



REPUBLIC OF UGANDA
MINISTRY OF LOCAL GOVERNMENT

NATIONAL LOCAL GOVERNMENT CAPACITY BUILDING
POLICY (NLGCBP)

DRAFT

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FOREWORD

1.0 BACKGROUND AND CONTEXT

1.1 Institutional and Policy Framework

The Constitution of Uganda provides the overall legal basis to plan and implement development programmes aimed at benefitting all the people in the country. This requirement is explicitly expressed in the national Objectives and Directive of State Policy, whereby the State is tasked to define the national, economic and development agenda as well as in ensuring that all the people participate in its definition and implementation.

Uganda's overall development goal is to eradicate poverty and to enable her people enjoy a high standard of living. In Uganda, the nationwide aspirations that guide Government's development agenda were articulated through a participatory Long Term Perspective that led to Uganda Vision 2025 Document which is now culminating into Vision 2040. The National Development Plan (2010/11 – 2014/15) has a vision of “ A transformed Ugandan society from a peasant to a modern and prosperous country within 30 years” The NDP proposes to contribute to the socio-economic transformation through improving employment levels, higher per capita income, improve labour force distribution in line with sectoral GDP share, substantially improved human development and gender equality indicators and the country's competitiveness position.

The NDP and sector plans are being implemented within the decentralisation framework. Decentralisation is a national policy that was officially launched in 1992 and preserved in the 1995 Constitution and the Local Governments Act, 1997. The policy provides for an appropriate measure that enables Local Government units to plan, initiate and execute policies in respect of matters affecting people within their jurisdiction. The Local Governments Act, 1997 (the Second Schedule) clearly defines the functions that are devolved to Local Governments. The schedule lists, amongst others, medical and Health Services, Educations Services, Water services, Road Services and Agricultural Extension Services.

1.2 Legal Framework

The principles of decentralisation are entrenched in the Ugandan Constitution and the Local Governments Act, 1997 and subsequent amendments. These provisions empower Local Governments with responsibilities of allocation of public resources, integrated participatory planning and budgeting, local resource mobilisation and investment management within their areas of jurisdiction. The decentralisation policy aims at improving service delivery, accessibility to services and reduction of poverty within the population.

1.3 Objectives of decentralisation

The objectives of Decentralisation for which the capacity building policy is critical are:

- a) To give full effect on decentralisation of powers, responsibilities and services to all levels of Local Governments
- b) Ensure democratic participation and control of decision making by the people concerned
- c) Establish a democratic, political and gender sensitive administrative set-up in Local Governments
- d) Establish sources of revenue and financial accountability and
- e) Provide for regular elections of Local Councils
- f) Promote Local Economic Development in order to enhance people's incomes

1.4 The concept and practice of Capacity Building in Uganda

The UN Development Programme (UNDP) has defined "capacity" as "the ability of individuals, institutions and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner." The terms "capacity building" or "capacity development" describe the task of establishing human and institutional capacity. In practice however, capacity building in Uganda has focussed more on enhancing human capacity in the form of knowledge and skills acquisition at the expense of other factors that affect performance such as having a conducive working environment and positive attitudes towards work/work ethic, availability of basic tools and equipment have a huge bearing on productivity.

This policy looks at capacity building in a broader and holistic sense encompassing all the factors that have a bearing on the performance of Local Governments as institutions and its stakeholders.

In conformity with the Public Service Training Policy, the National Local Government Capacity Building Policy supports and follows the principles outlined below:

- a) An integrated approach to LG capacity building, incorporating the important elements of both demand and supply driven capacity building
- b) Well planned, rather than ad-hoc training and capacity building activities
- c) Addressing a balanced mix of individual and institutional needs
- d) A balanced mix of qualifications and job performance; and
- e) A balanced mix of theory and practice

In this regard the Local Government Capacity Building Policy aims at addressing all the factors that affect performance of local governments including among others; working environment, availability of resources, availability of tools and equipment, staffing, work ethics, management

systems and procedures on top of enhancing the knowledge and skills of existing human resources.

2.0 LOCAL GOVERNMENT CAPACITY BUILDING POLICY

2.1 Context

Ministry of Local Government with support of the Development Partners developed the National Local Government Capacity Building Policy (NLGCPB) in 2005 to harmonize capacity building interventions and initiatives for Local Governments. This led to the establishment of the Local Government Capacity Building Unit in MoLG to coordinate and formulate strategies for addressing capacity building in a holistic and co-ordinated manner.

The NLGCBP provided the framework in which both elected and appointed officials of the Local Government received trainings and acquired skills. The policy covered a wide range of aspects of capacity building activities which were geared towards improving performance in service delivery and poverty reduction. The policy also set the institutional structures for co-ordination and harmonisation of capacity building initiatives.

During the last seven years of NLGCBP implementation the following achievements were registered: the Local Government Capacity Building Unit (CBU) was established in MoLG, the Capacity Building Technical Working Groups were established, Human Resource Management units were revamped in Local Governments; Central Government and Districts/ Municipal Councils resource pools established; Standardized Training Manuals were developed; pre-qualification of training providers were carried out annually; guidelines for capacity building and Development of 3 year Capacity Building Plans (CBP) by districts/municipal councils provided.

