.2)
Partially	18(13.6)	20 (12.7)	19(15.4)	57(13.8)
Fully	24(18.0)	29 (18.4)	30(24.4)	83(20.0)
Total	133(100.0)	158(100.0)	123(100.0)	414(100.0)

Source: Field survey (2017)

As Noe (2010) asserts, if capacity needs assessment is not properly conducted, it may result in erroneous decisions. For example, training may be incorrectly used as a solution to a performance problem, for instance, when the solution should deal with employee motivation, job design, or a better communication of performance expectations.

To further confirm respondents' views on the coverage of needs assessment, they were asked to indicate their level of agreement and/or disagreement to four items as: "Assessment covers the assets (infrastructure, space, equipment, materials) needed to achieve development objectives"; "Assessment covers identification of core competencies"; and "Assessment covers strengths of individual staff", and 'Assessment covers weaknesses in capacities that need to be developed. Results

183

from the four items were indicative that respondents were not involved in the assessment process as 102 (21 from KEEA, 36 from CCMA, and 55 from AAK) respondents representing 24.6 percent of 414 responded to the items.

The results indicated that the majority (71.6%) of the 102 respondents agreed that the assessment covers the assets; 78.4 percent agreed that assessment covered identification on core competencies; 73.5 percent agreed that assessment covered strengths of individual staff; while 82.4 also agreed that assessment covered weaknesses in capacities that need to be developed. The fact that 25 percent responded to the coverage of the assessment is an indication of how the stakeholders were inadequately involved in or participated in the capacity needs assessment process.

The needs assessment process defeats the principle of multi-dimensionality of the systems theory as well as the holism to cover both organisational and individual capacity needs (Noe, 2010; UNDP, 2009). Furthermore, it contravenes the principle of participation, which states that CB must be undertaken with the direct participation of the persons or organisations involved (Floridi & Corella, 2008), and must be unfolded through a facilitated process of open inquiry and dialogue (Noe, 2010). From the results, it could be seen that, understanding of the current needed capacity on which to base the type and scope of interventions to achieve the desired change (DeSimone & Werner, 2012; Noe, 2010) in the three Assemblies will be lacking; and could have implications for the effectiveness of the interventions put in place.

Other issues explored in the assessment phase were the person who conducted the assessment; and whether the assessors used assessment tools or open dialogue. About 78 percent indicated that the assessment was conducted by consultants

184

using assessment tools; while 21.8 percent reported that it was conducted by the leadership of the Assembly using open dialogue. Interviews with officials of the three Assemblies indicated that they did not do holistic capacity needs assessment for CB, but depended on the FOAT indicators, which were based on the functional mandate of the Assemblies.

In other circumstances, heads of HR wrote to other HoDs to assess their staff and submit their reports. They then designed their training plans based on the reports they received. However, the challenge was lack of support from other HoDs.

> For example one of the officials in CCMA said "…it's difficult working with some of the heads because they never respond to the letters I send. When it happens like that, I do composite training plan for staff and Assembly Members. With staff, I look at the gaps identified during the FOAT assessment and performance appraisal to conduct training. In addition, I look at gender mainstreaming and make sure that women had equal chance.

Further interview with the Director of HR, LGS also confirmed that training was based on the weaknesses identified during the FOAT assessment. According to him, when they receive recommendations from the assessors, they consult some external experts from individual ministries if they find out where the weaknesses are to bid for the training programmes, and once it is approved, the consultants conduct the training. The same responses were gathered on the Assembly Members.

> One of the officials had this to say: "We do not conduct any needs assessment for the Assembly Members. What happens is that when the newly appointed members were inaugurated some of them agitate that they needed training. We then conducted training on key areas such as Local Government Protocols, Standing Orders, Act 936, Amendment 2017, report writing, proposal writing, and conflict management, after which they were given certificates".

These responses were confirmed by the researcher during the field visits. From the responses gathered from the interviews, it could be gleaned that the results point to a mixture of both the supply-driven and the demand-driven approaches to CB where assessment is internal and initiated by the organisation to solve its peculiar

performance challenges with no or modest assistance from external parties as indicated by Freeman (2010) and Mahama (2014). This suggests that the sampled MMDAs underrated the CB process as described in the systems and knowledge-based theories by Leavitt (2011) and Senge (1999).Tadele and Manyena (2009) have indicated that the emphasis should be on clients' participation on capacity needs assessment to ascertain the current capabilities and weakness so that programmes will be based on responsive intervention, to ensure ownership and transfer of learning (Freeman, 2010; OECD, 2009).

Participation in the design of CB programmes

The study also assessed whether respondents' or their representatives participated in the design of CB programmes. The results were not different from the assessment phase, as presented in Table 8. Majority (50%) of the respondents indicated that they or their representatives never participated in the design of CB programmes. When they were asked about the persons who designed the programmes, 76 percent of the respondents indicated that the programmes were designed by consultants, with 24 percent stating that leadership of the assemblies designed the programmes. The results confirm the initial submissions by both officials of the respective Assemblies and Director of HR, LGS that CB programmes were either designed based on reports received from individual departments, as well as the FOAT assessment results.

186

Table 8: Respondents' participation in the design of CB programmes

Item	KEEA f(%)	CCMA f(%)	AAK f(%)	Total f(%)
Never	66(49.6)	75(47.5)	66(53.7)	207(50.0)
Partially	47(35.3)	48 (30.3)	22(17.9)	117(28.3)
Fully	20(15.1)	35 (22.2)	35(28.4)	90(21.7)
Total	133(100.0)	158(100.0)	123(100.0)	414(100.0)

Source: Field survey (2017)

Although research by Abrams (2003) and Noe, (2010) show that the design of CB programmes may be done by consultants, much of the debates indicate that actors in the CB process should co-design the programme so that beneficiaries will customise it to suit their own strengths and weaknesses (Australian Volunteer Association, 2006) and learn to share knowledge (Flaspohler, et al, 2012).

To further confirm the respondents' views on their participation in the design of the CB programmes, they were asked to indicate their agreement or disagreement to four statements including: 'CB programmes were developed in relation to gaps identified in the needs assessment'; and 'CB programmes follow gaps in the core skills and capabilities of the Assembly' as presented in Table 9. A total of 617 multiple responses were computed from the three Assemblies. Of the total responses, about 45 percent were in agreement that CB programmes were developed in relation to gaps identified in the needs assessment process; while 43.8 percent agreed that CB programmes followed gaps in the core skills and capabilities of the assembly.

Table 9: Respondents' views on design of capacity building programmes (Multiple responses)

CB programmes	KEEAMA (%)		CCMA (%)		AAKDA (%)		Total (%)	
	D	A	D	A	D	A	D	A
Were developed in relation to gaps identified in the needs assessment	0.0	15.0	0.0	16.7	10.5	17.4	6.7	44.7
Follow gaps in the core skills and capabilities of the Assembly	0.0	15.0	0.0	16.7	21.1	16.1	13.5	43.8
Were designed to address specific challenges of the Assembly	0.0	15.0	0.0	16.7	10.5	17.4	11.2	1.6
Assembly used a CB matrix to show the goals and expected outcomes of the CB programme	12.5	14.4	0.0	16.7	15.8	16.8	23.6	3.4
Indicators were designed to monitor the effectiveness of the CB interventions	37.5	13.1	0.0	16.7	26.3	15.5	25.8	3.7
Assembly used logic model to identify and define key indicators of CB	25.0	13.7	0.0	16.7	15.8	16.8	19.1	2.8
TOTAL	100.0	100.0	100.0	100.0	100.	100.0	100.0	100.0
N	(32)	(605)	(13)	(624)	(57)	(861)	(89)	(617)

Source: Field survey (2017)

The Assembly-specific responses were similar with about 45 percent of the responses in KEEA, 50 percent of the responses in CCMA, and about 51 percent of the responses in AAK pointing to agreement with all four statements. The results were corroborated by the officials interviewed in terms of designing CB programmes. Interview responses showed that CB programmes were designed in two ways. First by the heads of HR in the respective assemblies based on appraisal reports, and

secondly, based on FOAT assessment results submitted by consultants. Documentary evidence from the three study areas showed that training programmes were sequenced, detailing dates, type of training, time for the training, and participating actors. Although this activity conforms with capacity sequencing theory tenets researchers indicate that the programmes should be in line with capacity needs (Abrams, 2003; Babu & Sengupta, 2006).

The process to designing CB programmes shows that the Assemblies preclude respondents from participating in the design of CB programmes, which do not facilitate ownership and learning in the development process (Leavitt, 2011). Research shows that co-designing CB programmes help beneficiaries to share knowledge (Flaspohler, et al, 2012); build ownership, trust, and commitment (Britton, 2017; DFID, 2009; Pirinen, 2016); and be motivated to see to the success of development programmes (Raymond, 2010).

On the design of indicators, Padovani and Young (2012) assert that organisations should put in place strategies related to the key performance indicators (KPIs) to help monitoring and evaluation (Connelly & York, 2005). Interviews on indicators to monitor the CB programmes showed that the Assemblies depended on the FOAT indicators as the yardstick in monitoring programmes. The FOAT indicators cover the key performance indicators (KPIs) or functional areas of the MMDAs.

These include: Management and organisation; transparency, openness and accountability; planning system; human resource management; relationship with sub-structures; financial management and auditing; fiscal capacity; procurement; and environmental sanitation management, etc. This means that strategies to achieve the functional mandate should include leadership, human resource

189

management, financial resource management, technical, and adaptive strategies to improve organisational performance (Baser & Morgan, 2008; Connelly & York, 2005) as well as physical resources (UWCA, 2011), which will be examined in research objective five.

The results on the design of CB programmes align with the predominant demand-driven approach which enables organisations to diagnose their own problems and create solutions (Baser, 2007; Kühl, 2009; Freeman, 2010). However, Babu and Sengupta (2006) emphasise that the solutions should be on capacity needs assessment, be based on responsive intervention, and clients' participation to ensure ownership of CB programmes. Likewise, Langaas et al (2009) indicate that institutional development is more likely to succeed if there is a balance between the tangibles and intangibles, as emphasised by the optimal capacity theory.

Monitoring during implementation of capacity building programmes

Respondents' views were sought on their level of agreement on monitoring of programmes, officials who monitored, whether monitoring was done timely, and whether feedback was given. Respondents were asked to indicate their views on a scale of 1 = strongly disagree to 4 = strongly agree. However, for ease of presentation, the scales were merged into 1 = disagree; and 2 = agree and results from the three study areas were presented in Table 10.

Table 10: Monitoring of capacity building programmes in this Assembly

Item	KEEA f(%)	CCMA f(%)	AAK f(%)	Total f(%)
Disagree	67(50.4)	113 (71.5)	57(46.3)	237(57.2)
Agree	66(49.6)	45(28.5)	66(53.7)	177(42.8)
Total	133(100.0)	158(100.0)	123(100.0)	414(100.0)

Source: Field survey (2017)

The majority (57.2%) disagreed that monitoring was done during the implementation of training programmes. Similar results were computed from KEEA (50.4%) and 71.5 percent from CCMA. However, there was a slight difference with respect to AAK where 53.7 percent agreed that CB activities were monitored. Follow-up interviews with officials showed that they did not monitor CB activities per se, but monitoring was done when it comes to development projects. When asked why training programmes were not monitored, officials attributed their responses to inadequate human and financial resources and time.

The results were confirmed at the LGS and RCC on monitoring of development projects. On CB activities, it was assumed that monitoring will be done by the leaders of the respective Assemblies and report to RCC for them also to forward the reports to LGS. The results are incongruent with the UNDG (2011) report that once partners agree to pursue a set of results through CB programmes, implementation starts and monitoring becomes an essential task to ensure results are being achieved. The results may be in agreement with Poister's (2003) submission that there is lack of capacity to collect and monitor performance data in

191

organisations; which may have adverse implications on the results of development programmes.

Evaluation of capacity building programmes

The final step in the approach to CB is evaluation. In this respect, respondents were asked to indicate whether CB programmes were evaluated and reports made available in their respective Assemblies, and responses presented in Table 11. Majority (93.5%) disagreed that their Assemblies conduct evaluation and make reports available to them. Similar responses were gathered from the specific study areas with 92.5 percent from KEEA; 96.8 percent from CCMA; and 90.2 percent from AAK. These results were further confirmed in interviews with officials in the three study areas.

However, documentary reviews showed that some evaluation has been done in CCMA, and reports presented to the RCC for onward submission to the LGS. A follow-up documentary review at the LGS also confirmed that reports were sent to them, however, they were yet to ascertain the efficacy of the reports. The fact that the majority (93.5%) of the respondents from the three study areas, as well as the results from the specific Assemblies showed that evaluation was not done was indicative of the dearth of evaluation of training programmes to ascertain their efficacy. These results confirm LaFond, Brown, and Macintyre's (2002) view that, CB has gone through little formal evaluation and there were numerous explanations for this dearth of evidence, which include no standardised approaches as well as range of activities and circumstances that comprise CB interventions.

192

The implication of the incompatible findings that over 90 percent say no evaluation was done but reports say evaluation was done may suggest dishonesty or gaming on the part of the officials who present these reports to the authorities.

Table 11: Evaluation of capacity building programmes in this Assembly

Item	KEEA f(%)	CCMA f(%)	AAK f(%)	Total f(%)
Disagree	123(92.5)	153 (96.8)	111(90.2)	387(93.5)
Agree	10(7.5)	5(3.2)	12(9.8)	27(6.5)
Total	133(100.0)	158(100.0)	123(100.0)	414(100.0)

Source: Field survey (2017)

Research indicates that CB providers need to monitor and evaluate their processes with the use of indicators to sharpen the objectives and become more aware of assumptions (UNDP, 2010). Similarly, London (2003) and UNGD (2011) report that monitoring and evaluation (M&E) helps in giving timely feedback on goal attainment or otherwise, and provide invaluable information for decision-making and lessons learned for the future.

The results on the process to CB showed a gap between theory and practice as found by Odoom, Kyeremeh and Opoku (2014) and Sarkodie (2011) that institutional capacity should cover the work itself, the individual's capabilities, and the organisation's capabilities. The respective interest is that, for SNGs to achieve their development goals, capacities need to be built holistically so that no single part of the organisational system is allowed to sub-optimise or over-achieve (Cummings & Worley, 2001). As optimal capacity and threshold theorists opine,

193

organisations will achieve optimal capacity through participation in the assessment process.

Success Drivers in the Capacity Building Process for Organisational Effectiveness

Research objective two sought to assess the success drivers in the processes used in building capacities in the selected MMDAs. Apart from participation in the CB process, literature shows that for CB to be effective, there should be leadership support in terms of expertise and champions for the programme; adequate human, physical, and financial resources; willingness of leaders to move the organisation forward, as well as timeliness for the implementation of CB activities **(**Kobusingye, 2015; UWCA, 2011). These elements were examined and results discussed in the following sub-section.

Leadership support

Leadership support was measured using leaders' involvement in championing and guiding the efforts to implement the change strategies. Thus, respondents were asked to indicate their views on adequate leaders with expertise. Majority (92%) of the respondents indicated that leaders strongly help drive the CB initiatives forward in their respective Assemblies. Specifically, 94 percent from KEEA, 91.8 from CCMA and 90.2 percent from AAK agreed that leaders championed the cause of CB. The results were in line with Gwata's (2013) findings which point out that all CB activities require the identification and involvement of

194

influential champions who will be engaged in guiding the efforts to implement the change strategies.

Resources in the capacity building process

As espoused by the dynamic capabilities theory, there are a wide range of resources within a company that drives a firm to meet the competitive business environment (Eisenhardt & Martin, 2000). Resources in the CB programme were measured using three indicators: human resources with expertise, provision of physical resources, and financial resources for the implementation of CB programmes and the results is presented in Table 12. On human resources with expertise, about 92 percent of the respondents agreed in all the Assemblies. Specifically, 94 percent from KEEA, 91.8 from CCMA and 90.2 percent from AAK agreed that there are adequate human resources with expertise.

However, on whether CB activities included provision of physical resources such as computers and vehicles, 77.3 percent forming the majority of the respondents disagreed that the Assemblies provided them with physical resources to do their work. Similarly, 70 percent disagreed that the Assemblies have adequate financial resources to implement CB activities. In spite of these results, all the respondents (100%) acquiesced that the Assemblies provided them with training. Assembly-specific results were similar as 51.9 percent; 100 percent; and 75.6 percent from KEEA, CCMA and AAK respectively indicated that their Assemblies did not provide resources and tools. On the other hand, while majority (63.2%) from

195

KEEA agreed that the assembly had adequate financial resources, 91.8 percent from

CCMA, and 78 percent from AAK disagreed with the statement.

Table 12: Resources in the capacity building activities (Multiple responses)

Issue	KEEA		CCMA		AAK		Total	
	Disagree	Agree	Disagree	Agree	Disagree	Agree	Disagree	Agree
	f(%)	f(%)	f(%)	f(%)	f(%)	f(%)	f(%)	f(%)
Human resources	8 (6.0)	125 (94.0)	13 (8.2)	145 (91.8)	12 (9.8)	111 (90.2)	33 (8.0)	381 (92.0)
Physical resources	69 (51.9)	64 (48.1)	158 (100.0)	0 (0.0)	93 (75.6)	30 (24.4)	320 (77.3)	94 (22.7)
Financial resources	49 (36.8)	84 (63.2)	145 (91.8)	13 (8.2)	96 (78.0)	27 (22.0)	290 (70.0)	124 (30.0)

Source: Field survey (2017)

Another head intimated that

> "Leadership will always indicate that there are no funds, but once DDF is
> released to the Assembly, it becomes difficult to receive the budget for
> training because the money is diverted for other things. "Even if you make
> your training plans and defend it, they (leadership) will tell you there is no
> fund but will find ways and means to write reports as though training has
> been done. You will have a situation that the funds for CB have been
> exhausted, but there has not been any training conducted".

196

It could be deduced from the interviews that monies for CB were diverted for other purposes, which may also account for the reasons evaluation reports were concocted and presented to authorities.

Based on the results, the majority representing 85.8 percent indicated that leadership support in total was weak. District-specific responses were similar as 65.9 percent, 100 percent, and 89.7 percent from KEEA, CCMA, and AAK respectively indicated weak support. Leadership support in the CB approach is one of the contingent factors that had been highlighted by researchers (Gwata, 2013; Kobusingye, 2015). As Leeman et al (2015) submit, approach to CB should be comprehensive to include resources, tools, and training. Similarly, the OTF (2005) and TCC Group, (2010) indicate that leadership should provide employees with tools and resources to empower them to do their work, however, the results on resources is incongruent with the tenets of the dynamic capabilities theory. This implies that the dynamic capabilities theory is not considered in the study organisations.

Willingness of leadership in the capacity building approach

Willingness of leadership in the CB process was assessed using bureaucrats and political leaders. Bureaucrats included HoDs, M/DFOs, M/DCDs, and M/DPOs; while political leaders included M/DCEs and Assembly Members, and the views are presented in Table 13. About 69 percent agreed that there was a strong bureaucrat will. Conversely, 59.4 percent indicated that political will was weak; with 40.6 percent indicating strong political will. Specific results from the three

197

Assemblies showed strong bureaucratic will as opposed to weak political will. The results may have adverse implications for the implementation of development interventions such as CB. According to Kauzya (2000; 2016), both bureaucratic and political will is critical for a successful local governance, because most decentralised policies and programmes falter during implementation because they were introduced with political hesitation, bureaucratic resentment, and suspicion, and leaders may try to sabotage the CB programmes and activities.

Table 13: Willingness of leaders in the capacity building approach

Item	KEEA f(%)	CCMA f(%)	AAK f(%)	Total f(%)
Bureaucrats				
Weak	52(26.4)	48(30.3)	30(24.1)	130(31.4)
Strong	81(73.6)	110(69.6)	93(75.9)	284(68.8)
Total	133(100.0)	158(100.0)	123(100.0)	414(100.0)
Political leaders				
Weak	69(51.9)	87(55.1)	90(73.2)	246(59.4)
Strong	64(48.1)	71(44.9)	33(26.8)	168(40.6)
Total	133(100.0)	158(100.0)	123(100.0)	282(100.0)

Source: Field survey (2017)

Timeliness of capacity building programmes

In the study of CB literature, Doherty and Mayer (2003) and Raymond (2010) note that CB is often done with the unrealistic expectation that it can be done with little time or effort. Thus, timeliness in the CB process was measured using five items including 'CB activities are taken at an appropriate pace for lessons to

198

be learnt', 'time lapse from one CB activity to the other is too slow', and 'time lapse from one activity to the other is too quick'. Table 14 presents the results of the combined multi-items on timeliness of CB activities. The majority (77.3%) agreed that the CB activities were timely in the three MMDAs. Specific results also pointed to agreement with the timeliness of the activities as 75.9 percent from KEEA, 83.5 percent from CCMA, and 70.7 percent from AAK agreed with the statements.

Table 14: Timeliness of the capacity building activities by District

	KEEA	CCMA	AAK	Total
	f(%)	*f(%)*	*f(%)*	*f(%)*
Disagree	32(24.1)	26(16.5)	36(29.3)	94(22.7)
Agree	101(75.9)	132(83.5)	87(70.7)	320(77.3)
Total	133(100.0)	158(100.0)	123(100.0)	414(100.0)

Source: Field survey (2017)

As the OECD (1997; 2006) and PricewaterhouseCoopers Canada Foundation (2011) cautioned, organisations should take time to develop CB programmes, be patient and persistent to build consensus, and maintain momentum in planning, implementing, and evaluating programmes. The results on the process to CB in the selected MMDAs were similar in all cases.

Influence of the Capacity Building Process on Respondents

Research objective 3 sought to assess how the CB process influences outcomes such ownership, feel enthusiastic about contributing to development planning and policy making, feel committed to the CB process, and motivate me to

invest in the success of the CB using responses from the 282 core staff of the three MMDAs. Respondents were asked to use a scale: 1 = very weak to 4 = very strong. However, for ease of presentation, the scale was merged into 1 = weak, and 2 = strong and presented in Table 15 and explained in the following sections.

Table 15: Influence of the Capacity Building Process

	KEEA		CCMA		AAK		Total	
	Weak f(%)	Strong f(%)	Weak f(%)	Strong f(%)	Weak f(%)	Strong f(%)	Weak f(%)	Strong f(%)
Feel happy	41 (30.8)	92 (69.2)	48 (30.4)	110 (69.6)	21 (17.1)	102 (82.9)	110 (26.6)	(75.8)
Feel Committed	51 (38.3)	82 (61.7)	93 (58.9)	65 (41.1)	45 (36.6)	78 (63.4)	189 (45.7)	225 (54.3)
Invest in success	55 (41.4)	78 (58.6)	93 (58.9)	65 (41.1)	54 (43.9)	69 (56.1)	201 (48.8)	212 (51.2)
Promotes feedback	52 (39.1)	81 (60.9)	100 (63.3)	58 (36.7)	69 (66.1)	54 (43.9)	221 (53.4)	193 (46.4)
Build networking	66 (49.6)	67 (50.4)	145 (91.8)	13 (8.2)	99 (80.5)	24 (19.5)	310 (74.9)	114 (25.1)
Ensure sustainability	82 (61.7)	51 (38.3)	158 (100.0)	0 (0.0)	115 (85.4)	18 (14.6)	345 (83.3)	69 (16.7)
Take ownership	30 (22.6)	113 (77.4)	67 (42.4)	91 (57.6)	42 (34.1)	81 (65.9)	139 (33.6)	275 (66.4)
Feel reward/motivated	34 (25.6)	99 (74.4)	67 (42.4)	91 (57.6)	45 (36.6)	78 (63.4)	146 (35.3)	268 (64.7)
Be accountable	32 (24.1)	101 (75.1)	67 (42.4)	91 (57.6)	42 (34.1)	81 (65.9)	141 (34.1)	273 (65.9)
Learn and increase knowledge	8 (6.0)	125 (94.0)	13 (8.2)	145 (91.8)	3 (2.4)	120 (97.6)	24 (5.8)	390 (94.2)

Source: Field survey (2017)

The majority (94.2%) indicated that the approach helped them to learn and increase knowledge; 75.8 percent indicated that the CB approach made them feel enthusiastic in contributing to development objective; helped 66.4 percent to build

ownership; helped 65.9 percent to be accountable; while 64.7 percent reported that the approach made them feel motivated. About 54 percent indicated that the approach made them feel committed to the CB programme; while 51.2 percent indicated that the approach helped them invest in the success of the CB programme. The results confirm DeSimone and Werner's (2012) assertions that participation elicits ownership of CB programme; engender commitment, help beneficiaries to be satisfied, and accountable. Similarly, the results support the findings of Senge (2004), Leavitt (2011), and Noe (2010) that participation helped beneficiaries to learn and increase knowledge. The knowledge-based theory and the integrated learning model emphasises that participatory approaches to CB engender ownership, commitment and learning.

These responses notwithstanding, 83.3 percent of the respondents indicated that the approach was weak in ensuring sustainability of CB programmes; 74.9 percent indicated weakness in helping to build networking and partnerships; with 53.4 percent indicating that the approach was weak in promoting feedback. The district-specific responses were similar in terms of the approach in promoting feedback, building networks and partnerships, and ensuring sustainability of CB programmes.

Although about 61 percent in KEEA perceived that the CB approach was strong in promoting feedback, the majority (63.3%) from CCMA and 66.1 percent from AAK respectively indicated that the approach was weak in promoting feedback. On building networking and partnerships, 91.8 percent in CCMA and 80.5 percent in AAK viewed the approach to be weak respectively. Respondents'

201

views on whether the approach influence sustainability of the CB programmes were rated as weak in all three study areas, with KEEA (61.7%); CCMA (100.0), and AAK (85.6%). The implication of the results is that CB will be more effective in MMDAs that consider the success drivers in the process of building capacity than MMDAs that ignore the success drivers.

The results confirm Babu and Sengupta's (2006) and Noe's (2010) views that without CB interventions being participatory, intended results will not be achieved. The results suggest that even though officials may adopt CB approaches that would push forward the beneficiaries to contribute and take ownership of CB interventions, if the approach does not promote feedback, build networks and partnerships as advanced by researchers such as Noe (2010), Floridi and Corella (2008), and UNDP (2010), it will not engender sustainability of the CB interventions.

The results confirm research findings that the process should include stakeholder participation in identification of development objective, needs assessment, design of CB programmes, monitoring and evaluation; leadership support, human, financial, and physical resources, willingness of leaders, and timeliness for CB to be effective (Kobusingye, 2015; Leeman et al, 2015; OECD, 2010; Otibine, 2016; UNDP, 2011). Theoretically, approaching CB holistically will be effective than approaching it to suit the organisational mandate, as observed from the three study areas. The results support the early submissions by the respondents that they were not involved or did not participate in the process to CB.

Summary

The key findings of the study in response to the second and third research questions have been discussed. In relation to the second research question, it was found that the Assemblies did not involve respondents in the CB process, i.e. identification of development objectives, assessment of needs, and design of CB programmes. It was also found that Assemblies did not monitor CB programmes and also did not conduct evaluation for any feedback.

CHAPTER EIGHT

STRATEGIES USED IN BUILDING CAPACITIES

Introduction

Strategies are the systematic methods that direct and focus the training and development effort through the use of individual programmes, tools, and technical assistance (TA) (Leeman et al, 2015), and according to well-defined criteria (Otibine, 2016). Hence, from the perspective of the dynamic capabilities and the knowledge-based theories, this chapter assesses participants' views on the training programmes, types of strategies used, and the effect of the strategies on their capacities. The results and discussions in this chapter were in two sections. The first section focused on the fourth and fifth objectives; while the second section was on the sixth, seventh and eighth objectives as follows:

1. Objective four focused on how the CB strategies influence outcomes such as peer-to-peer connections, information sharing, and empowerment, learning and mentoring opportunities.

2. Objective five was on CB approach and how it influences empowerment issues;

3. Objective six was on the existing capacities of the selected MMDAs; and

4. Ways to improve CB activities in the MMDAs was addressed by objective seven.

Participation in Training Programmes

Research objective 4 was on how the training strategies adopted by the selected MMDAs influence outcomes such as peer-to-peer connections, information sharing, and mentoring opportunities. To be able to get the responses, participants were first asked whether or not they had participated in any training programmes in the last five years, i.e. 2012 – 2017. Other related questions included the customisation of the training programmes, the competencies of the facilitators, as well as strategies used in the training

Decentralisation theory, as well as the systems theory show that LG institutions require holistic effort at the various levels of government administration to improve capacities to achieve its development goals (Ahwoi, 2010; Steffensen, 2010). Hence, participation in training programmes was to find out whether it covered all the levels and the results were presented in Table 16.

Table 16: Participation in training programmes in the Assemblies

Item	Staff f(%)	AMs f(%)	Total f(%)
Fully participated	245(86.9)	123(93.2)	368(88.9)
Not participated	37(13.1)	9(6.8)	46(11.1)
Total	282(100.0)	132(100.0)	414(100.0)

Source: Field survey (2017)

Generally, majority (88.9%) assented that they had gone through some training programmes. Specifically, about 87 percent of staff and 93.2 percent of AMs from the three Assemblies had undergone some training. Other officials who

205

participated in the training programmes were the M/DCEs, M/DCDs, and all HoDs. The results is in line with the systems theory that training should be done at all levels of the organisation so that no one is able to over-achieve the other (Antwi, 2005; Haider, 2008). It also confirms McArdle (2007) and Moskowitz's (2008) assertions that effective training and development has been identified as the only best way to facilitate the ongoing change in the workplace. Similarly, Torrington and Hall (2008) and Opperman and Meyer (2009) submit that organisations are investing heavily in training and development of employee; emphasising that it clearly shows the value of human resources as the key source of sustainable competitive advantage.

Further to the participation in training programmes, respondents were asked to list about five training programmes that they had participated in. Various training programmes listed included, but not limited to: project management, revenue mobilisation, report writing, office communication and management, leadership, local government ethics/conducts, administrative procedures, local government protocol, district medium term development plan preparation, public financial management, Local Governance Act 2016 (Act 936), and the FOAT/DDF Administration, among others. Follow-up questions on respondents' participation in the training programmes were whether the programmes were customised or more tailored to their jobs; and whether the providers were competent, as presented in the ensuing sections.

Customised programmes

There were four items in the 'customised' scale, including: "the training programme was based on my weaknesses'; and 'training programmes were more tailored to the weaknesses of the Assembly' as shown in Table 17. The majority, (75.1%) agreed that the programmes were based on their weaknesses; 84.8 percent agreed that the programmes were tailored to the weaknesses of the Assembly; while 84.3 percent agreed that the programmes were designed to suit the core functions of the Assembly; with 82.6 percent agreeing that the programmes were relevant to the work they do in the Assembly.

Table 17: Customised programmes

Item	KEEA		CCMA		AAK		Total	
	D	A	D	A	D	A	D	A
	f(%)	f(%)	f(%)	f(%)	f(%)	f(%)	f(%)	f(%)
Based on my weaknesses	18 (13.5)	115 (86.5)	52 (32.9)	106 (67.1)	33 (26.8)	90 (73.2)	103 (24.9)	311 (75.1)
Tailored to the Assembly	30 (22.6)	103 (77.4)	0 (0.0)	158 (100.0)	33 (26.8)	90 ((73.2)	63 {15.2)	351 (84.8)
Designed to suit core functions	18 (13.5)	115 (86.5)	26 (16.5)	132 (83.5)	21 (17.1)	102 (82.9)	65 (15.7)	349 (84.3)
Relevant to the work I do	18 (13.5)	115 (86.5)	39 (24.7)	119 (75.3)	15 (12.2)	108 (87.8)	72 (17.4)	342 (82.6)
Total	133(100.0)		158(100.0)		123(100.0)		414(100.0)	

Source: Field survey (2017)

The results were in line with the supply-driven approach where organisations design training programmes; and corresponds with Joyce's (as cited

207

in Freeman, 2010) and Floridi and Corella's (2009) submissions that there is no "magic formula" or "blue print" for CB; hence designers should be flexible and adapt capacity in different context; and consider the needs identified during the assessment stage (Nassazi, 2013). It could be argued that although the three study organisations did not conduct needs assessment, the training programmes were designed in relation to their core mandates, which was an indication that the Assemblies were striving to design training programmes tailored to the work they do.

Interviews with officials also showed that training strategies had been put in place to bridge the gap between the desired and the current capacities. Based on the vision of the LGS to improve capacities of MMDAs, it was gathered that other opportunities had been created for some of the leaders to acquire skills in their functional areas at the Ghana Institute of Management and Public Administration (GIMPA), Institute of Local Government Studies (ILGS), as well as other institutions abroad; however, this depended on the financial capabilities of government.

The myriad of training programmes found in the Assemblies suggested that the Assemblies had created the requisite opportunities for staff and other ancillary actors to acquire knowledge, skills, abilities, and other characteristics (KSAOs) in order to maintain market competitiveness and business survival by the dynamic capability theorists (Buckley & Caple, 2007; Jamil & Som, 2007). The postulations here means that the three study areas support the human capital theory by Schultz (1961) that performance is as a result of a combination of factors ranging from knowledge, experience, skills, and expertise from the internal and external environments of an

organisation.As Sen (1999) argues, higher levels of missing capacity in a society are associated with greater levels of poverty, hence the significant investment made in the MMDAs may stem from the belief that training and development enhances individual and organisational performance (Aguinis & Krager, 2009; Harrison, 2005).

Competencies of providers

Issues of who facilitate the training and competencies of the providers were also paramount in helping participants to learn and be empowered to do their work. About 85 percent of the respondents said both internal experts and external consultants always facilitated the training programmes, while 15 percent indicated that only internal specialists facilitated the programmes. Interviews with the DCD and HR Director, LGS corroborated these responses. For example, interview with the HR Director, LGS showed that training programmes were conducted mainly by internal specialists in the respective assemblies, while the LGS contract experts from the ILGS and other ministries to conduct training in the functional areas of the Assemblies. This is in conformity with what the TCC Group (2010) points out that training programmes can be provided by both external consultants and internal specialists depending on the type of competencies needed.

The follow-up responses on the competencies of providers are presented in Table 18. There were seven items in the competencies scale, including 'provider has the skills to deliver the programme'; 'provider has the expertise in the area; and 'provider has capacity to offer well-established best practices in the field of local governance'. From the table, 57 percent and 53.6 percent of the 414 respondents

indicated that the skills and expertise of providers were very good, respectively. The results were consistent with TCC Group (2010) assertion that CB services need to be offered by well-trained providers that offer well-established best practices in the field. However, 28 percent of the respondents indicated that the capacities of providers in offering on-going technical assistance was fair; while the capacities to offer well-established best practices in local governance was also fair, as asserted by 43.5 percent of the respondents.

Table 18: Competencies of capacity building providers (Multiple responses)

Item	Poor f(%)	Fair f(%)	Good f(%)	Very good f(%)	Excellent f(%)
Skills to deliver the programme	0 (0.0)	9 (2.2)	120 (29.0)	236 (57.0)	49 (11.8)
Expertise	0 (0.0)	14 (3.4)	139 (33.6)	222 (53.6)	39 (9.4)
Offer on-going TA	59 (14.2)	116 (28.0)	102 (24.6)	80 (19.3)	57 (13.8)
Offer best practices	5 (1.2)	180 (43.5)	160 (38.6)	26 (6.3)	43 (10.4)
Offer coaching opportunities	5 (1.2)	180 (43.5)	160 (38.6)	26 (6.3)	43 (10.4)
Offer follow-ups	5 9(14.3)	156 (37.7)	92 (22.2)	83 (20.0)	24 (5.8)
Offer peer exchange opportunities	117 (28.3)	135 (37.0)	78 (18.8)	79 (19.1)	5 (1.2)
Total	191	790	851	752	260

Source: Field survey (2017)

Similar responses were given in the areas of providers' capacity to offer coaching opportunities (43.5%); capacity to offer follow-ups (37.7%); and capacities to offer peer-exchange opportunities (37%). The implication here is that

the learning opportunities for respondents may be short-lived and may not have continued lessons, as espoused by the supply-driven approaches (DFID, 2010; UNDP, 2009). As submitted by the Freeman (2010), OTF (2005), and TCC Group, the provider is supposed to possess the skills of assessing current situations and aiming at future performance; offering coaching and peer exchange opportunities, particularly in participants' functional areas.

Strategies Used in Delivering the Training Programmes

With respect to the strategies used in the delivery of training programmes, respondents were asked to indicate their level of agreement by ticking as many methods as possible using the scale 1 = never; 2 = sometimes; and 3 = always and the results were presented in Appendix D. There were 1579 multiple responses, which 96.1 percent indicated that the Assemblies used workshops always; with 11.6 percent indicating that they sometimes used classroom training; while 10.6 percent were on-line distance education. Technical assistance (TA) was sometimes used (10.9%) and 10.2 percent for vestibule training.

Assembly-specific results were similar as 89 percent of 179 multiple responses from KEEA; 87.1 percent of 225 responses from CCMA; and 93.7 percent of 153 responses from AAK were on workshops. On-line distance education was also sometimes used in KEEA (11.6%); CCMA (14.3%); and AAK (15.7%). The results on the training methods were corroborated in interviews with the officials of the Assemblies that workshops were usually used because of its cost effectiveness as opposed to other forms of training.

211

The use of workshop for training has been found to be extensively used in organisations (Armstrong, 2013), however, research suggests that more tailored and in-depth services such as coaching and mentoring, job shadowing opportunities (CORD, 2009) and twinning opportunities to other similar organisations help professionals to obtain guidance from other senior cadres and have access to information (Otibine, 2016). These strategies are viewed more favourable than access to one-off workshops that fail to connect learning to sustainability after the workshop ends (OECD, 2006; TCC Group, 2010; UNDG, 2011).

Similarly, cross-border twinning and conferences have been found to create networking opportunities between peers and organisations (Otibine, 2016). Interactive conference calls, web-based discussion forums and platforms for international cooperation also facilitate the sharing of knowledge; opportunity for advancement (Rohrbach, Gunning, Sun & Sussman, 2010); and direct the course of participants' own action. Strategies that help participants to learn by 'doing' have been found by learning theorists to be effective and sustainable (Senge, 2004; Karré & van Twist, 2012).

Influence of the Capacity Building Strategies on Respondents

As envisioned in the knowledge-based theories (Senge, 1994; 2004) and the integrated learning models (Leavitt, 2011), for CB programmes to be effective, it should elicit outcomes such as peer-connectedness, networking, mentoring opportunities, empowerment and learning. Hence, respondents were asked to

indicate their views on how their participation in the training programmes influenced them to achieve such outcomes and the results presented in Table 19.