Notwithstanding the achievements registered over the seven years of the implementation of the NLGCBP, there has been a number of capacity challenges facing Local Governments in Uganda from the institutional and operational capacity gaps that they faced in the earlier stages of the decentralisation to more technical and resources-related capacity gaps critical to sustaining a high level of service delivery today. This shift has underscored the need to have a new look at the national policy on Local Government Capacity Development and to take steps to help LGs to acquire the required capacity to guarantee sustainable service delivery to their population. Some of the challenges that have been faced during the implementation of the NLGCBP are:

- The inability of Local Governments to adequately fill their staffing structures/establishment;

- The challenge of attraction and retention of staff in Local Governments especially the professional staff;
- Local Government staff being appointed to Central Government positions.
- Failure by some Line Ministries like Health ,Water and Environment, and Agriculture to decentralise capacity building grants to Local Governments;
- Growing demand by Local Government officials both elected and appointed to benefit from career development courses yet the Capacity Building Grants (CBG) is decreasing;
- Providing staff with tools, equipments and facilities so as enable them deliver services;
- Lack of civic education so as to keep the community interested in the decentralisation process and empower them with their roles, responsibilities and rights;
- Linking of Capacity Needs Assessment with the five year capacity building planning cycle;
- Centralisation of the appointment of Chief Administrative Officers (CAOs), Deputy Chief Administrative Officers DCAOs and Town Clerks (TCs) of Municipal Councils;
- Emergence of new areas such as peace building, conflict resolution, disaster risk management, climate change adaptation and mitigation, local economic development and private sector financing that require additional capacities in Local Governments.

2.2 Aims and Objectives of the Policy

2.2.1 Aim

The National Local Government Capacity Building Policy aims at enhancing the human and institutional capacity of Local Governments for improved service delivery through increased harmonisation, coordination and management of capacity building activities in Local Governments.

2.2.2 Objectives

2.2.2.1 Overall Objective

The overall objective of the National Local Government capacity Building Policy is to further strengthen the mechanism for a co-ordinated and systematic capacity building in Local Governments.

2.2.2.2 Medium Term Objectives

The medium term objectives of the national Local Government capacity Building Policy are to:

- a) Provide a framework to ensure quality and relevance of capacity building activities;
- b) Guide Local Governments to accord priority to Human Resources Development;
- c) Establish a clear and appropriate approach to capacity building tasks and responsibilities;
- d) Equip Local Government functionaries with the needed skills to perform the challenging tasks.
- e) Streamline guidelines for capacity building monitoring and evaluation

2.2.2.3 Immediate Objectives

The immediate objectives are to:

- a) Strengthen the human resource development function in Local Governments;
- b) Guide Local Governments to carry out Capacity Building Needs Assessment and develop five -year capacity building plans that are integrated into the five -year development plans of Local Governments
- c) Establish a framework for providing basic tools and equipment for LG functionaries
- d) Institutionalise rewards and sanctions to inculcate a culture of efficient and effective work performance and teamwork
- e) Enhance skills of LGs in carrying out monitoring and evaluation of LG training and capacity building activities
- f) Continue developing/updating standardised training materials; and
- g) Provide a forum for wide consultations for capacity building in Local Governments
- h) Enhance the knowledge and skills of junior LG staff and community level structures like Parish Development Committees and Facility User Committees who are at the forefront of service delivery.

3.0 INSTITUTIONAL FRAMEWORK

The Local Government capacity Building Policy will be implemented through a number of institutions at central and Local Government levels. The choice of institutions is based on mandated responsibilities and relevance to Capacity Building implementation Framework

3.1 National Level

3.1.1 The Local Government Capacity Building Steering Committee

The Local Government Capacity Building Steering Committee will be the apex institution at Central Government level. This Committee steers the policy through the implementing institutions and will ensure that the policy is adhered to at all times. The committee is to be

chaired by the Permanent Secretary, Ministry of Local Government with membership of Permanent Secretaries of Ministry of Public Service; Ministry of Finance, Planning and Economic Development; Ministry of Agriculture, Animal Industry and Fisheries; Ministry of Education and Sports; Ministry of Health; Ministry of Water, and Environment; Ministry of Works, Transport and Communication and the National Planning Authority. The Committee may co-opt other members as deemed necessary.

The tasks of the committee shall among others be:

- a) Approve the National Policy/and standards for capacity building in Local Governments;
- b) Provide a forum for co-ordination and harmonisation of government and donor funded capacity building initiatives directed towards Local Governments and;
- c) Advise and review alternative National Strategies for capacity building in Local Governments

3.1.2 Ministry of Local Government

The strategic objectives of the Ministry of Local Government are to:

- a) Make substantial gains towards the promotion of democratic governance, transparency and accountability in Local Governments; and
- b) Build capacities of Local Governments and Councils in the areas of planning, financial management, revenue collection, human resources management, project management, investment promotion and management information for efficient and effective service delivery.

Tasks of the ministry

The tasks of the Ministry related to capacity building initiatives include:

- a) Conduct annual reviews of the progress of capacity building in Local Governments for purposes of enhancing effective implementation of the policy;
- b) Formulate and review policy and set guidelines for Local Government Capacity Building
- c) Co-ordinate and supervise Local Government Capacity Building activities;
- d) Support planning and reporting systems for Local Government Capacity Building delivery which include support to:
 - Technical Planning Committees
 - Human Resource Management Divisions; and
 - District/Municipal Resource Pools
- e) Design and periodically review a Monitoring and Evaluation framework for tracking overall performance impact and ensure high quality of capacity building programmes; and

- f) Conduct annual pre-qualification and certification of training private capacity service providers.
- g) Institutionalise rewards and sanctions to inculcate a culture of efficient and effective work performance and teamwork
- h) Review personnel specification for positions in the organisational structure of LGs to ease filling of vacant positions. In the same vein review and fix minimum level of qualifications for HLG councillors
- i) In view of the low level of education of LG Councillors, as a stop gap measure, key policy and legal documents such as the Constitution, the LG Act and Council procedures should be translated into the major regional local languages to accommodate the current low level of education of councillors.
- j) Provide resources for all components of capacity building including provision of basic tools/equipment and thematic research under CBG
- k) Work with Ministry of Public Service to implement Programmes to address Working environment in LGs especially in Hard To Reach and Stay areas
- l) Provide resources for recruitment of staff in all LGs to at least 75%
- m) Develop guidelines on how LGs shall ensure that capacity building adequately benefit junior staff such as Parish Chiefs and community level committees such as Parish Development Committees, Health Unit management Committees, School Management Committees and Project Management Committees.

3.1.3 Local Government Capacity Building Unit (LG-CBU)

The LG CBU shall be strengthened by placing it under the Chairmanship of Director, Local Government Administration. To ensure equitable representation of all the departments in the ministries membership of the CBU shall be composed of Commissioners and Under Secretaries. The Principal Personnel Officer (PPO) shall remain the Secretariat for the CBU.

Functions of the CBU

The CBU provides support to the capacity efforts in the Local Governments, and is responsible for the overall co-ordination of capacity building programmes in Local Government Sector. The unit operationalises systems and standards as developed at the Steering Committee level. The key functions of the Unit are to:

- a) Facilitate the development and ensure implementation of the National Framework and Strategy for Local Government capacity building, including the conducting the annual reviews of Local Government Capacity Building initiatives
- b) Establish and ensure adherence to capacity building standards through standardization of generic training modules and materials and pre-qualification of training/capacity building providers

- c) Provide guidelines, technical support and feedback to Local Governments on Capacity Building Plans
- d) Provide assistance to weak and newly created Local Governments where needed;
- e) Formulate and implement a monitoring and evaluation mechanism for Local Governments training and capacity building activities;
- f) Set up reporting systems that provide Ministry of Local Government with an overview of Local Governments' capacity building activities
- g) Facilitate and monitor the work of Technical Working Groups;
- h) Provide secretarial services to the Local Governments Capacity Building Steering Committee;
- i) Build a data bank on capacity building in the Local Government sector.
- j) Manage conflicts that arise from time to time among LG functionaries
- k) Coordinate the carrying out of thematic research in topics that are relevant to the functioning of LGs

3.1.4 Technical Working Groups

The Technical working Groups are composed of officials drawn from stakeholder Ministries, National Planning Authority, Local Government Associations, Development Partners, Civil Society Organisations, Community Based Organisations and Non Governmental Organisations. Other members may be co-opted whenever needed. The roles of the Technical working Groups are to:

- a) Carry out quality control of generic standardised training modules and materials;
- b) Support development of a system for the pre-qualification and certification of training providers
- c) Participate in the management and periodic monitoring of Local Governments Capacity Building activities;
- d) Assist in the development and review of standardised courses and materials; and
- e) Ensure the training materials cater for cross-cutting issues like poverty, environment, gender, HIV/AIDS and ROM

3.1.5 Ministry of Public Service

The mandate of the ministry of Public Service in this process is to develop strategies which attract, retain and motivate a workforce that will support development activities of the country. The specific functions of the Ministry of Public service in this regard are to:

- a) Review, formulate and ensure implementation of the training policy and translate standards in the public service;

- b) Translate and disseminate training decisions made by the Public Service Reform Steering Committee and other authorities regarding training of public officials and issuing necessary guidelines to the service
- c) Provide technical guidance on policy and standards to Central and Local Governments on training issues in the public service; and
- d) Liaise with training institutions to ensure that training needs of the public service are catered for in their programmes.

3.1.6 Ministry of Finance, planning and economic Development

The mandate of the Ministry of Finance, Planning and Economic Development in this context is to oversee the planning of national development initiatives in order to facilitate economic growth, efficiency, macro-economic stability, poverty eradication and enhancement of overall development. The specific functions of the ministry in this regard are to:

- a) Source and provide funds for Local Government capacity Building initiatives;
- b) Guide, in liaison with the Ministry of Local Government, Local governments in financial management
- c) Participate in monitoring and evaluating capacity building in local governments especially in the areas of Financial Management.
- d) Carry out, in liaison with Ministry of Local Government, capacity Building activities in Local Governments

3.1.7 Other Line Ministries

The roles of other Line Ministries in this context are to:

- a) Support the development of standardized , generic training modules and materials for Local Government;
- b) Liaise and participate with the Ministry of Local Government in the development and implementation of Training and Capacity Building activities that are sector specific;
- c) Develop capacity Building Materials that are of a technical nature and sector-related e.g. water, agriculture, health, education, roads and gender
- d) Apply the established procedures and standards for planning and co-ordination of capacity building in Local Governments including reporting to the Ministry of Local Government on sector related training and capacity building activities facilitated by respective line ministries
- e) Participate in the pre-qualification and certification of training providers;
- f) Participate in the monitoring and evaluation of capacity building activities;
- g) Mobilise financial and non-financial resources for capacity building activities;
- h) Support Local Governments in the planning process by providing sector specific information; and

- i) Participate in the Local Government capacity Building Needs Assessment.