Table 19: Influence of capacity building strategies

Issue	KEEA		CCMA		AAK		Total	
	D	A	D	A	D	A	D	A
	f(%)	f(%)	f(%)	f(%)	f(%)	f(%)	f(%)	f(%)
Provide opportunities for peer-to-peer connection	20 (15.0)	113 (85.0)	26 (16.5)	132 (83.5)	42 (34.1)	81 (65.9)	88 (21.3)	326 (78.7)
Provide networking opportunities	20 (15.0)	113 (85.0)	52 (32.9)	106 (67.1)	33 (26.8)	90 (73.2)	105 (25.4)	309 (74.6)
Provide mentoring opportunities	24 (18.0)	109 (82.0)	39 (24.7)	119 (75.3)	39 (31.7)	84 (68.3)	102 (24.6)	312 (75.4)
Help in information sharing	16 (12.0)	117 (88.0)	14 (8.9)	144 (91.1)	18 (14.6)	105 (85.4)	48 (11.6)	366 (88.4)
Help in forming coaching groups	40 (30.1)	93 (69.9)	95 (60.1)	63 (39.9)	45 (36.6)	78 (63.4)	180 (43.5)	234 (56.5)
Help me to become more motivated to change	20 (15.0)	113 (85.0)	39 (24.7)	119 (75.3)	21 (17.1)	102 (82.9)	80 (19.3)	334 (80.7)
Has helped me to improve my performance	28 (21.1)	105 (78.9)	26 (16.5)	132 (83.5)	7 (5.7)	116 (94.3)	6 (14.7)	353 (85.3)
Helped me to learn	20 (15.0)	113 (85.0)	26 (16.5)	132 (83.5)	3 (2.4)	120 (97.6)	49 (11.8)	365 (88.2)
N	133		158		123		414	

Source: Field survey (2017)

The majority (78.7%) agreed that the methods used provided opportunities for peer-to-peer connections; 74.6 percent agreed that the strategies provided networking opportunities; 75.4 percent agreed that it provided mentoring opportunities; 88.8 percent indicated that the strategies helped in information sharing; while 56.5 percent agreed that the strategies helped in forming coaching groups. Furthermore, 80.7 percent indicated that the method has helped them to

213

become more motivated to change; helped them to improve their performance (85.3%); with 88.2 percent indicating that the strategies had helped them to learn.

The results from the three study areas showed variations in the outcome of their learning experiences. Whereas the strategies helped to establish peer-connectedness, networking, mentoring opportunities and learning, issues on continuous learning and learning the limitations of their own profession were weak. Specific issues on learning related to team learning, individual and team problem-solving, and gaining of experience, among others as indicated in Table 20.

Table 20: Influence of capacity building strategies on learning

Issue	KEEA		CCMA		AAK		Total	
	Weak f(%)	Strong f(%)	Weak f(%)	Strong f(%)	Weak f(%)	Strong f(%)	Weak f(%)	Strong f(%)
Foster individual and team learning	20 (15.0)	113 (85.0)	52 (32.9)	106 (67.1)	15 (12.2)	108 (87.8)	87 (21.0)	327 (79.0)
Foster individual and team problem solving	20 (15.0)	113 (85.0)	52 (32.9)	106 (67.1)	42 (34.1)	81 (65.9)	114 (27.5)	300 (72.5)
Makes me gain experience	6 (4.5)	127 (95.5)	26 (16.5)	132 (83.5)	9 (7.3)	114 (92.7)	41 (9.9)	373 (90.1)
Be innovative	20 (15.0)	113 (85.0)	26 (16.5)	132 (83.5)	18 (14.6)	105 (85.4)	64 (15.5)	341 (82.4)
Use skills and knowledge acquired	24 (18.1)	109 (81.9)	26 (16.5)	132 (83.5)	27 (22.0)	96 (70.0)	77 (18.6)	337 (81.4)
Committed to continuous learning and improvement	8 (6.0)	125 (94.0)	39 (24.7)	119 (75.3)	51 (41.5)	72 (58.5)	98 (23.7)	316 (76.3)
Learn the limitations of my profession	18 (13.5)	115 (86.5)	61 (38.6)	97 (61.4)	48 (39.0)	75 (61.0)	127 (30.7)	287 (69.3)
Total	133(100.0)		158(100.0)		123(100.0)		414(100.0)	

Source: Field survey (2017)

214

From the table, the majority (79%) of the respondents indicated that the approach foster individual and team learning; 72.5 percent indicated that the approach foster individual and team problem solving; while 90.1 percent indicated that the approach helped them to gain experience. About 82 percent indicated that the approach helped them to be innovative; with 81.4 percent indicating that the approach helped them to use skills and knowledge acquired. However, results on whether the approach helped them to commit to continuous learning and improvement and helped them to learn the limitations of their own profession, 76.3 percent and 69.3 percent indicated weak approach respectively.

Respondents in the three Assemblies agreed to all eight indicators with results ranging from 94.3 percent to 56.5 percent. For example, in KEEA, respondents ranging from 95.5 percent to 85 percent indicated strong approach to five items, including the approach foster individual and team learning and the approach helps them gain experience. However, 94 percent and 86.5 percent indicated that weaknesses in the approach to help them commit to continuous learning and improvement, and also to learn their own limitations respectively.

Results from CCMA indicated that 83.5 percent indicated strong approach helping them gain experience, being innovative, and used skills and knowledge acquired respectively; with 67 percent indicating that the approach foster individual and team learning, and problem solving respectively. Contrary to these results, 75.3 percent indicated that the approach was weak in helping them commit to continuous learning and improvement, with 61.4 percent indicating weakness in helping them learn their limitations. Similar views were expressed in AAK where 92.7 percent

indicated that the approach helps them gain experience; 87.8 percent indicated strong approach to foster individual and team learning; 85.4 percent to be innovative; 70 percent indicate strong approach to help use skills and knowledge acquired; with 65.9 percent indicating strong approach to foster problem solving.

The results in AAK notwithstanding, 58.5 percent indicated weaknesses in the approach to help them commit to continuous learning; while 61 percent also indicated weaknesses in the approach in helping them learn the limitations of their own profession. These results were corroborated in interviews with officials in the respective assemblies.

Researchers such as Flaspohler, et al (2012), Rohrbach et al., (2010), and TCC Group (2010) found that CB programmes designed to help individuals share knowledge, skills, resources and tools, as well as serve as coaching groups help participants become more 'motivated' to change, and empower them to do their work. However, predominant supply and demand-driven approaches to CB do not leave beneficiaries with learning lessons (Babu & Sengupta, 2006; Langaas et. al., 2009; OECD, 2010).

According to Leeman et al., (2015) and Otibine (2016), CB programmes comprehensively designed to improve the knowledge, skills, and abilities (KSAs) of beneficiaries are more effective than one-off workshops that fail to connect learning to sustainability after the workshop ends (OECD, 2006; TCC Group, 2010; UNDG, 2011). Mayer and Doherty (2003) found that learning occurs once an individual acquires knowledge and experience. This implies that efforts should be made to include other training strategies, such as coaching, mentoring, and

216

twinning so that actors in the three study areas will continue learning for sustainable KSAs.

Capacity Building Approach and Empowerment in the Selected Metropolitan, Municipal District Assemblies

Research objective five focused on assessing the CB approaches used in the selected MMDAs and how they influence empowerment issues such as the approach helps to get support from leadership', and the 'approach helps to get resources from the Assembly'. An assumption that much research has not been conducted on in organisations is the fact that participation in the process, leadership support, human resources with expertise, physical and financial resources, and timeliness of development interventions empower beneficiaries at the community level to do their work (Leeman et al, 2015; UNDG, 2011). Hence, this study sought to assess how these elements engender empowerment in the selected MMDAs for CB to be effective. Respondents were asked to indicate whether the approach was weak or strong in empowering them to achieve their functional mandate.

Assembly overall results on empowerment issues showed that between 93.5 percent and 74.9 percent of the respondents reported that the approach was strong in empowering them to do their work. Specifically, 93.5 percent reported strong approach in helping them share quality information; 91.8 percent indicated the approach was strong to help them build confidence; and 88. 9 percent point to strong approach in helping them improve knowledge and competencies. Others were strong approach to improve self-efficacy (88.6%); incentivise them to change

217

(88.4%); build trust in authorities (74.9); and helped improve provision and distribution of public facilities (72.2%).

A chi-square test of independence was used to explore association between the CB approaches and empowerment in the three study assemblies as presented in Appendix E. The association between the ability of respondents to share quality of information during the CB activities in the respective districts was tested using chi-square. The results ($X^2 = 388.34$, p-value = .000) indicated a significant association between the sharing of quality information and the district. Assembly-specific results were akin to the overall responses where 98.5 percent, 91.8 percent, and 90.2 percent from KEEA, CCMA, and AAK respectively indicated that the approach was strong in helping them share quality information. As evident in the associated cross-tab, respondents in KEEA, CCMA and AAK felt that information sharing is strongly done in their respective assemblies. This results confirms the responses on how respondents get information from the Assemblies, and they indicated that the assemblies give them information through meetings and other reports.

On respondents' getting support from leadership in the CB process, the chi-square results ($X^2 = 525.43$, p-value .000) indicated significant association. However, responses from all three study assemblies indicated weaknesses in getting support from leadership in the CB process with 94.3 percent from CCMA, 88.2 percent from AAK and relatively smaller (54.1%) from KEEA. Reasons assigned to the results were that leadership do not take the CB approach serious, and that funds meant for CB activities were diverted for other projects. With

CCMA, respondents felt that authorities do not care to assess their needs to give them the needed support to achieve their objectives.

Similarly, chi-square results on the association between getting resources to work was ($X^2 = 318.21$, p-value .000) indicated significant association. As shown in the cross-tab, respondents felt they had weaknesses across the three MMDAs in receiving resources to do their work with 88.6 percent from CCMA, 70.7 percent from AAK, and 64.7 percent from KEEA. This result reflects what is occurring in the MMDAs and confirms interview responses that there is lack of resources to achieve their mandate.

The association between opportunity for advancement in the districts ($X^2 = 498.62$, p-value .000); giving them opportunity for decision-making ($X^2 = 498.51$, p-value .000), developing a sense of responsibility ($X^2 = 348.70$, p-value .000); and helping them to direct their own course of development ($X^2 = 512.468$, p-value .000) all showed significant association respectively. However, respondents felt weaknesses in getting opportunities for advancement as evident in the cross-tab with KEEA (57.9%); CCMA (77.2%); and AAK (70.7%).

Similar weaknesses ranging between 70 – 50 percent were shown across the three MMDAs on the opportunity for decision-making, developing a sense of responsibility; and faced inhibitions in determining their own course of development. Some of the reasons for such results were that the authorities do not involve them when they are taking decisions and also are bias when it comes to providing funds for them to improve their knowledge. Most of these responses were from the Assembly members of the three MMDAs. These are the appointed and

219

elected members who are to engage their community members and present their concerns to the Assemblies. These results may mean that these individuals cannot take charge of the responsibilities of their communities and may have serious implications for the responsiveness and development of their districts. As one of the HR heads indicated, the number of staff who submit letters of interest for further studies outnumber the funds received so they always had to weigh the pros and cons before they consider such applications. These results contravenes the Assemblies' mandate of involving actors in making decisions that confronts their communities.

Association between the ability to improve on the provision and distribution of public facility and the district using chi-square test resulted in ($X^2 = 406.23$, p-value .000). The chi-square test on the association between the process and its incentive to change ($X^2 = 384.91$, p-value .000); help them build confidence ($X^2 = 388.36$, p-value .000); build trust in authorities ($X^2 = 379.21$, p-value .000); improve self-efficacy ($X^2 = 408.53$, p-value .000); and improve knowledge and competence ($X^2 = 408.53$, p-value .000) all indicated significant associations. As evident in the associated cross-tab from the Assemblies, respondents felt strongly that the process helps them in improving on the provision and distribution of public facility as indicated in KEEA (77.4%), CCMA (63.3%), and AAK (78%). These results were attributed to the many training programmes on the laws and policies governing their mandates that they have gone through.

The RSE (2014) submits that empowerment depends on communities developing strong identities of their own through engagements and co-designed programmes in order to be recognised as genuinely being 'confident, resilient,

energetic and independent. Co-design places communities in the position of active participants, and not passive recipients of public services and support. As envisaged by Zimmerman (2000), co-designing the CB process enables organisations to harness the ideas and insights of employees, and inevitably has a transformative impact on the way services are delivered as a result. Co-design is one indicator for increased empowerment.

The chi-square results show that lack of success drivers such as leadership support, human resources with expertise, adequate physical and financial resources, and timeliness in the approach to CB will not empower beneficiaries for the achievement of intended results (Kobusingye & Omvia, 2015; Leeman et al, 2015; and Zimmerman, 2000). According to the RSE (2014), empowerment is generally considered good in and of itself, but becomes transformative when individuals are empowered to achieve and change things for themselves.

The first section of this chapter dealt with research objectives 4 and 5. The following section focused on objectives 6 and 7. Objective 6 sought to assess the existing capacities in the three study areas to ascertain their strength; while objective 7 was on ways to improve the CB approach.

Existing Capacities in Selected Metropolitan, Municipal, District Assemblies

The results in this section was focused on objective five, which sought to assess the existing capacities of the three Assemblies under study. The framework of taxonomy of institutional capacities adapted from Whole and Hatry (1994) and Connelly and York (2005) for institutional development, and discussed in Chapter

Four and in the conceptual framework of this thesis was used. Similarly, organisations should have resources in order to operate (Leeman et al, 2015). As such, organisational capacities assessed were (i) resource capacity, which included human resources, materials, financial, information technology, and other systems that are designed to maximise the performance of the organisations; (ii) leadership capacities, (iii) human resource management capacities, (iv) financial resource management capacities, (v) technical capacities, and (vi) adaptive capacities, and the results were presented in the following section.

Resource capacity

As espoused by the dynamic capability's theory, institutions require resources, processes, and procedures to be dynamic and competitive. Hence, resource capacity was measured using five items: physical equipment and office space, Information Technology and office systems, staffing, and funds for the implementation of CB in the respective Assemblies.

Physical equipment and office space

On physical equipment and office space, the analysis sought to establish opinions of the 282 core staff of the respective MMDAs because they perform the day-to-day activities and therefore, in the position to respond to the issues. Table 21 presents results on office equipment and office space. Respondents were asked to indicate the adequacy of equipment such as computers, printers, and other office materials to work with. From the Table, 63.5 percent reported inadequate

222

equipment. Specific results from the three MMDAs indicated that 60.4 percent, 50 percent, and 82.8 percent for KEEAMA, CCMA, and AAKDA respectively reported inadequate equipment.

For example, at KEEAMA, some of the HoDs reported using their own laptops to work. For example, one of them commented "I am using my own laptop to do official work, which means that in the event that I am transferred, there is no institutional memory because I will go with it". Similarly, in an interview with one of the heads in CCMA, he commented that "….Madam, look at where we are housed and how deplorable our vehicles are. We have submitted so many pro-forma invoices and nothing is happening. Our budget is even not included in the main budget. We are seen as aliens in the Assembly".

The results on physical equipment such as computers, general logistics and materials were in contravention to Leeman et al's (2015) and Olusegun, Oluwasayo and Olawoyim's (2014) findings. They found that organisations need physical equipment to plan, implement, or organise, summarise, communicate knowledge, and evaluate an intervention.

On office space, a total of 146 staff of the 282 representing 51.8 percent from the three MMDAs reported having adequate physical space. However, specific results from CCMA showed about 38 (37.5) percent indicating inadequate physical facilities. For instance, one of the HoDs in CCMA complained that: "…..madam, you have seen our situation where three people are sharing this small office; there is no privacy and you even sometimes lose concentration". This was

affirmed by respondents from the Department of Roads, who were hitherto with Ministry of Roads and Highways before the integration.

Table 21: Adequacy of physical equipment and office space

Issues	KEEA	CCMA	AAKDA	Total
Physical equipment	*f(%)*	*f(%)*	*f(%)*	*f(%)*
Very inadequate	0(0.0)	52(50.0)	3(3.4)	55(19.5)
Inadequate	55(60.4)	52(50.0)	72(82.8)	179(63.5)
Adequate	32(35.2)	0(0.0	3(3.4)	35(12.4)
Very adequate	4(4.4)	0(0.0)	9(10.3	13(4.6)
Total	91(100.0)	104(100.0)	87(100.0	282(100.0)
Office space				
Very inadequate	0(0.0)	39(37.5)	9(10.3	48(17.0)
Inadequate	12(13.2)	39(37.5)	24(27.6)	75(26.6)
Adequate	75(82.4)	26(25.0)	45(51.7)	146(51.8)
Very adequate	4(4.4)	0(0.0)	9(10.3	13(4.6)
Total	91(100.0)	104(100.0)	87(100.0)	282(100.0)

Source: Field survey (2017)

Information Technology (IT)and Office Systems

Responses on IT are presented in Table 22. About 63 percent (62.8%) of the respondents indicated the IT systems in the respective assemblies were poor. From the Table, 69 percent from KEEAMA, 75 percent from CCMA and about 76 (75.9) percent from AAKDA responded that although there was Internet and Websites, they were very poor.

Table 22: Existence of Information Technology

	KEEA	CCMA	AAKDA	Total
Rating of the IT system	*f(%)*	*f(%)*	*f(%)*	*f(%)*
Very poor	0(0.0	13(12.5)	3(3.4)	16(5.7)
Poor	43(47.3)	65(62.5)	69(79.3)	177(62.8)
Good	40(44.4)	26(25.0)	15(17.2)	81(28.7)
Very good	8(8.8)	0(0.0)	0(0.0)	8(2.8)
Total	91(100.0)	104(100.0)	87(100.0)	282(100.0)

Source: Field survey (2017)

Interviews with some of the HoDs from the three Assemblies confirmed the inadequacies of IT facilities. For example, when asked whether there were modern mechanisms to disseminate or store information, one of them bemoaned that, "the Internet had been off for the past three months and the many reports was not yielding any response. I have to use my own modem to work". Technology has changed many aspects of operation and direction in organisations, and contributes to the development of performance (TCC Group, 2010). Otibine (2016) found that besides the impact on the organisational performance, technology also influences the living conditions of groups and individuals as well as the relationship between staff.

Organisational systems included Performance Management System (PMS), Quality Assurance System (QAS), Capacity Building Framework (CBF), and Financial Management System (FMS). On PMS and CBF, all heads of the three Assemblies admitted that apart from the existence of a performance appraisal tool,

225

there were no PMS and CBF in place. This result was affirmed by the Coordinator at the LGS that they had developed those systems but were piloting to ascertain their effectiveness. When asked how MMDAs were expected to go through CB processes, he indicated that they were using the FOAT indicators for training. Armstrong (2011) points out that organisational systems such as PMS helps in a continuous process of identifying, measuring, and developing the performance of individuals and aligning performance with the strategic goals of the organisation.

On the existence of quality assurance system (QAS) and financial management system (FMS), it was gathered that the three Assemblies had put in place those systems to control their activities. This was in conformity with Aduware's (2011), McGill (2012), and Otibine's (2016) assertion that QAS and FMS help to plan and control resources and ensure accurate forecasting and tracking of expenditure. According to McGill, a functional FMS is one of the conditions, by way of capacity, to allow a district to perform.