3.1.8 Institutions and Semi-Autonomous Entities

3.1.8.1 Local Authorities Associations

The roles of Local Government Associations in the Capacity Building for Local Governments under this policy are to:

- a) Participate in the development of standardised generic training modules and materials
- b) Support their members in determining capacity needs;
- c) Stimulate demand-driven capacity building as well as identifying appropriate supply-driven capacity building in Local Governments
- d) Stimulate training and capacity building in Local Governments through provision of information to Local Governments and co-ordination of activities;
- e) Guide and advise Local Governments on appropriate Alternative capacity Building providers.

3.1.8.2 Development Partners

The role of development partners in capacity building planning are to:

- a) Provide resources to support Local Governments in capacity building;
- b) Provide support to the development of capacity building policy and standardized materials and courses; and to
- c) Participate in the Technical Working Group meetings

3.2 Local Government Level

The key institutions in the capacity building in the Local Governments are: the Local Government Councils, Technical Planning Committees, Human Resource Management Divisions, The District Service Commissions, the Local Government Procurement Organs and the Private Sector

3.2.1 The Local Government Councils

The Local Governments have the jurisdiction to exercise political and executive functions, provide services they deem fit, protect the constitution and other laws of Uganda, promote democratic governance and ensure implementation and compliance with government policies. Councils are under obligation to:

- a) Participate in the formulation and approval of the Development and capacity Building Plans;
- b) Monitor, evaluate and review capacity building plans

- c) Review reports regularly from the technical planning committees and Human Resource Management Divisions on capacity Building initiatives and give guidance where necessary; and
- d) Mobilise and appropriate resources for capacity building activities
- e) Establish Libraries/Resource Centres and stock them with relevant policy and legal documents, Programme documents, Generic Training Materials etc. And make them accessible to all LG stakeholders.

3.2.2 District and Municipal Technical Planning Committees

The roles of the Technical Planning Committees are to:

- a) Coordinate and integrate all sector Capacity Building and Development Plans;
- b) Participate in Capacity Needs Assessment in the Councils;
- c) Facilitate the implementation of Capacity building activities in line with the capacity Building Plans;
- d) Establish district/Municipal resource Pools of Local Government Experts to deliver standardized courses and training in Lower Local Governments
- e) Monitor, evaluate and review Capacity Building Activities in Local Governments;
- f) Support capacity building activities in Lower Local Governments; and
- g) Support the process of procurement of training service providers.

3.2.3 Human Resources Management Divisions

The existing Personnel Sections have been revamped and re-oriented to perform broader Human Resource Management/development functions. The specific roles of the human Resource management Divisions are to:

- a) Provide the secretariat to the Technical Planning Committees for all matters related to capacity building
- b) Coordinate the annual capacity needs assessment (including the training needs) of Higher and Lower Local Governments covering staff, councillors, members of statutory bodies, CSOs and the private sector;
- c) Co-ordinate the development of a five year Capacity Building Plan Linked to the five year development plan;
- d) Co-ordinate the selection and procurement of relevant training providers;
- e) Organise, oversee and where necessary undertake training activities in Local Governments;
- f) Co-ordinate the implementation of all Capacity Building activities for the LG;
- g) Train and mentor Lower Local Governments on Human Resource Management/Development and any other necessary skills related to the Human Resource Development function at District and Municipal levels;

- h) Establish and manage a database of District/Municipal Capacity Building and training providers;
- i) Implement a system of monitoring of training and Capacity Building activities at District/Municipal level, including activities in Lower Local Governments;
- j) Report, through the Chief Administrative Officer/Town Clerk, to the Capacity Building Unit in the Ministry of Local Government about the planned and implemented Capacity Building activities in Higher and Local Governments;
- k) Follow-up on training and Capacity Building activities in the District/Municipality, including tracking performance improvement, the need for refresher courses, attrition and brain drain or human resource transfers;
- l) Originate requisitions on capacity building activities in the Local Governments and control the capacity Building Vote;
- m) Conduct in-house awareness sessions for appointed and elected officials on Human Resource management and Development functions;
- n) Coordinate the institutionalisation of rewards and sanctions to inculcate a culture of efficient and effective work performance and teamwork
- o) Supervise capacity building services providers to ensure that activities are implemented by the appropriate personnel and according to agreed plan.
- p) Monitor and evaluate capacity building activities.

3.2.4 District/Municipal Training Committees

All HLGs will establish training committees composed of representatives from all Directorates. They will be responsible for:

- Identify training needs of all LG stakeholders
- Prioritise capacity building needs to be implemented annually
- Recommend staff to benefit from career development/professional courses
- Support the HRM/D Division in carrying monitoring and evaluation
- Ensure that the needs service delivery departments, lower local government (Sub-counties and Town Councils), and user committees at community level are addressed

3.2.5 Heads of Departments in Local Governments

Heads of Departments shall be responsible for:

- a) Identifying capacity building needs of their departments,
- b) Formulating sector capacity building plans for submission to the Human Resource Management Division.

- c) Provision of on the job training to staff in the department in collaboration with senior and middle management staff in the department.

3.2.6 Sub-counties, City and Municipal Divisions & Town Councils

Lower Local Governments shall have their own capacity Building plans. These plans are to be integrated into the District/Municipal capacity building plan. The roles of the Lower Local Governments in the capacity building are to:

- a) Develop capacity building plan for respective local governments;
- b) Provide information on capacity building needs to their respective Higher Local Governments as an input in the Capacity Building Plan;
- c) Organise and handle capacity building activities that take place in the lower Local Governments;
- d) Report back to the Human Resource Management Division about the implemented capacity building in the Lower Local Governments;
- e) Participate in carrying out capacity needs assessment; and
- f) Evaluate training and capacity building for staff under them.

3.2.7 District Service Commissions

The roles of the District Service Commission are to:

- a) Consider and approve study leave for Local Governments Public Officials;
- b) Participate in capacity needs assessment for Local Government staff; and
- c) Recommend to Council the review of the terms and conditions of service in Local Governments where necessary.

3.2.7 Local Government Procurement Organs

The roles of Local Government Procurement Organs in Capacity Building are to:

- a) Procure training service providers and accompanying training materials; and
- b) Procure basic tools and equipment

3.2.8 Private sector

The Private Sector shall provide the reservoir for training providers

4.0 LOCAL GOVERNMENT TRAINING PROVIDERS

4.1 Pre-qualified Training Providers

Pre-qualified institutions and the private sector are involved in the delivery of training and Capacity Building activities in Local Governments using the standardized generic training modules. The procedure for procuring capacity Building providers in Local Governments is attached (See Annex 4)

To ensure quality and value for money, Local Governments should select training providers from the pre-qualified firms. The list of pre-qualified training providers will be updated annually.

4.2 Institutions of Higher Learning

Recognized formal training institutions with a proven track record in training and capacity building will be responsible for:

- Career development courses
- Progressively incorporating LG modules in their professional courses in order to pass our “LG ready personnel”

4.3 Civil service College

The newly established Civil Service College should be used to build the capacity of both appointed and elected LG officials. The college among other courses would carry out induction of new civil servants, newly elected political leaders in collaboration with the National Resource Team. LGs should progressively engage the Civil Service College to implement more and more skills training as the latter’s capacity is also developed. In addition, MoLG should work closely with the Civil Service College to develop training courses relevant to the needs of Local Governments. Other courses that will be done by Civil Service College are:

- TOTs for LGs
- Induction of newly recruited staff
- Induction of LG speakers, councilors and members of statutory bodies
- Tailor made courses
- Leadership courses

4.2 Central Government and District/Municipal Resource Pools

The central Government and District/Municipal Resource pools may implement capacity Building activities because of the following reasons:

- a) **Knowledge of the Local situation and Language:** Local experts are more aware of the local work environment; traditions and languages and can take these into consideration when delivering training;
- b) **Knowledge build-up and sustainability:** Local experts may help establish a local knowledge and information base that will ease the cooperation and interactions between Higher Local Governments and Lower Local Governments in a sustainable way.
- c) **The volume of training:** the volume of training required in different Local Governments cannot all be covered by pre-qualified firms and institutions
- d) **Cost Considerations:** it is cost effective to use technically competent experts than outside specialists whose charges are high
- e) **Networking:** Local experts will assist in establishing informal networks within Local Governments
For LGs to effective benefit from the National and LG Resource Pools:

- The composition of the existing Central Government and District/Municipal Resource Pools changes from time to time depending on skills, workload and staffing
- The National Resource Pools will employ a cascade approach for LG capacity building to ensure that National Resource Team trains HLG staff who in turn train staff and political leadership of the LLG to ensure that they are at and to provide ongoing support where needed.
- Experienced and knowledgeable members of Civil Society Organisations and Non Governmental Organisations may be co-opted to supplement the resource pools
- When the Regional Tier System is operationalised, LGs may opt to constitute Regional Resource Pools to widen the choice of available capacity building facilitators.

5.0 CAPACITY NEEDS ASSESSEMENT

Local Government will conduct a Capacity Needs Assessment in order to identify gaps in the performance of the LG, their staff, councilors, members of statutory bodies, members of User Committees, CSOs and private sector which will be used to formulate a Capacity Building Plan to address these gaps. Steps to be taken when carrying out this Assessment are indicated under Annex 5.

5.1 The Principles of Capacity Needs Assessment

The room for flexibility notwithstanding, Capacity Needs Assessment should adhere to the principles of participatory and process learning, Local Governments' specific needs, the balance between individual and organizational performance, linkages between needs assessment and

capacity building planning, continuous needs assessment and self assessment (see Annex 5 for detailed principles).

5.2 Institutional responsibility for Capacity Needs Assessment

In order to ensure adherence to the principles detailed above, the responsibility of capacity needs assessment lies with the respective Local Government Technical Planning Committees chaired by the Chief Executive. For capacity building to achieve its intended purpose, Capacity Needs Assessment and Capacity Building Planning should be conducted in a manner that gives preference to institutional rather than individual interests.

The process of capacity needs assessment should be coordinated by the Human Resource Management Division and facilitated mainly by the District and Municipal Resource Pools, with backstopping from the Ministry of Local Government.

The Capacity Needs Assessment report should be prepared by the Human Resource Management Division, discussed and approved by the Technical Planning Committee

However, depending on the Local Government capacities and the need to enrich the process with experiences beyond the Local Government, Local Governments may opt to employ the services of external facilitators. In such instances, care must be taken to restrain external facilitators from taking over the process from the Local Governments.