Other organisational systems assessed were the mission and vision statements, written policies, as well as procedures for the conduct of their mandate. On the issue of mission and vision statements in the Assemblies, 85.5 percent and 79.8 percent of the 282 respondents respectively indicated that there were clearly defined and shared mission and vision statements. According to Mckinsey (2001), culture holds the organisation together; this means that individuals in organisations should share the same vision and values.

On the issue on formal written policies and procedures that are consistent with the values of the Assemblies, 58 percent said there were Statutes,

226

Administrative procedures for meetings, the Local Governance Act 2016 (Act 936), and other Legislative Instruments that govern the Assemblies. These were confirmed by the HoDs and Director of HR, LGS by showing copies to the researcher. The results are compatible with Ojo's (2009) assertion. According to him, it is important that the organisational culture is developed to support continuous improvement in employee's performance so that employees are able to identify with the values, norms and artifacts of the organisation.

On the part of the Assembly Members, majority (85%) reported lack of space, facilities, and logistics to work within the communities. For example, one of the elected members who was also a teacher said, "Madam, there is no place that I can point as my office and my community members always have to chase me in school to report issues, which is sometimes embarrassing". However, all of them (100%) strongly agreed to the existence of policies and procedures to guide their meetings.

Staffing

Human resources are the most valuable assets and serve as backbone of organisations (Omotayo &Adeneke, 2013). Thus, for MMDAs to be able to discharge their duties, they require qualified key leaders and staff with requisite skills and abilities. Interviews and documentary review at the three Assemblies showed that, apart from AAKDA where there was no Engineer as at the time of data collection, all key leaders were at post, as shown in Table 23.

Table 23: Leadership in the Assembly

Position	CCMA	KEEMA	AAKDA
Municipal/District Chief Executives	√	√	√
Coordinating Directors	√	√	√
Planning Officers	√	√	√
Directors of Agriculture	√	√	√
Directors of Education	√	√	√
Directors of Health	√	√	√
Finance Officers	√	√	√
Budget Officers	√	√	√
Social Welfare Officers	√	√	√
Engineers	√	√	Nil
Development Planning Officers	√	√	√
Assembly Members (Elected/appointed)	√	√	√
Unit Committee Members	X	X	X

Source: Field Survey, 2017

McGill (2010) has stated that one of the minimum conditions for a district by way of capacity to allow it to perform is key district staff. On existing departments and general staffing issues, it was gathered that not all of the departments were fully integrated. For example, in CCMA, Budget and Rating, Disaster Prevention (referred to as NADMO), Natural Resources, Housing, Statistics, and Human Resources were still units under the Central Administration. Similar issues were also seen in the other two Assemblies. This situation does not support the Local Governance Act 2016 (Act 936) that enjoins all centralized departments to be integrated into the decentralised system.

On general staffing with requisite qualification and skills, interviews showed that there were inadequacies in some departments, while others were

overstaffed. For instance, in KEEA, the District Planning Officer was without an assistant, so he was the only one who doubled as the administrator. When enquired about the inadequacies of number of staff, the HR unit heads indicated that, they did not have the mandate to recruit. Furthermore, they were not departmentalised and also did not have the required staff and equipment to function. For example, one of HR unit heads purported "Recruitment is still done at the LGS without enquiring about our needs and we are not involved in the process. We are not seen as useful because our duties are being done by the LGS while we sit in the offices receiving complaints here and there".

Thus, in cases of staff vacancies, the Assemblies make requests to the LGS for replacement, which is in line with Section 20 of the Local Governance Act 2016, Act 936. Section 20 states that recruitment should be done by the Service in consultation with the individual Assembly. However, this study found that the LGS posts staff to the respective Assemblies without their consultation, and these were some of the reasons why some departments are overstaffed and others understaffed. The head of HR unit of CCMA remarked that "…some of the staff have no qualification, skill or any knowledge about the work we do here". People who are sent here are either not with requisite qualification or skills to operate".

Further interviews with the HR Director at the LGS on general staffing issues in the Assemblies showed that first, government has for a long time placed a ban on recruitment and they only replace staff when someone was going on retirement. According to him, in some cases, the person going on retirement may not be a senior staff and because they have to use the staff number of that retiree, it

is difficult to send qualified personnel. For example, if a labourer is going on retirement, they would have to use the staff number of that person for the replacement. For that reason, people with higher qualifications were even placed as labourers, which make some of the departments, for example, overstaffed. This could partly affect the quality of staff the assemblies could attract for their technical activities as many experienced and highly qualified people may not want to be placed into portfolios lower than their qualifications.

Based on their experiences, one HoD from KEEA commented that "decentralisation will be effective if central ministries will leave Assemblies to work at their various localities because they know the demands of the work they do". Mascarenhas (1996) found that one of the major barriers to the execution of development interventions is lack of experience and expertise. Human capital theorists aver that individuals should have the knowledge, skills, and abilities to be able to perform (Schultz, 2009).

Financial resource for the implementation of development projects

As discussed in Chapter Two, the 1992 Constitution of the Republic of Ghana, under the directive principles of State policy, established the District Assembly's Common Fund (DACF) (part of which is used to develop capacities) and other grants-in-aid and taxable elements for implementing development activities in the districts. In addition, a tailor-made CB grant is also established as part of the DDF since 2006 (DDF Secretariat, 2014). Therefore, key staff of the studied Assemblies and the HR Director at LGS were interviewed on the (i) size of

230

the grants; (ii) timely allocation of the grants to the districts; (iii) utilisation of the grants at the districts; (iv) impact of the grant on the development of capacities of the MMDAs.

Size of the grant

On the size of the grant, interviews with national directors showed that the DDF is jointly funded by the GoG and her DPs, specifically, the Canadian International Development Agency (CIDA), the Danish International Development Assistance (DANIDA), Kreditanstallt fŏr Wiederaufbau (German Development Bank, KfW) and AfID (MLGRD, 2010; DDF Secretariat, 2014). According to them, the GoG provides about USD 10.5 million a year (sourced from the DACF) and DPs provide about USD 14.5 million with commitments to increase their contribution over time. A letter of Intent has been signed by the contributing DPs and GoG regarding levels of funding, fund-flow arrangements and modalities for planning, budgeting, reporting and accounting for the funds (LGS, 2017).

On whether the grant was adequate for CB activities, the HR Director at the LGS opined that when you look at the number of people in the MMDAs vis-à-vis the average cost of training one person, the grant was inadequate. However, he was quick to add that in spite of the inadequacies, the grant had really helped in the development of skills and basic infrastructure for the MMDAs. On the part of officials of the respective Assemblies, the grant was adequate as it had helped them to address weaknesses identified during the assessment period. According to them,

231

prior to the institution of the CB grant, there were large gaps in capacity but the grant has helped to close those gaps, although there is more to be done.

Timely allocation of the CB grant

In relation to the timely allocation of the grant, all key staff interviewed reported that the allocation was not timely. For example, at the time of the data collection in November 2017, allocation for 2014 CB grant had not been released. The HR Director explained that DPs were always ready with their percentage of the grant but the problem was that of the GoG's part of the agreement. He bemoaned "We go through a lot of hell to get the grants released". According to officials in the respective Assemblies, the late release of the grants makes them not able to achieve their CB plans.

Utilisation of the CB grant

Relating to the utilisation of the CB grant at the district level, all key staff interviewed, especially HR unit heads, had problems with the management and utilisation of the grant. According to the HR heads, their budgets for training was always cut down, thus making it difficult to implement their proposed programmes.

For instance, one of them lamented that

"This is the problem I have. As the HR, I am supposed to do the needs assessment and submit my report with the budget. But once the funds are released, finance officer and planning officer will be reluctant in allocating

the funds. Sometimes the budget is cut and you don't know where the rest of the money goes".

In another district, the HR head said "There had been occasions where some gaps have been identified in the assessment but monies that come to the Assembly are not used for those purposes".

The discourse confirms Langaas et. al., (2009) who found that strategies on financial assistance or supply of physical resources to improve the conditions of capacity development is prevalent among many development agencies. However, they succumb that the strategy sometimes may not function well, because there is the risk that the resources supplied may be appropriated by officials of the institutions for their own personal benefits. They conclude that in other circumstances, the supply of resources may make the institutions donor-dependent also in the long run. The supply of resources becomes pay-offs rather than incentives and does not lead to a sustained development of the institutions.

Impact of the grant on the development of capacities of the MMDAs

Interviews on the impact of the grants to the respective Assemblies showed that it was impactful. Almost every CB activity organised by the Assembly was from the DDF, IGF and the Common Fund. The HR Director at LGS submitted that the DDF and CB grant had greatly helped them put in place some administrative structures, which were hitherto, not in place. For example, part of the grant had been used to develop tools such as manuals for management training, performance

management system, administrative procedures, and capacity building framework (being piloted).

Apart from these tools, a lot of training interventions have also been implemented. The results were supported by officials in the Assemblies. For example, when one of the Planning Officers was asked about the impact, he acceded that "A lot, a lot. I am just wondering what will become of the Assemblies if the grant comes to an end somewhere next year. It has become the main stay of finance for development activities of the Assembly". The findings support Langaas et al's (2009:5) assertion that in several circumstances, the provision of funds, training and machinery has helped institutions develop, and in particular, get through critical periods. However, the timely allocation was also a deciding factor.

Leadership capacity

Leadership capacity was measured with six items including 'authorities have the ability to translate the vision, mission, value framework into strategic (medium term) and operational (concrete and short) terms'; 'have the ability to manage relations, develop and maintain partnerships and networks with important stakeholders'; and 'have the ability to develop key messages about the organisation's objectives, plans, policies, procedures and performance'. Table 24 presents the overall views of respondents. Percentages are presented in parenthesis.

The results showed that the employees perceived their leaders as having weak leadership capacities. Of the 282 responses, 58.9 percent indicated that the Assemblies had weak leadership capacities. Similar proportions were observed in

234

the MMDA-specific responses. For example, 51.6 percent in KEEA, 62.5 percent in CCMA, and 62.1 percent in AAK indicated weak leadership capacities.

On the part of the Assembly members, they indicated that authorities had moderate leadership capacities. Of the 132 respondents, 69.7 percent indicated moderate leadership capacities. Specifically, 47.6 percent, 66.7 percent, and 100.0 percent from KEEAMA, CCMA, and AAKDA respectively indicated that there were moderate leadership capacities in their respective Assemblies. The results were affirmed by HoDs who indicated that there were moderate leadership capacity. Interviews conducted showed that some of the leaders lacked the requisite skills and ability when it came to strategic planning, monitoring and evaluation of activities.

Table 24: Leadership capacity

Issues	KEEA	CCMA	AAK	Total
	f(%)	f(%)	f(%)	f(%)
Very weak	2(0.0)	26(25.0)	0(0.0)	26(9.2)
Weak	53(51.6)	74(62.5)	54(62.1)	166(58.9)
Moderate	44(26.4)	36(0.0)	45(10.3)	33(11.7)
Strong	30(17.6)	22(12.5)	24(27.6)	53(18.8)
Very strong	4(4.4)	0(0.0)	0(0.0)	4(1.4)
Total	91(100.0)	104(100.0)	87(100.0)	282(100.0)

Source: Field survey, 2017

The results from the staff of the three assemblies were in contravention with Connelly and York's (2005) assertion that all organisational leaders should have strong abilities to create and sustain the vision, inspire, model, prioritize, make decisions, provide direction, and innovate, and motivate others in an effort to achieve the mission of the organisation. This has been reiterated by Ahwoi (2010) that for decentralisation to be effective and achieve its goal, there should be capacities to plan, initiate, coordinate, manage, and execute development policies and programmes.

When asked whether there were explicit leadership strategies in place to build leaders capacities, all the directors affirmed positively that there were strategies in place. For example, there was a schedule for leadership training, and manuals for the training had been developed. However, training depended on the availability of funds. The existence of leadership strategies was in line with best practices found in studies by Otibine (2016). As Pasmore (2014) notes, leadership strategy makes explicit how many leaders an organisation need, of what kind, where, with what skills, and behaving in what fashion individually and collectively to achieve the total success.

Studies conducted by scholars found that, among the tools that practitioners use in building capacities were manuals designed to guide practitioners in conducting an overall planning process (Chinman et al., 2008); delivering a specific intervention (Harshbarger et al, 2006); e-newsletters (Beam et al., 2012); intervention materials (Glanz et al., 2005), evaluation tools (Emmons et al. 2008), and site-specific written recommendations (Hannon et al., 2012).

236

Human resource management capacity

Human resource management is the aspect of management, which deals with the planning, organising, staffing, directing and controlling the personnel functions of the organisation (Ragupathi, 2013). Thus, human resource management capacity in the three Assemblies was measured using eight items, which include 'Authorities have capacity to manage performance expectations and assess staff performance; involve employees, through dialogue and empowerment, in the identification and implementation of performance improvement plans; and frame, manage and interpret a comprehensive situation analysis of and create a vision for human resource development. The results was presented in Table 25.

Table 25: Human resource management capacity

Issues	KEEA	CCMA	AAK	Total
	f(%)	f(%)	f(%)	f(%)
Very weak	0(0.0)	13(12.5)	6(6.9)	19(6.7)
Weak	38(8.8)	35(25.0)	24(17.2)	49(17.4)
Moderate	67(40.4)	101(62.5)	56(44.8)	159(56.4)
Strong	24(26.4)	0(0.0)	18(20.7)	42(14.9)
Very strong	4(4.4)	0(0.0)	9(10.3)	13(4.6)
Total	91(100.0)	104(100.0)	87(100.0)	282(100.0)

Source: Field survey, 2017

From the table, majority (56.4%) of the respondents from the three Assemblies indicated that human resource management capacity was moderate.

237

Specific results from KEEA, CCMA, and AAK were 40.4 percent, 62.5 percent and 44.8 percent respectively. Interviews with heads of department showed that there was moderate human resource management capacity. On the part of heads of HR units, they pointed out that although they have the requisite qualification and skills to manage the people, they were not allowed to exercise their mandate as HR officers. For instance, they were still under central administration in all the three Assemblies and lack logistics to work. One of them said "we do not have the power or authority to recruit or select employees for the Assembly".

In local government, human resource management capacity is very important as it relates to the acquisition of people, development of people, motivation of people, and as well as maintenance of human resources (Ragupathi, 2013). Hence, employees' perception of authorities having moderate human resource capacity may have implications for the maintenance of healthy human relations and the development of individuals for the achievement of development goals.

Financial resources management capacity

The efficient and effective management of local government finances is critical to the nature and scope of local service provision (Aryee, 1990). The scope of local government financial management essentially covers a series or processes involved in collecting, budgeting, appropriating and expending public moneys, auditing income and expenditure receipts, and disbursement; accounting for assets and liabilities; receipts and disbursements; and the condition of funds and

appropriation. Thus, financial management capacity was measured using six items including 'authorities have capacity to mobilise both internal and external funds', 'conduct a cost-benefit analysis in developing its financial plan'; and 'monitor the use of financial resources and cost of delivery of standard products and services. The results from staff are presented in Table 26.

Table 26: Financial resources management capacity

Issues	KEEA	CCMA	AAK	Total
	f(%)	f(%)	f(%)	f(%)
Very weak	0(0.0)	0(0.0)	0(0.0)	0(0.0)
Weak	26(19.8)	34(24.0)	20(12.7)	54(19.1)
Moderate	51(31.9)	75(37.5)	46(21.8)	87(30.9)
Strong	52(43.9)	35(25.0)	39(44.8)	105(36.2)
Very strong	4(4.4)	14(13.5)	18(20.7)	36(13.8)
Total	91(100.0)	104(100.0)	87(100.0)	282(100.0)

Source: Field survey, 2017

From Table 26, 36.2 percent of respondents indicated that authorities in the three Assemblies have strong financial management capacity, with 30.9 also indicating that authorities have weak capacities. Similar results were recorded in KEEA (43.3%) and AAK (44.8%). However, in CCMA, respondents perceived authorities as having moderate (37.5%) financial management capacity because of

some training in financial management and budgeting received at GIMPA, Institute of Local Government, and workshops by other NGOs. The mixed results in the area of financial management capacities may have adverse implication in the collection of revenue, rendering of accounts, internal auditing, and management of their finances.

As espoused by Elliot (1972), within management and control, the production and analysis of financial information, which includes management reporting, financial analysis, budgeting and forecasting are activities where finance departments have high responsibility and the potential to significantly impact on organisational performance. The issue of concern is the weak financial management capacity of the MMDAs to manage their finances, especially, the CB funds.

Technical capacity

Technical capacity was measured with six statements including "authorities having capacity to access, gather, and disaggregate data and information on projects"; "translating information into a vision and/or mandate", "developing and designing programmes" and "networking and engaging domestic and external stakeholders, such as NGOs and CBOs in the process of developing project plans". The results are presented in Table 27.

Table 27: Technical capacity

Issues	KEEA f(%)	CCMA f(%)	AAK f(%)	Total
Very weak	2(0.0)	26(25.0)	12(13.8)	38(13.5)
Weak	47(42.9)	65(62.5)	36(41.4)	140(49.6)
Moderate	44(22.2)	45(0.0)	15(17.2)	35(12.4)
Strong	28(22.0)	13(12.5)	15(17.2)	48(17.0)
Very strong	12(13.2)	0(0.0)	9(10.3)	21(7.4)
Total	91(100.0)	104(100.0)	87(100.0)	282(100.0)

Source: Field survey, 2017

In general 49.6 percent of respondents from all three Assemblies indicated that authorities had weak technical capacities. Specifically, 42.9 percent, 62.5 percent, and 41.4 percent from KEEA, CCMA, and AAK respectively had weak technical capacities. The results may have serious implications for the Assemblies. The identification of new and emerging hardware, software and communication technologies and products, services, methods and techniques and the assessment of their relevance and potential value as business enablers, improvements in cost/performance or sustainability is important in today's business (SFIA Foundation, 2017).

According to the SFIA Foundation (2017) report, ensuring that appropriate methods and tools for the planning, development, testing, operation, management and maintenance of systems are adopted and used effectively throughout the organisation is important for the development of any community. The creation and maintenance of overall network plans, encompassing the communication of data,

voice, text and image, in the support of an organisation's business strategy, and the promotion of emerging technology awareness among staff and business management within local government institutions is critical for organisational effectiveness. In addition, the identification of information systems which support critical business processes, the assessment of risks to those systems' availability, integrity and confidentiality and the co-ordination of planning, designing, testing and maintenance procedures and contingency plans to address exposures and maintain agreed levels of continuity builds organisations for continued community development.

Adaptive capacity

Development policy increasingly focuses on building capacities to respond to change (adaptation), and to drive change (innovation) (Cohen, et al, 2016). Adaptive capacity was measured using eight items. These included 'authorities having capacity to monitor, assess, respond to, and creating internal and external changes"; "learning about what is happening in the local community as well as staying current with what is going through networking with community leaders and funders"; and "assessing the needs of clients, and using the results of programme evaluation as a learning tool in enhancing programme delivery". The results are presented in Table 28.