An external facilitator should be an animator, to ensure hands-on transfer of skills to the Local Government staff. The learning from good experiences in other Local Governments should also be taken into consideration.

6.0 CAPACITY BUILDING PLAN

Local Government shall prepare a Capacity building Plan linked and integrated to their development plan. In the formation of the capacity building plan, they shall take into account the principles which are explained in Annex 7. These are:-

- a) Linkage between capacity needs assessment and Capacity Building Plan;
- b) Balance between visionary and constraint based planning;
- c) Balance between demand and supply driven capacity building activities;
- d) Mix of capacity building strategies; and
- e) Harmonization with national policies.

7. ELIGIBLE TRAINING ACTIVITIES

In line with the Public Service Training Policy, the following forms of training and Capacity Building are considered eligible in Local Governments;

- a) Induction, orientation and sensitization;
- b) Performance improvement; and
- c) Professional development.

7.1 Induction, Orientation and Sensitization

Elected and appointed officials in Local Government should be inducted into their new functions and roles within one year and six months of their election/ appointment respectively with the exception of Speakers who should be inducted in their roles as soon as they are elected to ensure smooth conduct of council meetings.

For elected officials standardized training materials and courses have been developed targeting Higher Local Government and lower Local Governments' councilors respectively. The induction, orientation and sensitization courses should contain basic introduction to the legal framework for decentralization, good governance, the major tasks of Local Governments' and the role of councilors as well as their rights and responsibilities. They will also cover government policy regulation and procedures, as well as personal and interpersonal skills.

7.2 Performance Improvement

Performance improvement relates both to the elected and appointed officials in Local Governments. This can happen through training, orientation and sensitization in a general sense but also through targeted technical assistance. The Ministry has developed generic standardized training modules to address some of the training needs in Local Government and will continue to identify areas of need.

7.3. Local Government Councillors

Performance of elected officials basically depends upon an in-depth understanding of their roles, functions and ability to make useful and meaningful decisions in councils and committees. Other areas include planning, monitoring of programme implementation, financial management and control, information and communication with the electorate/ population. Councilors can receive:

- a) Short-term training in these aspects or training can be tailored to address specific needs in the individual Local Governments;
- b) On-the-job training through work in the individual Local Governments; and

- c) Experiential learning through exchange of experience with other similar Local Governments.

7.4 Local Government Staff

There is need to enhance performance and functional skills of Local Government staff and their needs are reflected in the five -year Capacity Building Plan. Capacity Building for Local Government staff may arise out of changes in the legal framework and the general context, changes in the assignments of tasks and responsibilities to the individual Local Governments, changes in reporting systems to Central Government and Development Partners, etc. but also due to a general lack of the required skills, knowledge and attitudes of some Local Governments staff.

Training can be organized in forms of:

- a) Group training;
- b) Individual training;
- c) It can be carried out in all institutions, on job or off job short-term training as may be deemed necessary.

The areas to be imparted may be generic in nature, professional or sector specific.

For every individual the necessary requirement will be identified through Training Needs Assessments.

Specialized training related to the fulfillment of sector-related tasks is developed and provided by Line Ministries and recognized institutions. The need for this form of training should be included in the Capacity Building Plan of the particular District and Lower Local Governments.

7.5 Professional and Career Development

7.5.1 Professional Development

Professional Development courses shall be pursued by the staff in Local Governments to enable them acquire the professional knowledge and skills necessary to deliver quality services in their sector.

7.5.2 Career Development

Although Career Development Courses are expensive, they are necessary because they are enshrined in the schemes of service. Career Development Courses are important as they lead to professional qualifications and are a build-on the primary qualifications of the staff under consideration. Such trainings are usually either for promotion or confirmation in post. However to reduce on LG expenses on career development and the time staff spend off the job while studying, LGs will when recruiting new staff attempt to source candidates who already have some of the professional qualifications (Quality at the gate)

7.6 Standardised Training Materials

For basic functional development skills for Higher Local Governments and Lower Local Governments officials (under (2) and (3) above), different generic and standardized training courses have been developed. Local Government should select courses from this menu to ensure high quality training. The Ministry of Local Government will:

- Periodically update the Standardised training materials
- Development new modules on emerging programme areas
- The Capacity Building Unit will assess the need of these additional courses and the Local Governments Capacity Building Steering Committee will approve the final list.
- Training providers should be guided to use the STMs flexibly

7.7 Prioritisation of Capacity Building Activities

The target groups for Capacity Building activities and prioritisation will differ from Local Government to Local Government based on the identified needs. The criteria for prioritization will include among others:

- a) Gaps identified during Capacity Needs assessment
- b) Resource requirements of activity;
- c) Importance of activity in relation to the Local Governments mandate:
- d) Compliance inspections gaps identified during inspections; and
- e) New Policy intervention requirements from Central Governments.

7.8 Target Group for Human Resource Development

The key groups for human resource development include:

7.8.1 District/ City Council

District/City Local Government Councillors, Executive Committee members, members of standing committee, Local Governments staff, members of the Local Government Statutory Bodies.

7.8.2 Lower Local Government

Lower Local Government Councillors, the Executive Committee members, members of standing committees and other community structures.

7.8.3 Administrative Units

Village Executive Committees, Parish Executive Committees, Parish Councils, Parish Development Committees and County Local Council Executives, Investments Committees, School Management Committees, Health Unit Management Committees, Project Management Committees, etc

7.8.4 Other Target Groups in Local Governments

Private sector entrepreneurs, contractors and service providers, NGOs, Civil Society Organisations, Community Based Organisations, Water User Committees, Women Groups, Savings and Credit Groups, Local Production, Environment Committees, Land Committees and the Communities.

7.9 Target Areas For Institutional Strengthening

The target areas for institutional/organizational and logistical strengthening include:

7.9.1 Institutional strengthening

Institutional strengthening areas will be derived from gaps identified during Organisational self Assessment Exercise and will include review and re-organisation, work flow management, political and administrative management, team work and work organization.

7.9.2 Re-tooling

Re-tooling involves office equipment which includes but not limited to (computers, typewriters, photocopiers etc), information/ Document storage equipment, office space, office furniture and communication equipment (telephone, internet etc).

8. FINANCING & MANAGEMENT OF LOCAL GOVERNMENT CAPACITY BUILDING ACTIVITIES

Capacity Building in Local Governments may be financed through the following sources:

- a) Central Government Transfers;
- b) Donor Funds;
- c) Local Revenue; and
- d) Other Sources of Funding (Local Government Association, Civil Society, Private Sector and Individual Sponsorship), whose activities are included in the Local Government Capacity Building Plan.

8.1 Central Government Transfers

The Central Government Transfers are funds remitted directly from the Central to the Local Government for planned capacity building activities. They include the Capacity Building Grant under LGMSDP as well as sector funds. The utilization of these funds is through approved annual expenditure plans and activities.

8.2 Donor Funds

Until now, most funds for training and Capacity Building in Local Governments have come from different development partners and they have been used in a rather scattered and non

coordinated manner. Donors have continued to support Capacity Building activities in Local Governments. However, the efforts have been less coordinated and ad-hoc in nature.

In order to harmonize the support, the Government of Uganda and the development partners have agreed on a new approach to quality and co-ordination of training and capacity Building in Local Governments.

The Development Partners will continue to provide support under the “Basket” and Bi-lateral funding to capacity building activities that are reflected in the Local Government capacity building plans.

8.3 Local Revenue

Local Governments are mandated to raise local revenues from specific sources in order to finance their expenditures for service delivery. In this process, they can allocate part of the resources to support capacity building activities that enhance service delivery.

8.4 Other sources of funding

With the consent of relevant local governments, local Government Associations, Civil Society, Private Sector and individuals can also fund local Government Capacity Building activities in the Capacity Building plan in Eligible areas of Capacity Building based on their competence.

8.5 Monitoring and Evaluation Mechanism

8.5.1 Individual Local Government

One of the key principles of the Government Capacity Building is professionalism which emphasizes planning, monitoring and evaluation of capacity building activities. Under this policy monitoring and evaluation will be conducted at the following four levels:

- a) Pre-activity Level;
- b) Reaction Level;
- c) Job Behaviour Level; and the
- d) Functional/Organizational Level

8.5.1.1 Pre-activity Level

All the Pre-activity operations shall be monitored to determine why the activity, who will be involved, what will be achieved and how. The above will be based on the capacity building plans which entails objective setting, gap analysis of set goals vis-à-vis output, outcome and appropriate methodology.

8.5.1.2 Reaction Level

Evaluation will be carried out during and immediately after the event to measure the appropriateness of the material and the methods of delivery. The preliminary course evaluation will feed into the pre-activity levels of capacity building interventions.

8.5.1.3 Job Performance Behaviour Level

Capacity building is aimed at enhancing individual performance at the workplace. Supervisors will be required to ascertain effective learning and improved job behavior.

8.5.1.4 Functional and Institutional Level

The monitoring and evaluation at this level will establish whether the capacity building intervention has resulted into a positive trend in the overall performance of the institution. The gaps and lessons identified at this level should form the basis for formulation of next capacity building plan. The detailed monitoring and evaluation system is in Annex A

Specific descriptions of the levels are included in the scheme below:

Level of monitoring	What is being monitored?	Who is responsible?	Which evaluation tool to use?
Pre-activity level	Pre conditions in relation to Capacity Building plan CAN analysis Set objectives and goals Appropriateness of the training Relevance of the course content to the target group Suitability of the resource persons, training materials, methods etc	TPC with support from the DRPs Human Resource Management Divisions	Evaluation of the training proposals Pre training questionnaire
Reaction Level (At the end of the training)	<ul style="list-style-type: none"> ▪ Effectiveness of the delivery ▪ Appropriateness of the material ▪ Attitudes of the trainees about the trainers ▪ Effectiveness of methodology ▪ Usefulness of the subject matter etc. 	<ul style="list-style-type: none"> ▪ Training Provider ▪ The organizer ▪ Participants 	<ul style="list-style-type: none"> ▪ Training evaluation Report ▪ Question and answer sessions ▪ End of training test
The Job behaviour	<ul style="list-style-type: none"> ▪ Outputs ▪ Acquisitions skills and knowledge ▪ Ability to translate skills into outputs ▪ Performance of the individual employee on the job. 	<ul style="list-style-type: none"> ▪ Supervisor of the trainee ▪ TPC ▪ Individual trainees (self assessment) 	Performance Appraisal Reviews
Organisational/	<ul style="list-style-type: none"> ▪ Review of the interventions at the 	<ul style="list-style-type: none"> ▪ TPC 	<ul style="list-style-type: none"> ▪ Local

functional Level	organizational level <ul style="list-style-type: none"> ▪ Outcomes ▪ General performance of the organization ▪ Behavior of work trainee contribution to the overall Local Government's performance 	<ul style="list-style-type: none"> ▪ LGs Council 	Governments annual performance assessment <ul style="list-style-type: none"> ▪ Routine inspection
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8.5.2 Monitoring and Evaluation at the National Level

Training and Capacity Building in Local Government should over time lead to improved Local Governments' performance and enhanced delivery of services to the population. In the spirit of decentralization, Central Government has got a role to monitor and guide overall performance in Local Governments.