Table 28: Adaptive capacity

Issues	KEEA f(%)	CCMA f(%)	AAK f(%)	Total
Very weak	0(0.0)	26(25.0)	3(3.4)	29(10.3)
Weak	4(4.4)	26(25.0)	9(10.3)	39(13.8)
Moderate	47(51.6)	52(50.0)	48(55.2)	147(52.1)
Strong	32(35.2)	0(0.0)	15(17.2)	47(16.7)
Very strong	8(8.8)	0(0.0)	12(13.8)	20(7.1)
Total	91(100.0)	104(100.0)	87(100.0)	282(100.0)

Source: Field survey, 2017

From Table 28, adaptive capacity was perceived to be moderate in all three Assemblies as indicated by 52.1 percent of the respondents. Specific results from KEEA showed 51.6 percent; 50 percent from CCMA and 55.2 percent from AAK. As Adger (2006) notes, adaptive capacity is a component of both resilience building and vulnerability reducing approaches. Resilience-building or vulnerability-reducing approaches identify the importance of recognising, protecting and strengthening inherent capacities of individuals to deal with inevitable change, and also to drive change in a manner that will lead to widespread and sustainable improvements to well-being. This means that if actors in the local governance system have strong adaptive capacities, they will be able to assess the needs of clients, and use the results of programme evaluation as a learning tool in enhancing programme delivery to help build the communities they are located (TCC Group, 2010).

243

In general, the results on institutional capacity from the three Assemblies were moderate, as opposed to what Brown and Westaway (2011), Graham (2002) and Lemos et al. (2007) contend that, the goal of CB is to build strong and resilient capacities to improve the organisation's overall performance. The study also showed responses to challenges confronting the MMDAs in the implementation of CB with the aim of answering research objective 7. These responses, as discussed in the sub-section that follows, showed that a lot more had to be done by the leadership to ensure strong capacities are built and on sustainable basis.

Improving Capacity Building Activities in Metropolitan, Municipal and District Assemblies

Consistent with objective 6 and the conceptual framework of this study, the eight-research question was how to improve CB activities in the MMDAs. The first part of this section presents the FOAT indicators and the performance of the selected MMDAs. The reason being that the FOAT assessment itself was seen as a CB process through which capacity gaps are identified, CB programmes are suggested, and CB fund is provided through the DDF. Thereafter, the challenges and ways to improve CB activities to enhance the mandate of MMDAs are also discusses.

The Functional Organisational Assessment Tool Framework

To aid in the understanding of the FOAT framework, it is important to examine the contextual factors that influenced the framework and its operationalization. Thus, in this section, the findings and discussion on the

244

background of the FOAT, the processes, as well as the results of the performance of the three MMDAs from 2006 to 2014 are presented. The Government of Ghana (GoG), through the MLGRD and its development partners (DPs) specifically, the Canadian International Development Agency (CIDA), the Danish International Development Assistance (DANIDA), Kreditanstallt fŭr Wiederaufbau (German Development Bank, KfW) and AfID, introduced the Functional Organisational Assessment Tool (FOAT) to measure the performance of MMDAs in order to access additional discretionary funding known as the District Development Facility (DDF) (GoG, 2008; MLGRD, 2010). There are three pillars of the system, namely the capital/development grant, performance assessment, and capacity building grant as shown in Figure 13.

The DDF was established in 2008 to provide additional grants to MMDAs to complement the DACF, and marks a transition in the field of decentralisation from a project-based approach to a programme-based approach using existing national institutions and procedures. The aim is to (i) mobilise additional financial resources for MMDAs; (ii) provide incentives for performance in complying with Government of Ghana (GoG) legal and regulatory frameworks; (iii) establish a link between performance assessment and capacity-development support, and (iv) ensure harmonised systems for investment funding and capacity-building support to MMDAs (MLGRD 2012a).
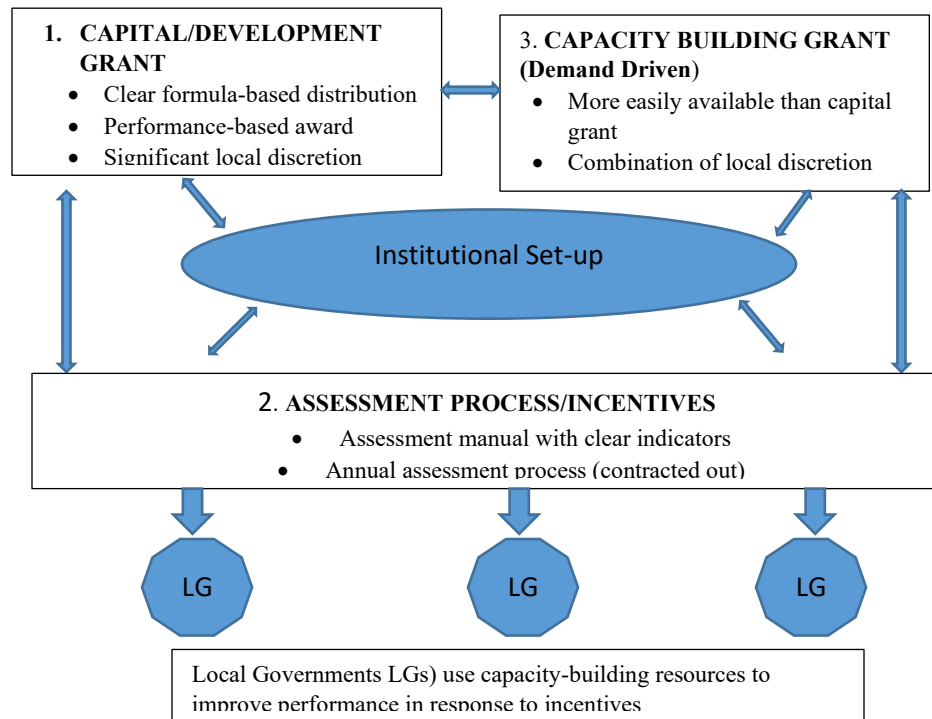
Figure 12: Mutually Strengthening Components of the FOAT framework

Source: Adapted from UNDCF (2010:21)

Under the FOAT system, good performance is rewarded with additional financial resources. The disbursements of development funds to the MMDAs under the District Development Facility (DDF) are based on fulfilment of Minimum Conditions (MCs) and Performance Measures (PMs) from the outcome of the annual evaluation of FOAT. MCs are the basic conditions with which LGs need to comply in order to access their grants, and they are formulated to ensure that a minimum absorptive capacity/performance (e.g. in terms of planning, financial management and administration) is in place to handle additional funds. The MCs are formulated under six sub-themes as shown in Table 29. Performance measures (PMs) are classified and scored under nine sub-themes as indicated in Table 30.

Table 29: Minimum conditions of performance indicators to fulfil

Minimum condition	Indicators to fulfil
Functional Capacity of the Assembly	• Assembly meeting according to minimum requirements • Meetings of the Sub-committees of the Executive Committee of the Assembly
Organisation and Management	• Composition of a District Planning Coordinating Unit (DPCU) • Annual Action Plan (AAP) formulated
Planning and Budgeting	• Composite budget prepared based on Composite AAP • Work planning by departments of the District Assembly • Approval of the Budget
Financial Management and Accounting	• Functionality of Budget Committee • Preparation and submission of monthly financial reports to CAGD • Annual Statement of Accounts prepared and submitted. • Functionality of Internal Audit Unit • No adverse comments on financial in-discipline in audits conducted. • Prompt responsiveness to recommendation in the External Audit Management Letters
Public Procurement Implementation Capacity	• District Procurement Plan available and prepared based on Public Procurement Act (PPA) 663 of 2003 • Progress Reports on the implementation of activities in the Annual Action Plan • Participation: Involvement of key stakeholders in plan implementation and monitoring

Source: Adapted from MLGRD/DDF Report (2014)

Table 30: Performance measures, indicators and maximum scores

PMs Functional Area	Indicators	Maximum score
Capacity of Assembly	• Meetings of the political structure	4
Organisation & Management	• Regular management meetings • Follow up to management meetings • Availability of a Functional HR Unit • Composite Training Plan • Implementation of Training Plan	13
Planning & Budgeting	• Publication of draft Annual Composite Budget • Operation and Maintenance (O&M) Plan • Work planning by departments of the District Assembly • Preparation of Asset Registers • Compliance with budgetary provisions	11
Financial Management & Accounting	• Use of Warrant for Capital Expenditure • Submission of Monthly Financial Statement • Publication of Annual Statement of Accounts • Responsive-ness to the Internal Audit observations • Availability of the External Auditor's Report	14
Internal Generated Funds	• Revenue Improvement Action Plan • Absolute Size of IGF • Collection cost of Internally Generated Fund (IGF) • Share of Internally Generated Fund (IGF) used for Development Expenditure • Property Rate Collection • Building Permit Fee Revenues • Business Operating Permits Revenues • Revenue sharing between Assembly and Sub-structures	21
Procurement	• Meetings of Procurement Entities • Record on Procurement Proceedings	10
Plan Implementation	• Level of plan implementation • Implementation of Environmental and Social Impact Assessment (ESIA)/ Strategic Environmental Impact Assessment (SEA) reports	10
Accountability, Transparency & Participation	• Public Finance Management (PFM) town hall meetings • Establishment and functionality of the Public Relations and Complaints Committee (PRCC) • Information to the Public	7
Policy implementation towards Social Inclusion and Service Delivery	• Vulnerability and social protection programmes • Gender Mainstreaming • Development of Environmental Sanitation Sub-Sector Strategy and Action Plan (DESSAP) • Climate Change interventions	10
Total		100

Source: Adapted from MLGRD/DDF Report (2014)

248

In 2011, MLGRD expanded its PBGS to MMDAs by introducing an Urban Development Grant (UDG).   This grant is part of MLGRD's overall Local Government Capacity Support Project (LGCSP) which is supported by the World Bank (WB).   The UDG is available only to the Metropolitan and Municipal Assemblies (MMAs). The UDG PMs are those conditions used to determine each MMA's allocation of the UDG grant. The PMs involve detailed indicators to measure performance classified under five sub-themes as shown in Table 31.

Table 31: Scores for each UDG Thematic Area

Performance Measures	Maximum Score
Budgeting	15
Reporting and Auditing	22
Asset Management	20
Revenue Management	35
Social Accountability	8
Total	100

Source: Adapted from MLGRD/DDF Report (2014)

Functional Organisation Assessment Tool Performance Results

The indicators focus on the legal, political, administrative and fiscal environment in which the MMDAs operate. It furthermore captures both the technocrats and political representatives in the MMDA structure. The indicators were also made objectively verifiable and the assessment evidence-based to minimize discretion in the assessment process. The assessment process facilitates the identification of CB needs and corresponding institutional strengthening

249

requirements. It also ensures that CB is fully integrated into the budgeting cycle of the MMDAs (MLGRD/DDF, 2014).

As at June 2014, seven assessment cycles of FOAT have been conducted. However, in this study, six assessment results from 2008 to 2013 is presented, reason being that the results for 2006 was inconclusive. Appendix F presents the regional distribution of districts fulfilling the MCs from 2008 to 2013. In 2008, a total of 36.2 percent of the 138 MMDAs in Ghana fulfilled all the MCs and qualified for the basic grant component of the DDF and the CB grant. However, only two districts out of the 13 MMDAs qualified in the Central Region. In 2009, new districts were created which moved the number of MMDAs to 169. In total, 79. 3 percent of the eligible 169 MMDAs qualified for the DDF and the CB grants. This number included 16 out of the 17 districts in the Central Region. In all cases, the failure to fulfil the MCs was due to the MMDAs inability to respond to the policy, legal, administrative and fiscal requirements under the thematic areas.

However, in 2010, the performance improved nationwide with 87.6 percent of the 169 MMDAs qualifying for both the DDF and the CB grants, with 15 out of the 17 MMDAs in Central Region qualifying for same. In 2011, 95.9 percent of the eligible 170 MMDAs nationwide, including 16 MMDAs from the Central Region, qualified for the DDF and CB grants. In 2012, 46 new MMDAs were created which brought the districts to 216. Of this number, 95.8 percent and 99.5 percent passed the MCs and qualified for both the DDF in 2012 and 2013 respectively. All MMDAs in the Central Region passed in all cases.

Specific results from the three study MMDAs were presented in Table 32. From 2008 to 2013, CCMA and KEEA fulfilled both MCs and PMs on five out of the six assessments and qualified for DDF and UDG respectively. However, AAK passed all the six assessments and qualified for DDF. In all cases, the CB grant was given to the MMDAs to address the weaknesses identified during the process. Table 32 presents the scores of the PMs of the study districts from 2008 to 2013.

Table 32: Study district's scores on performance measures and national average

Study districts	Fulfilment of Performance Measures					
	2008	2009	2010	2011	2012	2013
CCMA	74.0	71.0	75.0	88.0	80.61	93.0
KEEA	55.0	59.0	84.0	94.0	79.59	94.0
AAK	67.0	63.0	76.0	91.0	74.49	92.0
National average score	-	-	83.56	82.44	86.40	92.2

Source: Adapted from MLGRD/DDF Report (2014)

Responses to the factors accounting for improvements in performances from 2010 to 2013 were mixed. Two heads of department of HR interviewed alluded that the requirement for the thematic areas serve as preconditions for the MMDAs' access to funds from the District Assemblies' Common Fund and other GoG and development partners' funding, as such they were very conversant with requirements for procurement, openness and accountability, management and

251

organisation, as well as budgeting. Other reason was the number of training programmes that have been conducted in the Assemblies.

However, when asked why the results were not reflecting the development of the districts, since they all received DDF, and the MMAs receive UDG in addition, one of the heads intimated that the results do not reflect the true picture of the Assemblies. He remarked:

> It's interesting how results are concocted in the Assembly because sometimes there are no meetings held but about three months to the time of the FOAT assessment, you will find someone who does not work in the Assembly but sits here and write reports. This is the only way the Assembly is able to access the development grant.

These results notwithstanding, the heads agreed that the CB grant component support them in preparing appropriate capital-investment projects such as planning, feasibility studies, among others. The CB grant is therefore, a form of discretionary budget support which gives local authorities the flexibility to determine, finance, and manage training and technical assistance according to their needs (Haider, 2008).

A follow-up question was the challenges confronting the MMDAs in the implementation of CB programmes. Their responses revealed that a lot more had to be done by the leadership to ensure the attainment of their functional mandate. These are discussed in the following sub-section.

Challenges Confronting the Implementation of Capacity Building Programmes

To achieve the objective, the instruments administered elicited data on the perception of challenges confronting the implementation of CB programmes, and to suggest ways to overcome the challenges. The key challenges were similar across the three study areas as indicated in Table 33. The key challenges with over 80 percent of the respondents in each MMDA citing them included lack of needs assessment, inadequate resources and equipment, non-involvement in planning for CB objectives, and lack of incentives. Others were untimely release of funds, undue politicisation of issues, lack of M&E, and non-use of CB funds for its intended purpose. Challenges such as low quality and reliable resources (Kobusingye, 2015); lack of appropriate support for effective activities and lack of M&E (UWCA, 2011) have been found. These challenges have the potential of hindering organisations to achieve the best (Kobusingye, 2015).

All the officials interviewed corroborated the perceptions of the MMDA level respondents regarding the key challenges by citing similar issues in their responses to interview items. However, their greatest challenge was the sustainability of the CB programmes in the event that development partners withdrawing their support. According to them, all CB efforts over the years have included technical assistance (TA) from development partners (DPs) such as the Canadian International Development Agency (CIDA), the Danish International Development Assistance (DANIDA), Kreditanstallt fŭr Wiederaufbau (German Development Bank, KfW) and AfID, and the World Bank, among others. The

253

results confirmed Leeman et al's (2015) assertion that, developing countries depend on knowledge brokers, linking agents, and external change agents for interactive support systems that is specific to the needs of individuals or teams.

Table 33: Challenges in the implementation of capacity building activities by Assemblies (Multiple responses)

Challenges	KEEA f(%)	CCMA f(%)	AAK f(%)	Total f(%)
Lack of needs assessment	118(88.7)	137(86.8)	89(72.4)	344(83.1)
Inadequate resources/equipment	109(82.0)	120(75.9)	68(55.3)	297(71.8)
Non-involvement in planning of CB objectives	100(75.2)	110(69.6)	85(69.2)	295(71.3)
Lack of incentives	98(73.7)	109(69.0)	88(71.5)	295(71.3)
Untimely release of CB funds	96(72.2)	105(66.5)	88(71.5)	289(69.9)
Lack of Monitoring and Evaluation	90(67.7)	99(62.7)	45(36.6)	234(56.5)
Undue politicization of issues	89(70.0)	97(61.4)	67(54.5)	253(61.1)
Non-participation in design of training programmes	89(70.0)	88(55.7)	40(32.5)	217(52.5)
Non-use of CB funds for its intended purpose	89(67.0)	106(67.1)	88(71.5)	283(68.4)
Ineffective communication and information flow	75(56.4)	89(56.3)	36(29.3)	200(48.4)
Lack of leadership commitment	59(43.4)	65(41.1)	22(17.9)	146(35.3)
Poor planning and prioritisation of training	30(22.6)	45(28.5)	23(18.7)	98(23.7)
Favoritism	30(22.6)	34(21.5)	12(9.8)	76(18.4)
Training not timely	23(17.3)	56(35.4)	34(27.6)	113(27.3)
Inadequate staff	23(17.3)	34(21.5)	12(9.8)	69(16.7)

Source: Field survey (2017)

For example, the HR Director at LGS was not sure of any strategy in place to continue with CB activities in the event DPs withdraw their support. He stated that plans were to consult with other officials to see whether part of the DACF could be set aside specifically for CB. However, he was quick to add that it will be very difficult, if not impossible, since DACF is a constitutional directive. Similarly, officials at the respective Assemblies were not sure whether there were any arrangements for continuing support from the GoG in the event that DPs withdraw their support. Some of them expressed worry that there were still no strategies in place to sustain the grant.

The submissions of the officials defeat Langaas et al's (2009) and Otibine's (2016) proposals that institutions should put in place strategies such as financial assistance and supply of physical resources to aid in the building of capacities. It is also in contravention of DFID's (2009) and OPM's (2010) submissions that CB grants should help developing countries reduce the dependence on international aid and promote progress towards key outcome goals. As His Excellency, Dr. Mahamadu Bawumia, the Vice-President of the Republic of Ghana intimated, if Ghana should develop, it should not do business in the same old way.

Suggestions for the Improvement of Capacity Building Activities

Suggestions elicited from the respondents across the MMDAs to improve the approaches to CB yielded results that could enhance CB activities for learning and empowerment as envisaged in the conceptual framework. Table 34 presents the suggestions which were similar across the three study areas. The major suggestions

255

made by over 80 percent of the respondents focused on resourcing the Assemblies to do their work, avoiding politicization of issues to enhance commitment of leaders, and timely release of funds meant for building capacities. Others were strengthening commitment of leaders towards CB activities, empowering sub-structures to be functional to provide opportunities for participation and accountability at the local level, and monitor and evaluate CB interventions.

Table 34: Suggestions for improving capacity building activities by Assemblies

Challenges	KEEA f(%)	CCMA f(%)	AAK f(%)	Total f(%)
Resource Assemblies to do their work	123(92.5)	143(90.5)	100(81.3)	266(88.5)
Release funds timely for the implementation of CB activities	130(97.7)	107(67.7)	89(72.4)	326(78.7)
Avoid politicization of issues	99(74.4)	149(94.3)	89(72.4)	337(81.4)
Strengthen commitment of leaders	89(70.0)	78(49.4)	63(51.2)	230(55.6)
Empower sub-structures to function well	87(65.4)	99(62.7)	68(55.3)	254(61.4)
Monitor and Evaluate CB interventions	87(65.4)	78(49.7)	69(56.1)	234(56.5)
Reward staff who transfer knowledge	51(41.5)	89(56.3)	36(29.3)	176(42.5)
Involve individuals in needs assessment	51(41.5)	65(41.1)	31(25.2)	147(35.5)

Source: Field survey (2017)

The suggestions were corroborated by the officials interviewed who further suggested the need to strengthen the involvement of CBOs, local NGOs, and chiefs

256

or their representatives in CB initiatives to help augment the resource capacities in the Assemblies. The suggestions made had the potential of enhancing the implementation of CB activities in the MMDAs as envisioned in the conceptual framework and espoused by researchers such as Steffensen (2010), Kobusingye & Omvia (2015) and Otibine (2016).

Summary

The key findings of the study in response to the fourth, fifth, and sixth objectives have been discussed. In relation to the fourth research question, it was found that the Assemblies used workshops most of the time in conducting CB. Statistical analysis using chi square showed that there is significant association between CB approaches and effectiveness CB activities. In relation to research objective five, it was found in all the three Assemblies that were deficiencies in resources (physical, and financial) for implementation of their functional mandate. Similarly, on capacities in the three MMDAs, officials were rated as having moderate capacities in leadership, human resource management, financial resource management, technical capacities, and adaptive capacities. Discussions on the sixth research question provided suggestions for improving CB activities, and centered on improving physical resources, avoiding politicisation of issues to enhance commitment of leaders, and timely release of funds meant for building capacities.

CHAPTER NINE

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Introduction

This chapter presents the logical conclusion of the study by first, revisiting the research process, presenting the major findings and drawing relevant conclusions. Secondly, it makes appropriate recommendations based on the findings and conclusions, while outlining contributions made to knowledge and the literature. Finally, suggestions for further research are presented.

Summary

The study set out to assess the effectiveness of capacity building (CB) activities in three selected decentralised local government institutions, referred to as Metropolitan, Municipal, District Assemblies (MMDAs) in the Central Region of Ghana. Specifically, the study first explored the tenets of decentralisation, functions, roles and responsibilities of decentralised local government officials. It also ascertained the processes, in terms of stakeholder participation in identification of development objectives, needs assessment, design of CB programmes, monitoring and evaluation in the approach to building capacities. Furthermore, the effect of the process on learning and empowerment were assessed. In addition, the study examined the strategies used in building capacities; assessed the effectiveness of the approach (i.e. the process and strategies) and how the approach influenced

learning in the selected institutions. Finally, the study assessed the existing capacities of the selected institutions and discussed ways of improving capacity building activities for organisational effectiveness.

The research philosophical foundations were built on broad theoretical perspectives, including decentralisation, systems, human capital development, dynamic capabilities, knowledge-based and organisational learning to accentuate the conceptual underpinnings of CB and organisational effectiveness. The mixed method and descriptive study design were espoused. Using the multi-stage sampling procedure, a sample size of 414 respondents were selected. Other key persons interviewed were the Director for Human Resource, Local Government Service at the national level, Director for Monitoring and Evaluation, Regional Coordinating Council at the regional level, and the District Coordinating Director at Abura-Asebu-Kwamankese (AAK) District Assembly.

In addition, the core staff of Cape Coast Metropolitan Assembly (CCMA), Komenda-Edina-Eguafo-Abrem (KEEA) Municipal Assembly, and AAK District Assembly were included. Similarly, Assembly Members in the three districts were also included. The Cape Coast Metropolitan Assembly was purposefully sampled, while simple random sampling technique was used to select KEEA and AAK. Both primary and secondary data sources were used in the study. Interview schedules, interview guides, and questionnaires were employed for collecting the primary data while descriptive, chi-square and documentary reviews were used for analysis.

Major Findings of the Study

The major findings of the study were presented according to the specific objectives as follows:

Capacity building process

Process to capacity building (CB) included respondents' participation in identification of development objectives; participation in needs assessment; participation in design of CB programmes; monitoring and evaluation of CB programmes.

- Majority of the respondents sometimes participated in the identification of development objectives; however, 34.8 percent never participated in the identification of development objectives.

- Other key actors, including local NGOs, chiefs and CBOs, who were in positions to influence the planning and implementation of development interventions were also not considered when it comes to identification of development objectives.

- The majority of the respondents indicated that they had never been involved in any needs assessment, which was corroborated by officials interviewed.

- The majority (50%) of the respondents indicated that they or their representatives never participated in the design of CB programmes.

- Multiple responses indicated that the programmes were designed based on their core mandates.

- Interview responses confirmed that CB programmes were designed in relation to FOAT indicators, including management and organisation; transparency, openness and accountability; planning system; human resource management; relationship with sub-structures; financial management and auditing; fiscal capacity; procurement; and environmental sanitation management.

- On monitoring of CB programmes, 57 percent disagreed that officials monitor the implementation of training programmes, although Assembly-specific results from AAK showed that officials monitor CB programmes. The lack of monitoring was attributed to inadequate human and financial resources.

- The majority (93.5%) disagreed that their Assemblies conduct evaluation and make reports available to them; although documentary reviews showed some evaluation reports from CCMA.

The determination of effectiveness (success drivers) of the CB process in the selected MMDAs, as perceived by the respondents resulted in the following key findings:

1. Leaders with expertise in driving CB initiatives forward were found to be strong as indicated by 92 percent of the respondents.

2. Human resources with expertise were also found to be adequate as indicated by 92 percent of the respondents.

3. However, 77.3 percent forming the majority of the respondents disagreed that the Assemblies provided them with physical resources to do their work. Reasons assigned included lack of tools, computers, vehicles, stationery, and other materials to equip them in the performance of their duties.

4. On financial resources, 70 percent disagreed that the Assemblies had adequate financial resources to implement CB activities. They attributed that CB funds were not used as intended, and therefore some of the training programmes documented as done were not really conducted.

5. Based on the results on the provision of resources in the CB process, majority representing 85.8 percent indicated that leadership support in total was weak.

6. On willingness of leaders to champion CB activities, 68.8 percent indicated that bureaucrats were more willing than political leaders. This was attributed to the politicization of issues by the political leaders when it comes to building capacities.

7. Timeliness for the implementation of CB activities was found to be adequate as the majority (77.3%) agreed that the CB activities were timely in the three MMDAs.

8. Although respondents indicated that they did not participate in the CB process, 94.2 percent indicated that the approach helped them to learn and increase knowledge.

9. Between 75.8 percent and 51.2 percent indicated that the CB approach makes them feel happy in contributing to development objective, helps them build ownership, helps them to be accountable, motivates them, makes them feel committed to the CB programme, and helps them invest in the success of the CB programme.

10. However, the study found that the approach was weak in ensuring sustainability of CB programmes as attested by 83.3 percent of the respondents; while 74.9

percent indicated weakness in helping to build networking and partnerships; with 53.4 percent indicating that the approach was weak in promoting feedback.

11. A chi-square test indicated that there were statistically significant association between the CB process and the 10 outcomes, namely, learning, ownership, commitment, enthusiasm, feedback, building networking, sustainability, motivation, and accountability. This means that increased participation in the CB process and improved appellate success drivers lead to effectiveness of CB activities.

Strategies used in building capacities

1. Interviews showed that training strategies had been put in place to help bridge the gap between the current capacities and desired capacities. This was attested to by 88.9 percent of the respondents who have fully participated in training programmes in the last five years.

2. The study found that training programmes included, but not limited to, project management, revenue mobilisation, report writing, office communication and management, leadership, local government ethics/conducts, administrative procedures, local government protocol, district medium term development plan preparation, public financial management, Local Governance Act 2016 (Act 936), and the FOAT/DDF Administration.

3. Opportunities for further studies had also been created for some of the leaders to acquire skills in their functional areas at the Ghana Institute of Management and Public Administration (GIMPA), and Institute of Local Government

263

Studies (ILGS). However, these opportunities were based on the availability of funds.

4. The study found that the training programmes were customised to individual assemblies as 84.8 percent agreed that the programmes were tailored to the weaknesses of the Assembly; 84 percent agreed that the programmes were designed to suit the core functions of the Assembly; and 82.6 percent agreed that the programmes were relevant to the work they do in the Assembly.

5. Majority of the respondents stated that workshops were basically used for the training programmes.

6. Competencies of the providers of the training programmes were seen as very good as indicated by 53.6 percent of the respondents.

The influence of the training strategies used in the selected MMDAs yielded the following specific results:

1. More than 85 percent indicated that the strategies helped them to improve their performance.

2. More than 88 percent indicated that the strategies had helped them to learn.

3. Similarly, 78.7 percent agreed that strategies used provide opportunities for peer-to-peer connections.

4. Almost 89 percent of the respondents indicated that the strategies help them in information sharing; while about 81 percent also indicated that the method helped them to become more motivated to change.

5. More than 75 percent agreed that the strategies used provides mentoring opportunities; 74.6 percent agreed that the strategies provide networking

opportunities; while 56.5 percent agreed that the strategies help in forming coaching groups.

CB approach and learning

1. Seventy-nine percent of the respondents agreed that the approach strongly fosters individual and team learning; 72.5 percent agreed that the approach foster individual and team problem solving; while 90.1 percent indicated that the approach helps them to gain experience.

2. Over 82 percent agreed that the approach helped them to be innovative; and 81.4 percent also agreed that the approach helped them to use skills and knowledge acquired.

3. Over 76 percent indicated that the approach was weak in helping them commit to continuous learning and improvement, and 69.3 percent also indicated that the approach was weak in helping them to learn the limitations of their own profession.

4. The policy implication of the p-values of 0.001, which was less than the alpha value of 0.05 was that the approach explains learning significantly and therefore more attention should be paid to both the processes and strategies when considering learning issues in CB activities.

CB approach and empowerment

1. Majority (93.5%) of the respondents stated that the CB approach was strong in empowering them to do their work as over 93 percent of the respondents

indicated that the approach helped them share quality information; build confidence (91.8%); and improve their knowledge and competencies (88. 9%).

2. The study further found that the approach helped 88.6 percent to improve their self-efficacy; incentivised 88.4 percent to change; helped 74.9 percent to build trust in authorities; while 72.2% attested that the approach helped them to improve provision and distribution of public facility.

3. While over 90 percent attested to the fact that the approach helped empower them to do their work, between 88.2 percent 62.8 percent of the respondents indicated that the approach was weak in getting support from leaders, getting resources, giving them opportunity for advancement, giving them opportunity for decision-making, and helping them to direct their own course of development.

4. Chi-square tests between 12 influence of CB approach on employee empowerment in the selected MMDAs, which sharing of quality information in the district; getting support from leadership; getting resources to do their work; and giving them opportunity for advancement showed strong association (Sig=.001, p<.0005).

5. Whereas the chi-square results showed significant association, specific results from the study MMDAs showed weaknesses in getting support from leadership; getting resources to work; having opportunity for advancement; getting opportunity for decision-making; having the ability to direct their own course of development; and developing a sense of responsibility.

6. Conversely, respondents felt strongly that the approach helped them improve on the provision and distribution of public facility; motivated them to change; helped them to build confidence; self-efficacy; build trust in authorities; and improve knowledge and competences

7. The policy implication of the p-values of the repressors is that in all the processes, the p-values were less than the alpha value of 0.05, indicating that the process explained empowerment significantly and therefore more attention should be paid to these variables when considering empowerment issues in CB activities.

Existing capacities of the selected Metropolitan, Municipal District Assemblies

1. About 64 percent indicated inadequate equipment; 51.8 percent of the respondents reported having adequate physical space to do their work. However, there were inadequacies in general staffing with requisite qualification and skills in some departments, while others were overstaffed.

2. About 63 percent of the respondents indicated the IT systems in the respective assemblies were poor. Organisational systems such as performance appraisal tools, quality assurance systems and financial management systems were present; however, there were no performance management systems as well as capacity building frameworks.

3. The mission and vision statements were clearly defined and shared as attested to by over 85 percent of the respondents. Other documents found were formal written policies and administrative procedures for meetings,

267

Statutes, the Local Governance Act 2016 (Act 936), and other Legislative Instruments that is consistent with the values of the Assemblies.

4. With the exception of Unit Committee Members who were not inaugurated in all three Assemblies at the time of data collection, all bureaucratic and political key officials such as MMDCEs, MDCDs, POs, HoDs, engineers, and Assembly Members were fully at post in all three Assemblies.

5. There were mixed responses between officials and respondents on the size of the CB grant. Whereas officials opined that the grant was inadequate, although, it had helped in the development of skills and basic infrastructure, respondents ranted that it was adequate but not used for its intended purpose.

6. Authorities were rated as having weak leadership capacities as indicated by 58.9 percent; moderate capabilities in human resource management (56.4%); moderate capacity in financial resource management (36.2%); weak technical capacity (49.6%); and moderate adaptive capacity (52.1%). These results were attributed to the nature of CB approaches where authorities selected for leadership training were not based on needs assessment but on favouritism.

Improving capacity building activities

1. The FOAT framework focused largely on policy, legal and regulatory requirements of the MMDAs. The Minimum Conditions and Performance Measures are in relation to the specific mandates of the MMDAs;

2. From the perspectives of both respondents and officials, key challenges with the implementation of CB activities included lack of needs assessment, inadequate resources and equipment, non-involvement in planning for CB objectives, and lack of incentives. Others were untimely release of funds, undue politicization of issues, lack of M&E, and non-use of CB funds for its intended purpose.

3. The major suggestions made by over 80 percent of the respondents focused on resourcing the Assemblies to do their work, depoliticisation of issues to enhance commitment of leaders, and timely release of funds meant for building capacities.

4. Others were strengthening leaders to be committed towards CB activities, empowering sub-structures to be functional and be able to demand accountability, providing opportunities for stakeholder participation at the local level, and monitoring and evaluation of CB interventions.

Conclusions

The primary objective for building capacities of officials of decentralised local government institutions is to improve capabilities to ensure good governance and local level development. Hence, based on the findings in this study, the following relevant conclusions could be drawn:

The first objective dealt with the process to delivering CB and can be concluded that the process used in all three Assemblies did not align with the systems approach but rather the traditional supply-driven approach to CB. This

conclusion was drawn based on the dearth of participation in the process of identification of development objectives, needs assessment, and design of CB programmes. Also assemblies did not monitor or evaluate CB activities.

Although success drivers, such as human resources with expertise, willingness of bureaucratic leaders, and timeliness for the implementation of the CB activities were strong in the CB process, leadership support in terms of physical and financial resources as well as political will were found to be weak. Similarly, respondents perceived the process as weak in ensuring sustainability, building networks and partnership, as well as weak in providing feedback. It, therefore, could be concluded that the process was ineffective.

Training strategies and programmes put in place in the MMDAs were adequate and these programmes were in line with the mandates of the Assemblies. It, therefore, could be concluded that the programmes were customised and relevant to the work being done in the Assemblies, as respondents indicated that the programmes helped in improving their performance, provided them with mentoring opportunities, and helped them to learn.

The major strategy being used was workshop – an approach that was seen as weak in helping them commit to continuous learning and improvement, as well as help in learning the limitations of their own profession. This renders the approach ineffective as it will not help beneficiaries with continuous learning. This conclusion was based on the fact that there was positive association between the approach and learning.

The paucity of physical resources and participation in needs assessment renders the CB approach ineffective in empowering beneficiaries in doing their work. The study found that there were weaknesses in getting support from leaders, getting resources, giving them opportunity for advancement, giving them opportunity for decision-making, and helping them to direct their own course of development.

However, there was significant positive association between the approach and empowerment. This conclusion was drawn because the study found a significant positive association between the process indicators and empowerment outcomes in the three study MMDAs.

On existing capacities in the selected MMDAs, authorities were perceived as having either weak or moderate leadership, human resource management, financial resource management, technical capacity as well as adaptive capacities. Another problem was the relatively lack of Information Technology facilities, absence of regular Internet facility, and inadequate logistics.

Overall, it could be concluded that the approach to CB was pursued from both supply and demand-driven perspective and not from a holistic point of view. The results from the chi-square showed that effectiveness depends on stakeholder participation, leadership support, willingness, human resource, financial resource, physical resource, timeliness of the CB activities, as well as CB strategies used. It could be concluded that the approach impedes the achievement of local level development.

Recommendations

The conclusions made indicate the need for certain actions to be carried out in order for the capacity building activities in MMDAs to become effective as intended. Therefore, the following recommendations are made to the following institutions and individuals:

1. The Local Government Service (LGS), District Development Facility (DDF) Secretariat; and Ministry of Local Government and Rural Development (MLGRD) should create awareness and sensitise MMDAs on the importance of holistic capacity building activities. The awareness should be to appreciate the interdependence, interrelationships and interconnectedness among all actors in the decentralisation system;

2. The LGS, MLGRD, and DDF Secretariat as well as officials of the MMDAs should collaborate to design a Capacity Building Framework operational enough with implementation guidelines to address issues relating to CB processes and strategies for conducting training.

3. The LGS and MMDAs should collaborate to design a workable Performance Management System detailing key performance indicators (KPIs) to help setting realistic and achievable goals, to augment the FOAT indicators.

4. The LGS, Regional Coordinator for M & E (RCC) and officials of MMDAs should design monitoring and evaluation mechanisms to monitor CB activities during implementation. Evaluation should be taken seriously to

272

provide feedback to improve upon any future activity. This will also help to ascertain the authenticity of CB reports submitted by MMDAs to LGS.

5. In order to enhance participation, the MMDCEs, MMDCDs, HoDs and Assembly persons should involve actors, such as local NGOs, CBOs, Chiefs and employees in the identification of development objectives, capacity needs assessment, and design of CB programmes. This will help them to understand the decentralisation programme and contribute to development objectives. In addition, it will help them to demand accountability on development interventions, and for its sustainability.

6. Given the myriad of responsibilities on the Assemblies, the GoG, Development Partners, as well as leadership of the MMDAs should put in place resource management strategies to be used in strengthening the offices in terms of basic office facilities, such as computers, Internet services, as well as tools and vehicles to improve their work.

7. Leadership of the Assemblies should ensure that Unit Committees are inaugurated and strengthened to help in resource mobilisation and community development, as provided by the Local Governance Act 2016 (Act 936). Similarly, Assembly Persons should be resourced to be able to do their work.

8. The LGS, DDF Secretariat; the MLGRD and M & E Coordinator, RCC should monitor the funds allocated for CB to ensure that it is used for the intended purposes. This will help build trust among stakeholders.

9. Given the inadequate staff skills and abilities to work, leadership of the Assemblies should assess the skills level and train them to be able to function.

Conversely, HR departments in the MMDAs should be resourced to be able to recruit and select staff with the requisite KSAs to help achieve the development objective. Similarly, staff without the required KSAs should be discharged and replaced.

10. The HR directors in the MMDAs should undertake needs and asset assessments of their respective Assemblies to help them build capacities of their institutions. The lack of assessment causes discrepancies between expected and actual performance results, and contributes to low level of local level development. Similarly, staff should take it upon themselves to improve their capacities.

11. Similarly, authorities with either weak or moderate capacities in leadership, human resource management, financial resource management, technical, and adaptive capacities should develop themselves. This will help them have the requisite expertise to meet the challenges of their specific roles and be able to achieve their functional mandate.

12. The LGS and MLGRD should sensitise leadership of MMDAs on the need to eschew politicisation of development issues in order to strengthen collaboration among actors at all levels to enhance local level development;

13. The Government of Ghana (GoG) should follow the CB fund allocation mechanisms to ensure that funds are released timely for the implementation of CB activities; and

14. Actors in the MMDAs should demand participation in the process of CB to build ownership, commitment, learning and empowerment.

Contributions to Knowledge and Literature

One of the more important questions to address when critically reviewing a thesis is whether the objective has been met or not. The main academic objective of this doctoral thesis was formulated in Chapter One as: "*Assessing the effectiveness of capacity building activities in decentralised local government institutions in the Central Region of Ghana*". Without any doubt, this research has indeed investigated the issues, as well as made suggestions on how to implement CB for organisational effectiveness.

The study has demonstrated the relevance of the theoretical underpinnings of CB activities as developed in Chapters Two and Three. The relevance is grounded in the decentralisation, systems, human capital development, dynamic capabilities, knowledge-based and integrated organisational learning theories. The decentralisation and systems theories were central in understanding the interrelationships, interconnectedness, and interdependencies between organisations and its environments to feed influence and information to each other over time; while the knowledge-based theories strengthen practitioners understanding in building the knowledge, skills, and abilities needed in organisations to achieve

This research has further delved into the optimal capacity and capacity threshold, as well as the capacity sequencing theories to simplify how to assess the system level (tangible capacities) and individual levels (intangible capacities) to know the zone of proximal development (ZPD) – a psychology model which will help practitioners to handle different capacities at different levels.

The use of the myriad theories provided the background and understanding of the process, success drivers, and strategies that are important in the CB approach for organisational effectiveness. Subsequently, this research contributes to existing literature by demonstrating the applicability of the systems, human capital development, dynamic capabilities, knowledge-based and integrated organisational learning theories, as well as the optimal capacity and capacity threshold and the capacity sequencing theories into designing an effective CB framework for improving capacities to achieve local level development.

Furthermore, empirical studies in CB that have used the theories espoused in this study to assess CB effectiveness in organisations is far-fetched, or if any at all, it is at a nascent stage. In addition, the conceptual framework designed for this study, taking into considerations the variables for CB effectiveness has provided insights into a holistic approach to building capacities.

Finally, the empirical evidence provided by this study contributes greatly to informing officials of MMDAs the requirements that should be considered during CB implementation to enhance local level development. It is hoped that by applying the theoretical framework, this study would become a reference point to overcome the challenges in implementing CB activities. In conclusion, it is believed that the research has met the objective to a high degree. However, there are still some issues within the research area that needs further attention and they are explained in the suggestions for future research.

Suggestions for Further Research

Despite the fact that capacity building has been a very popular research topic over the last decades, there are still many issues in the field hat have not yet been solved to a satisfactory degree. Considering the scope of this thesis, it is suggested that the following areas should be further explored.

1. The four iterative steps and success drivers in the capacity building process presented in this thesis has not been comprehensively developed into a CB framework that organisations can directly use, although it provides important guidelines of how to build capacities for organisational effectiveness. It would therefore be beneficial for researchers to make further case studies in industry to assure its applicability and improve its usefulness as well as studying its limitations.

2. The study found among other things that CB funds were not used for the intended purposes. It was found that in all the study MMDAs, there was the dearth of evaluation, yet reports were sent. Further investigations could not be done to ascertain the reasons given time and financial constraints. There is therefore, the need for further studies by other researchers to ascertain its efficacy and how it impacts on the implementation of CB activities to ensure its sustainability.

3. Based on the non-use of funds for intended purposes, a minor attempt was made by questioning informally why MMDAs were passing the FOAT assessment results if CB funds were not used. Anecdotal evidence indicated that some of the MMDAs were gaming with the system. In other words, the MMDAs were being

dishonest in the FOAT assessment but this area is far from being fully explored. It is suggested that the LGS, MLGRD and the DDF Secretariat authorize a credible institution to evaluate the process of implementation of the FOAT to ascertain its effectiveness.

4. Finally, due to time and financial constraints, the study was done in three selected MMDAs. It will be beneficial to replicate it in other MMDAs in the remaining regions for a more comprehensive picture of the current situations of CB activities nationwide. Findings from such studies will augment the current ones to provide more robust evidence for the implementation of CB activities in achieving sustainable local level development.

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315

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APPENDIX A

UNIVERSITY OF CAPE COAST
COLLEGE OF HUMANITIES AND LEGAL STUDIES
SCHOOL OF DEVELOPMENT STUDIES

QUESTIONNAIRE FOR CORE STAFF OF THE ASSEMBLY
TOPIC: CAPACITY BUILDING AND DEVELOPMENT OF DECENTRALISED LOCAL GOVERNMENTS IN THE CENTRAL REGION OF GHANA

Dear Sir/Madam,

The purpose of this questionnaire is to assess the capacity building interventions, process and approaches as well as to identify the critical success drivers for the development of MMDAs in the Central Region, Ghana. Responses to the questions will assist the researcher to prepare a thesis leading to the award of a doctor of philosophy (PhD) degree in Development Studies. Your candid responses will be treated strictly confidential and would be used to compile the aggregate survey results from all participants. I shall be most grateful if you can spare part of your precious time to complete the questionnaire at your earliest convenience. Thank you for agreeing to participate.

PART I: GENERAL INFORMATION. IN ALL CASES, PLEASE TICK √ WHERE APPLICABLE

1.   Full name of Assembly:………………………………………………….
2.   Designation/Rank:………………………………………………………….
3.   Sex: Male { } Female { }
4.   Educational background: [a] Diploma [b] Bachelor's degree

                    [c] Master's degree   [d] Other (please specify)…………

5.   How long have you worked with this Assembly? ……………………

318

PART II: APPROACHES TO CAPACITY BUILDING

Approaches to CB refer to the processes and strategies or methods used by the organizations collaboratively to help stakeholders better achieve their mission and goals and solve problems that may arise in the future.

6.   Have you or your staff representative ever participated in setting objectives for building capacities in this Assembly?

1Never [   ]   2 = Sometimes [   ]   3 = Always [   ]

7.   If you ever participated, to what extent did the following stakeholders also participate? Use:

1 = Not fully participated; 2 = Not participated; 3 = Partially participated; 4 = Fully participated

Stakeholder participation	1	2	3	4
Rep from Donors (any group that provide funding to the Assembly)				
Rep from Ministry of Local Government and Rural Development (MLGRD)				
Rep from Local Government Services Secretariat (LGSS)				
District/Municipal Coordinating Director (DCD/MCD)				
District/Municipal Chief Executive (DCE/MCE)				
Heads of department/sections/units (HoDs/Sections/Units)				
Rep of Assembly Members (both elected and appointed)				

Any other (please specify) …………………………………………………

8.If you participated in the objective setting, how was it done (e.g. through workshop etc.)?…………………………………………………….

Assessing capacity needs

9.   Have you ever been involved in assessing capacity needs of this Assembly?

1   = Never [   ]   2 = Sometimes [   ]   3 = Always [   ]

10. If you were ever involved in assessing the needs, please indicate your level of agreement to the statements using: **1 = Strongly Disagree   2 = Disagree   3 = Agree   4 = Strongly Agree**

Assessors	1	2	3	4
Assessment was conducted by a Consultant				
Assessment was conducted by leadership of the Assembly				
Coverage				
Assessment covers the assets (infrastructure, space, equipment, materials, etc.) needed to achieve development objectives of Assembly				
Assessment covers the identification of core competencies (e.g. financial management and technical capacities) in this assembly				
Assessment covers strengths of individual staff in the Assembly				
Assessment covers weaknesses in capacities that need to be developed				
Approach				
Assembly uses assessment tools in the process to identify the core competencies and weaknesses				
Assembly uses open dialogue to ascertain the strengths and weaknesses of stakeholders				
Opinion				
Assessment help to obtain systematic information about the performance of the Assembly				
Assessment helps to diagnose competency areas and areas in need of investment				
Assessment help leadership of the Assembly to prioritise the order in which the identified weaknesses will be addressed				
Assessment help leadership of the Assembly to deconstruct the highest priority weaknesses into small, manageable challenges				

11. Have you participated in any training programme in the Assembly in the last five years?

Yes [   ]   No [   ]

Designing of CB programmes

12.   Were you or staff representative involved in the design of the training you participated? 1 = Never [   ]   2 = Sometimes [   ]   3 = Always [   ]

Please indicate your level of agreement to the following issues using the scale**: 1 = Strongly disagree;   2 = Disagree;   3 = Agree; 4 = Strongly agree**

Issues	1	2	3	4
CB programmes were developed in relation to gaps identified in the capacity needs assessment				
CB programmes follow gaps in the core skills and capabilities of the Assembly				
CB programmes were designed to address specific challenges of the Assembly				
Assembly used a CB matrix to show the goals and expected outcomes of the CB programme				
Indicators were designed to monitor the effectiveness of the CB interventions				
Assembly used logic model to identify and define key indicators of CB				
Indicators reflect the specific findings gleaned from the needs assessment				

13.   If you were not involved, please indicate the persons who designed the training programmes: …………………………………………………………………………

Implementation of CB programme:

14.   Please list any five training programmes you have participated in the last 5 years.

i.   …………………………………………………………………………………

ii.

………………………………………………………………………………………………

 iii. ………………………………………………………………………………………

iv.

………………………………………………………………………………………………

v. …………………………………………………………………………………………

321

15.   To what extent do the following categories of people participated in the training programmes organised in the Assembly? Use the scale: **1 = Not fully participated; 2 = Not participated; 3 = Partially participated; 4 = Fully participated**

	1	2	3	4
Core staff				
MCE/DCE				
MCD/DCD				
HoDs/Units/Sections				
Assembly members				

Any other group of persons: …………………………………………………………

16.   Who provided the CB programmes you participated in? Use the scale:

1 = Never;   2 = Sometimes;   3 = Always

Providers	1	2	3
External consultants engaged by central ministries			
Internal specialists			

Any other (please specify):……………………………………………………

Competencies of CB providers

17.   How would you rate the competencies of the providers of the CB programmes using the scale: **1 = Poor; 2= Fair; 3 = Good; 4 = Very good; 5 = Excellent**

	1	2	3	4	5
Provider has the skills to deliver the programme					
Expertise of the provider					
Provider has capacity to offer on-going technical assistance					
Provider has capacity to offer well-established best practices in the field of local governance					
Provider has capacity to offer coaching opportunities					
Provider has capacity to offer follow-ups					
Provider has capacity to offer peer-exchange opportunities					

18.   Of the programmes that you were trained in, please indicate your level of agreement to the following statements using the scale; **1 = Strongly Disagree   2 = Disagree   3 = Agree   4 = Strongly Agree**

Customized CB programmes	1	2	3	4
Were based on the weaknesses identified in the assessment of the core competencies				
Were more tailored to the weaknesses of the Assembly				
Were designed to suit the core functions of the Assembly				
Were relevant to the work I do in the Assembly				

PART III: STRATEGIES USED IN THE DELIVERY OF CB PROGRAMMES

19.   Which of the following strategies did the Assembly use in addressing the capacity weaknesses, and how often?   **1 = Never;   2 = Sometimes;   3 = Always**

Types of strategies used	How often		
	1	2	3
Professional training			
Management education abroad			
Technical assistance (TA)			
Education within the country			
On-line distance Education			
Workshops/seminars			
Vestibule training (It is the training on actual work to be done but conducted away from the work place)			
Mentoring			
Classroom training/lecture			
Executive coaching			
On-the-job training (coaching, job rotation, job instruction)			
Exchange programmes (twinning)			
Training-the-trainer approach			
Simulation			
Conferences			

Any other (please specify: ………………………………………

323

20. In your opinion, how do the strategies used encourage the following issues**?**

Please indicate your agreement to the statements using the following scale:

1 = Strongly Disagree   2 = Disagree   3 = Agree   4 = Strongly Agree

Strategies used:	1	2	3	4
Provide opportunities for peer-to-peer connections				
Provide Networking opportunities				
Provide Mentoring opportunities				
Help in information sharing				
Help in forming coaching groups				
Motivate me to change				
Helped me to improve my performance				
Helped me to learn				

Monitoring of CB programmes

21. Please indicate your level of agreement to the statements using the following scale:

1 = Strongly Disagree   2 = Disagree   3 = Agree   4 = Strongly Agree

Monitoring of CB Programmes	1	2	3	4
Monitoring mechanisms were in place to monitor CB programmes				
There were indicators for monitoring CB programmes				
The indicators reflected the needs assessment				
Monitoring was done by leaders of the Assembly				
Monitoring was done by the Regional Coordinator				
Monitoring was done by the central ministries (MLGRD/LGSS)				
Monitoring was done by Consultants				
Monitoring was done in a timely fashion				
Leaders of the Assembly take monitoring seriously				
Feedback was provided during the monitoring period				
Monitoring was weak in the Assembly				

Evaluation of CB Programmes

22.   Please indicate your level of agreement to the statements using the following scale:

1 = Strongly Disagree   2 = Disagree   3 = Agree   4 = Strongly Agree

Evaluation of CB programmes	1	2	3	4
Leadership in the Assembly evaluates CB programmes after the training has been conducted				
Only CB providers evaluate their programmes				
Both leadership and CB providers conduct evaluation				
Evaluation report is made available to elicit accountability				
No evaluation has been conducted on any of the CB programmes				

PART VI: Success drivers for the implementation of CB activities

Leadership support factors

23.   Which of the following leaders strongly champion CB initiatives forward in the Assembly?

1 = Not very strong [   ]; 2 = Not strong [   ];   3 = Moderate [   ]   4 = Strong [   ]   5 = Very strong [   ]

Champions of CB	1	2	3	4	5
DCE/MCE					
DCD/MCD					
DPO/DBO					
DFO/MFO					
HoDs/Sections/Units					
Assembly Members					

Any other:……………………………………………………………

24. Please indicate your level of agreement to the statements using the following scale: **1 = Strongly Disagree   2 = Disagree   3 = Agree   4 = Strongly Agree**

Willingness of leaders in the Assembly to support CB activities	1	2	3	4
Bureaucrats are always willing to support CB initiatives for change				
Bureaucrats quietly sabotage CB initiatives for change				
Political leaders adopt lukewarm attitude towards CB initiatives for change				
Political leaders are always willing to support CB initiatives for change				
Organisational culture				
The vision, mission, and strategy of the Assembly are clearly defined				
Employees and stakeholders share the same vision and values				
Strategy links core programmes with organisational capacities				
There are formal written plans and procedures that is consistent with values				

Comprehensiveness of the CB activities

25. Please indicate your agreement to the following statements on how comprehensive the CB activities have been in the Assembly using: **1 = Strongly disagree 2 = Disagree   3 = Agree   4 = Strongly agree**

	1	2	3	4
I am able to continue learning even when the training ends because it is comprehensive				
Assembly offers follow-up activities to continue learning				
Assembly provides tools for continued learning				
Assembly provides resources for continued learning				
Assists me to improve on my skills and abilities				
Help to improve performance				
Help to embed learning in the Assembly				

Timeliness of the CB activities

26.   Please indicate your level of agreement to the following statements on the timeliness of CB activities using: **1 = Strongly disagree   2 = Disagree   3 = Agree   4 = Strongly agree**

	1	2	3	4
CB activities are taken at an appropriate pace				
Time lapse from one activity to the other is too slow				
Time lapse from one activity to the other is too quick				
Immediately after one programme, another one continues				
Timeliness helps lessons learnt to be embedded within the organisation				
Time for the training makes the programmes overlap				

27.   In your opinion, how do the processes to CB in the Assembly stimulate you to do the following? Indicate your agreement with the scale:

1 = Very Weak, 2 = Weak, 3 = Strong,   4 = Very Strong

CB process helps me	1	2	3	4
Feel happy about contributing to development planning and policy making				
Feel committed to the process of CB				
Personally invest in the success of the CB				
Promote communication, get feed-forwarding and feedback				
Build networking and partnerships				
Ensure sustainability of the CB				
Take ownership of CB activities				
Feel rewarded/motivated				
Be accountable to CB outcomes				
Learn and increase knowledge				

28. In your opinion, how do the approaches to CB lead to the following learning issues? Indicate your agreement with the scale: **1 = Very Weak, 2 = Weak, 3 = Strong, 4 = Very Strong**

Learning issues	1	2	3	4
Foster individual and team learning				
Foster individual and team problem-solving				
Makes me gain experience				
Be innovative in doing my work				
Use skills and knowledge acquired				
Be committed to continuous learning and improvement				
Learn the limitations of one's own professional discipline				

29. In your opinion, how do the approaches to CB in the Assembly lead to the following empowerment issues? Indicate your agreement with the scale: **1 = Strongly Disagree   2 = Disagree   3 = Agree   4 = Strongly Agree**

Empowerment issues	1	2	3	4
Share quality information at work				
Get support from leadership				
Get resources from the Assembly to do your work				
Get opportunity for advancement				
Have the authority to make decisions				
Direct the course of your own development				
Increase accountability				
Develop a sense of responsibility towards development goals				
Incentivise you to change				
Build confidence in doing your work				
Build trust in authorities				
Improve self-efficacy to create own sustainable capacities				
Improve knowledge and competencies				

Existing Organisational Capacity

Resource capacity

Please indicate your opinion on the adequacy of resources in the Assembly using the following scale: **1 = Very inadequate   2 = Inadequate   3 = Adequate   4 = Very adequate**

Physical resource	1	2	3	4
Modern Information Technologies for programme performance in place				
Modern mechanisms to disseminate information				
Number of physical space/facilities to perform functions				
Number of equipment and materials to perform functions				
Decentralised departments with autonomy to operate in place				
Performance management system in place to improve productivity				
Financial management system in place to improve productivity				
Best practice culture (shared vision, mission, and objectives) in place				
Policies in place to guide organisational processes				
Quality Assurance System in place				
Financial resources				
Funds to plan CB activities				
Funds to implement CB activities				
Funds to monitor and evaluate CB activities				
Timely allocation of funds for CB activities				
Human resource				
Number of staff with requisite knowledge to work				
Number of staff with requisite skills and abilities to work				

30. How would you rate the level of human resource capacities in your Assembly:

1 = Very weak 2 = Weak; 3 = Moderate; 4 = Strong; 5 = Very strong;

Human resource	1	2	3	4	5
Authorities have the leadership capacity to					
Manage relations, develop and maintain partnerships and networks with important stakeholders inclusively and constructively					
Develop key messages about the organization (objectives, plans, policies, procedures and performance					
Translate the vision, mission, value framework into strategic (medium term) and operational (concrete and short term)					
Plan, manage and encourage modernization and innovation					
Encourage teamwork, lead by example, and act as role models					
Demonstrate willingness to change by accepting constructive feedback and suggestions for improving leadership style					
Authorities have human resource management capacity to:					
Manage performance expectations and assess staff performance					
Involve employees, through dialogue and empowerment, in the identification and implementation of performance improvement plans					
Frame, manage and interpret a comprehensive situation analysis of and create a vision for human resource development					
Regularly analyze current and future human resource needs at the organizational and individual levels					
Align organizational, team and individual targets and goals					
Monitor the development, use and improvement of employee competencies					
Use clear performance standards to ensure staff accountability and productivity					
Evaluate the development and implementation of HR policies and encourage evaluation and feedback					
Authorities have financial management capacity to:					
Mobilise both internal and external funds					
Conduct a cost/benefit analysis in developing its financial plan					

Identify and analyze the risks and rewards of potential financial decisions and weigh trade-offs in developing its financial plan					
Manage financial resources and procurement appropriately in the implementation of programmes and delivery of services					
Monitor the use of financial resources and cost of delivery of standard products and services					
Prepare a budget and to estimate capacity development costs					
Authorities have technical capacity to:					
Access, gather and disaggregate data and information on projects					
Translate information into a vision and/or a mandate					
Develop and design programmes					
Procure the financial and in-kind resources necessary for efficient operations					
Engage domestic and external stakeholders in the process of developing project plans					
Use technology to efficiently operate the organization's projects					
Authorities have adaptive capacity to					
Monitor, assess, respond to, and create internal and external changes.					
Learn about what is happening in the local community as well as staying current with what is going through networking with community leaders and funders					
Empower local people to make their own choices in allspheres of life					
Working within the locality, such as advocating on behalf of constituents or communities					
Assess the needs of clients, and use the results of programme evaluation as a learning tool in enhancing programme delivery					
Make use of the results to improve performance and service delivery					
Carry out self-assessments, utilize the findings to carry out and follow through on strategic plans					
Set indicators and benchmarks for outputs and outcomes of their knowledge efforts					

31.   In order of seriousness, list any three (3) challenges facing the effective implementation of CB in the Assembly

(1)   ....

………………………………………………………………………………………....

(2)   ....

……………………………………………………………………………………………

(3)   ....

....

32.   In order of importance, list any three suggestions to improve the approach to CB in this Assembly:

1.   ……………………………………………………………………………………

…………………………………………………………………………………………

2.   ……………………………………………………………………………………

…………………………………………………………………………………………

3.   ……………………………………………………………………………………

…………………………………………………………………………………………

Once again, thank you for your time and participation.

Mrs. Annan-Prah Eliz (PhD Student)

APPENDIX B

UNIVERSITY OF CAPE COAST
COLLEGE OF HUMANITIES AND LEGAL STUDIES
SCHOOL OF DEVELOPMENT STUDIES

INTERVIEW SCHEDULE FOR ELECTED/APPOINTED ASSEMBLY MEMBERS
TOPIC: CAPACITY BUILDING AND DEVELOPMENT OF DECENTRALISED LOCAL GOVERNMENTS IN THE CENTRAL REGION OF GHANA

Dear Sir/Madam,

The purpose of this interview schedule is to assess the capacity building interventions, process and approaches as well as to identify the success drivers for the development of MMDAs in the Central Region, Ghana. Responses to the questionnaire will assist the researcher to prepare a thesis leading to the award of a PhD degree in Development Studies. Your candid responses will be strictly confidential and would be used to compile the aggregate survey results from all participants. I shall be most grateful if you can spare part of your precious time to complete the questionnaire at your earliest convenience.

Thank you for agreeing to participate.

For official use
Code:…….. Name of Interviewer:……………………….Date:……………….

Part I: General information
33.　　District:……………… 2. Assembly Member: Elected [ ]　　Appointed [ ]
34.　　Sex: Male { }　Female { }
3. Educational background: Diploma [ ] Bachelor's degree [ ] Master's degree [ ]
　　　　Other (please specify)…………………….　……………………………
4.　　How long have you been in the Assembly? ………………
5.　　Are you aware of the capacity building (CB) programme?
　　　　　　1.　Not fully aware [   ]　　2. Aware [   ]　　3. Fully aware [   ]

6.If yes, how were you made aware of the CB grant and/UDG? (tick √ as appropriate)

Ways of creating awareness	Yes	No
Through Assembly Meetings		
Through Workshops		

333

Part II: Approaches to Capacity Building

Please indicate your level of participation to the following statements using the scale:
1 = Not fully participated 2= Partially participated   3 = Fully participated

I participate in the	1	2	3
Identification of development objectives for CB in the Assembly			
Capacity needs and assets assessment			
Design of CB programmes			

1. If you participated in the objective setting, needs and asset assessment, and the design of CB programmes, how do they enable you to do the following?   Use the scale
1 = Very Weak, 2 = Weak, 3 = Strong,   4 = Very Strong

Participation issue	Setting development obj.				Needs/asset assessment				Design CB programme			
	1	2	3	4	1	2	3	4	1	2	3	4
Feel happy about contributing to development planning and policy making												
Feel committed to the process of CB												
Personally invest in the success of the CB												
Promote communication												
Receive and give feedback												
Build networking and partnerships												
Ensure sustainability of the CB												
Take ownership of CB activities												
Feel rewarded/motivated												
Be accountable to CB outcomes												
Learn and increase knowledge												

Monitoring and evaluation in the CB process

7.   If you participated in the CB process, please indicate your agreement to the statements using the following scale:

1 = Strongly Disagree   2 = Disagree   3 = Agree   5 = Strongly Agree

Monitoring of CB Programmes	1	2	3	4
Monitoring mechanisms were in place to monitor CB programmes				
There were indicators to follow in monitoring CB programmes				
The indicators reflected the needs assessment				
Monitoring was done by leaders of the Assembly				
Monitoring was done by the Regional Coordinating Director				
Monitoring was done by the central ministries (MLGRD/LGSS)				
Monitoring was done by Consultants				
Monitoring was done in a timely fashion				
Leaders of the Assembly take monitoring seriously				
Feedback was provided during the monitoring period				
Monitoring was weak in the Assembly				
Evaluation of CB programmes	1	2	3	4
Leadership in the Assembly evaluates CB programmes after the training has been conducted				
Only CB providers evaluate their programmes				
Both leadership and CB providers conduct evaluation				
Evaluation report is made available to elicit accountability				
No evaluation has been conducted on any of the CB programmes				

Part III:

Have you participated in any training programme in the Assembly since you were elected/appointed? Yes [   ]   No [   ]

8.   If yes, please list any five training programmes you have participated in the last five years

1.   …………………………………………………………………………………
2.   …………………………………………………………………………………
3.   …………………………………………………………………………………
4.   …………………………………………………………………………………
5.   …………………………………………………………………………………

9.   Do the training relate to the work you do in the Assembly?   Yes [   ]   No [   ]
     Please give reason for your answer:………………………………………………
     ……………………………………………………………………………………………

335

10.   Who provided the CB programme you participated in? Use the scale:
1 = Never;   2 = Sometimes;   3 = Always

Statement	1	2	3
External consultants engaged by central ministries			
Internal specialists			

Any other (please specify):………………………………………………………

11.   If involved, what is your opinion on the adequacy of the time used for the training?
1   = Very Inadequate [ ]   2 = Inadequate [ ]   3 = Adequate [ ]   4 = Very Adequate **[ ]**

12.   If involved, to what extent will you rate the following issues of the CB programme

Statement	Excellent	Very good	Good	Fair	Poor
Skills of the provider					
Expertise of the provider					
Provider offers well-established best practices					
Comprehensiveness of programme					
Quality of the programmes					
Opportunity for peer-connectedness					

13. What was your perception toward the CB training programmes you participated in?
    1= Not satisfied [   ] 2 = Fairly satisfied [   ]   3 = Satisfied [   ]   4 = Very satisfied [ ]

Please give reason for your answer:……………………………………………………..
………………………………………………………………………………………….

Part IV: Critical Success drivers of CB and Organisational Development
14.   Leadership in the Assembly devote their time and expertise to support CB process

1 = Strongly Disagree [   ]   2 = Disagree [ ]   3 = Agree [ ]   4 = Strongly Agree [ ]

15.   How will you rate the level of (i) support and (ii) willingness of the following categories of leaders and staff towards the CB programme and its sustainability?
1 = Very Low 2 = Low   3 = Moderate 4 = High   5 = Very High

336

Positions	Support					Willingness				
	1	2	3	4	5	1	2	3	4	5
DCE/MCE										
DCD/MCD										
DFO/MFO										
DPO/MPO										
HoDs/Sections/ Units										
Staff										
Assembly Members										

Capacity building approaches and learning and empowerment

16. In your opinion, how does the strategies used help in continuous learning and empower you to do your work? Using the scale: **1 = Very Weak, 2 = Weak, 3 = Strong,   4 = Very Strong**

Learning issues	**1**	**2**	**3**	**4**
Foster individual and team learning				
Foster individual and team problem-solving				
Makes me gain experience				
Be innovative in doing my work				
Use skills and knowledge acquired				
Be committed to continuous learning and improvement				
Quality assurance system is in place to assist in learning and improvement				
Learn the limitations of one's own professional discipline				
Empowerment issues	**1**	**2**	**3**	**4**
Share quality information at work				
Get support from leadership				
Get resources from the Assembly to do your work				
Get opportunity for advancement				
Have the authority to make decisions				
Direct the course of your own development				
Improve provision and distribution of public facilities				
Develop a sense of responsibility towards development interventions				
Incentivise you to change				
Build confidence in doing your work				
Build trust in authorities				
Improve self-efficacy to create own sustainable capacities				
Improve knowledge and competencies				

17. Please indicate your level of agreement on the adequacy of resources in the Assembly using the following: **1 = Very inadequate   2 = Inadequate   3 = Adequate   4 = Very adequate**

Human resource capacity	1	2	3	4
Staff with requisite skills and abilities to manage				
Staff with the required knowledge to manage				
Leadership capacity in the Assembly				
Management capacity in the Assembly				
Technical capacity in the Assembly				
Adaptive capacity in the Assembly				
Institutional capacity	1	2	3	4
Physical space and facilities is adequate to do the tasks				
Needed equipment and materials to perform functions				
Information Technology for programme performance				
Financial resource capacity	1	2	3	4
Funds to plan CB activities				
Funds to implement CB activities				
Funds to monitor CB activities				
Funds for development activities in the district				

18. List any three challenges for the effective implementation of CB in the Assembly
1. ....
2. ....
3. ....
....

List any three suggestions to improve the CB approach in this Assembly
1. ....
2. ....
3. ....

Thank you for your assistance
Elizabeth C. Annan-Prah (PhD Student)

APPENDIX C

**INTERVIEW GUIDE FOR RESPONDENTS AT THE
NATIONAL, REGIONAL AND DISTRICT LEVELS**

Name of Interviewer: ………………………….Date:………………..

Place of interview …………………Code No. ……………………..

Section A: Capacity building grant

1. What is your role in the management of the CB Grant?

2. How timely are the allocation of the grants to the target districts (indicate the average time lapse)?

3. What is your opinion and suggestions on the adequacy/fairness of the following:

   a. Size of the CBG and the UDG for planning and implementation of CB programmes

   b. Formulae for sharing the grants……………………………………

   c. Utilisation of the CBG and UDG at the district level……………

   d. Impact of the grant on the development of MMDAs…………

Section B: Approach to CB

4. How are stakeholders engaged in the identification of development objectives in the to guide capacity building?

5. Do MMDAs engage stakeholders in the identification of capacities needed to implement the development objectives in the district? If yes, how is it done?   If No, why?

6. Do the MMDAs conduct capacity needs and asset assessment? If yes, how is it done? If No, why?

7. Who designs the CB programmes at the district level?

8. Do CB programmes include provision of physical resources, such as tools, machines etc?

9. How relevant are the training programmes to the core functions of the recipients?

10. Who strategies are used in delivering the training programmes? Why

11. Are you satisfied with the CB programmes and development of the Assembly?

12. How are providers/facilitators of CB programmes engaged?

13. What will you say about the:

339

    a. competencies of CB facilitators

    b. quality of programmes

    c. effectiveness of strategies used in the delivery of training programmes

14. How does the approach to CB at the various levels promote participation, learning, and empowerment?

Section C: Monitoring and evaluation

15. Do you set indicators to monitor training programmes during implementation; and do indicators reflect core competencies of the Assembly?

16. How is monitoring done, and what mechanisms are in place to hold officials accountable?

17. How is evaluation of the CB programmes done, and how often?

Section D: Critical success drivers of CB for organisational effectiveness

18. How will you rate the level of leadership support to CB activities?

19. How many decentralised departments exist in this Assembly?

20. Which officials are currently at post and functional in this Assembly?

21. Please how will you rate the adequacy of resources in this Assembly in terms of:

    a. Human resources, and with expertise?

    b. Physical resources, e.g. IT, office accommodation etc.

    c. Financial resources

22. What are some of the challenges facing the effective implementation of a capacity-building in the Assembly?

23. What suggestions can you offer to enhance the implementation of CB programmes in the Assembly?

Overall comments?

Thank you very much

Appendix D: Strategies used in the delivery of training programmes

Provider used……	KEEA (%)			CCMA %)			AAK (%)			Total (%)		
	N	S	A	N	S	A	N	S	A	N	S	A
Classroom training	12.0	8.5	5.0	6.4	7.1	14.3	5.2	5.7	15.7	6.4	5.8	11.6
Technical assistant	15.0	2.9	9.4	5.1	14.3	0.0	3.1	10.4	5.9	3.9	10.9	5.7
Vestibule training	15.0	1.5	10.7	6.4	10.7	0.0	4.7	9.3	3.9	4.5	10.2	5.0
Workshops/ Seminars	39.0	0.7	7.5	0.0	14.3	57.1	0.5	10.9	13.7	0.3	10.3	26.5
On-the-job training	4.0	9.3	5.7	0.9	3.6	0.0	9.9	3.6	5.9	8.9	4.4	3.1
Executive coaching	8.0	7.3	6.8	7.6	7.1	0.0	10.4	4.1	2.0	8.0	5.9	2.6
Mentoring	12.0	2.2	10.5	6.4	10.7	0.0	6.3	7.3	5.9	5.1	9.4	5.0
Education abroad	8.0	11.5	3.1	10.2	0.0	0.0	10.9	3.1	3.9	10.3	2.4	3.3
Education in Ghana	12.0	7.1	6.3	8.9	3.6	0.0	6.3	6.2	9.8	7.4	5.6	6.4
Professional training	4.0	8.7	6.1	8.9	3.6	0.0	8.9	4.7	5.9	8.5	5.0	3.1
On-line distance education	23.0	4.4	6.9	5.1	10.7	14.3	4.7	8.8	5.9	4.6	8.5	10.6
Exchange programmes	0.0	12.9	3.1	8.9	3.6	0.0	10.4	3.6	3.9	10.0	3.4	1.4
Training trainer approach	4.0	5.8	8.6	8.9	3.6	0.0	5.2	6.7	11.8	6.9	6.8	5.2
Simulation	12.0	10.0	3.8	8.9	3.6	0.0	7.8	7.3	0.0	8.6	5.0	2.8
Conferences	11.0	7.3	6.3	7.6	3.6	14.3	5.7	8.3	5.9	6.8	6.2	7.8
Total	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0
n	(550)	(636)	(179)	(1023)	(364)	(91)	(576)	(579)	(153)	(2231)	(1576)	(423)

Source: Field survey (2017)

Appendix E: Influence of CB approach on employee empowerment

Issue	KEEA		CCMA		AAK		Total		X² (p-value)
	Weak f(%)	Strong f(%)	Weak f(%)	Strong f(%)	Weak f(%)	Strong f(%)	Weak f(%)	Strong f(%)	
Share quality information	2 (1.5)	131 (98.5)	13 (8.2)	145 (91.8)	12 (9.8)	111 (90.2)	27 (6.5)	387 (93.5)	388.340a (.000)
Get support from leadership	72 (54.1)	61 (45.9)	149 (94.3)	9 (5.7)	114 (92.7)	9 (7.3)	365 (88.2)	79 (19.1)	525.433b (.000)
Get resources	86 (64.7)	47 (35.3)	140 (88.6)	18 (11.4)	87 (70.7)	36 ((29.3)	313 (75.6)	101 (24.4)	318.213a (.000)
Opportunity for advancement	77 (57.9)	56 (42.1)	122 (77.2)	36 (22.8)	87 (70.7)	36 (29.3)	286 (69.1)	128 (30.9)	498.624b (.000)
Opportunity for decision-making	79 (59.4)	54 (40.6)	104 (65.8)	54 (34.2)	90 (73.2)	33 (26.8)	273 (65.9)	141 (34.1)	498.511b (.000)
Direct my course of development	69 (51.9)	64 (48.1)	104 (65.8)	54 (34.2)	87 (70.7)	36 (29.3)	260 (62.8)	154 (37.2)	512.468b (.000)
Improve provision and distribution of public facility	30 (22.6)	103 (77.4)	58 (36.7)	100 (63.3)	27 (22.0)	96 (78.0)	121 (29.2)	299 (72.2)	406.234a (.000)
Develop a sense of responsibility	77 (57.9)	56 (42.1)	104 (65.8)	54 (34.2)	87 (70.7)	36 (29.3)	268 (64.7)	146 (35.3)	348.702a (.000)
Incentivise me to change	17 (12.8)	116 (87.2)	13 (8.2)	145 (91.8)	18 (14.6)	105 (85.4)	48 (11.6)	366 (88.4)	384.915a (.000)
Build confidence	12 (9.0)	121 (91.0)	13 (8.2)	145 (91.8)	9 (7.3)	114 (92.7)	34 (8.2)	380 (91.8)	388.362a (.000)
Build trust in authorities	22 (16.5)	111 (83.5)	58 (36.7)	100 (63.3)	24 (19.5)	99 (80.5)	104 (25.1)	310 (74.9)	379.213a (.000)
Improve self-efficacy	16 (12.0)	117 (88.0)	13 (8.2)	145 (91.8)	18 (14.6)	105 (85.4)	47 (11.4)	367 (88.6)	408.532a (.000)
Improve knowledge and competencies	14 (10.5)	118 (88.7)	13 (8.2)	145 (91.8)	18 (14.6)	105 (85.4)	45 (10.9)	368 (88.9)	408.532a (.000)
Total	133(100.0)		158(100.0)		123(100.0)		414(100.0)		

Source: Field survey (2017)

Appendix F: Regional distribution of districts fulfilling the minimum conditions of performance from 2008 to 2013

Region	2008		2009		2010		2011		2012		2013	
	No of districts	No fulfilled MCs	No of districts	No fulfilled MCs	No of districts	No fulfilled MCs	No of districts	No fulfilled MCs	No of districts	No fulfilled MCs	No of districts	No fulfilled MCs
Ashanti	21	9(43.0)	27	22(81.5)	27	25(92.6)	27	27(100.0)	30	29(96.7)	30	30(100.0)
Brong Ahafo	19	10(53.0)	22	8(36.4)	22	22(100.0)	22	21(95.5)	27	27(100.0)	27	27(100.0)
Central	13	2(15.0)	17	16(94.1)	17	15(88.2)	17	16(94.1)	20	20(100.0)	20	20(100.0)
Eastern	17	7(41.0)	21	14(66.7)	21	21(100.0)	21	18(85.7)	26	25(96.2)	26	26(100/0)
Greater Accra	6	0(0.0)	10	9(90.0)	10	10(100.0)	10	10(100.0)	16	14(87.5)	16	15(93.8)
Northern	18	6(33.0)	20	17(85.0)	20	20(100.0)	20	20(100.0)	26	23(88.5)	26	26(100.0)
Upper East	8	4(50.0)	9	9(100.0)	9	9(100.0)	9	9(100.0)	13	13(100.0)	13	13(100.0)
Upper West	8	4(50.0)	9	8(88.9)	9	9(100.0)	9	9(100.0)	11	11(100.0)	11	11(100.0)
Volta	15	5(33/0)	17	14(82.4)	17	17(100.0)	18	17(94.4)	25	23(92.0)	25	25(100.0)
Western	13	3(23.0)	17	17(100.0)	17	16(94.1)	17	16(94.1)	22	22(100.0)	22	22(100.0)
Total	138	50(36.2)	169	134(79.3)	169	148(87.6)	170	163(95.9)	216	207(95.8)	216	215(99.5)

Source: Adapted from MLGRD/DDF Secretariat (2014)