The performance of the Local Governments in capacity building shall be determined using the following key indicators:

- a) Publicity of the capacity building indicated planning figures.
- b) Key output (reports)
- c) Timely submission of capacity building grants accountability.
- d) Inclusiveness of other stakeholders as beneficiaries of the capacity building grant.
- e) Timely utilization of the capacity building grant.
- f) Improved service delivery to the population.

The above indicators shall be established through routine and impromptu monitoring and evaluation visits, accountability statement, quarterly and biannual reports/ reviews and mid-term (annual) monitoring and evaluation reviews/evaluations.

In the events that a Local Government fails to perform in the monitoring and evaluation indicators or fails to comply with the guidelines stipulated in the national framework, the Ministry of Local Government will take appropriate action or withhold subsequent releases of the grant to the Local Government.

ANNEXES

Annex 1: Key Words / Glossary LG Capacity Building

Word/ Glossary	Meaning
Capacity	"The ability of individuals, institutions and societies to perform functions, solve problems, and set and achieve objectives in a sustainable manner."
Capacity Building	Process of increasing the ability of a person, organization, institution etc, to carry out its tasks and responsibilities.
Capacity building Grant	Grant given to district and municipalities to purchase training courses within a specific training menu
Counter Parting	Working loosely/ together with consults to understand and learn from their work.
Facilitator	Person who carries through a specific (training) event by guiding, questioning and processing
Human Resource Development	Formal training, on the job training, job rotation, group work, promotion etc of staff to improve their abilities to carry out their task and improve their skills
Human Resource Management	Conduct the use of the human resources with the purpose to maximize the use and development of their skill and their job satisfaction.
Job competencies	The skills, knowledge and attitudes required to effectively execute a specific job
Local Government Resource Pool	A team of local government staff/expertise trained as a trainers to deliver capacity building activities especially in Lower Local Government.
Local Government Sector	Sector of the government at local level – district, municipality, town, sub-district managed by local electorates
Mentoring	A staff development-approach whereby trained individuals (mentors) are used o provide guidance and advice to develop competencies of individuals (mentee) assigned to the. The mentor must not be a supervisor of the mentee and must exercise a high degree of confidentiality and trust
Non-conventional training methods	Work based activities often one to one between the staff member and their supervisors (or some other experienced officer in small groups.) These may include understudies, attachments etc
Political leaders	Elected Public Officials that are political appointees. These include the councilors as well as members of boards and commissions
Public Officials	Political leaders and other officials appointed or elected in the Public

	Service
Stakeholders	Those who have an interest in the development of a particular item, i.e. government, ministries, Local Government, donors, training providers, Local Government staff, organizers, consultants etc. when the item is Local Governments capacity building.
Training	Systematic process of acquiring skills, knowledge and attitudes.

Annex 2: List of available Generic Training modules

Course No. Course Title

1. Management and leadership Skills in Local Governments.
2. Human Resource Management in Local Governments.
3. Local Government roles and responsibilities.
4. Civil Society Organization and Public-Private Sector Partnership.
5. Development Planning for Higher Local Government and Lower Local Governments.
6. Investments Appraisals/ Project Appraisals.
7. Procurement and Contract Management.
8. Supervision of Project Implementation.
9. Project Monitoring and Implementation.
10. Financial Management for Non-Finance Managers.
11. Financial Management: Budgeting and Accounting.
12. Financial Management: Internal Audit and Control.
13. Revenue Mobilization in Local Governments.
14. Monitoring Revenue Collection
15. Decentralization- Local Government Act and System.
16. Community Participation and Mobilization.
17. Legislation in Local Councils.
18. Computers Skills (ICT)
19. DATA Collection, Records and Data Management.
20. Training of Trainers.
21. Gender Awareness Training.
22. Gender Training (for Gender Focal Point Persons and Community Service Departments)
23. Urban Management and Planning.
24. Ethics and integrity.
25. Organizational Assessment and Institutional Development.
26. Environmental Management in Local Governments.
27. Human Resource Development.
28. HIV/AIDS Mainstreaming and Management.

Annex 3: Procurement Procedure

PROCEDURE FOR PROCURING CAPACITY BUILDING PROVIDERS IN LOCAL GOVERNMENT

The process of procurement for capacity building activities to be supported by external CB-providers/trainers will involve the following steps:

- a) Human Resource Management Division basing on the Capacity Building plan and in consultation with Heads of Departments will identify the training requirements.
- b) The Capacity Building requirements are sent to the Technical Planning Committee for approval.
- c) The Human Resource Management Division prepares terms of reference for the providers.
- d) The Capacity Building requirements are submitted to LG Procurement Organ to source for potential training providers.
- e) The Technical Evaluation Committee is constituted by the CAO or TC to evaluate the bids.
- f) The report of the Technical Evaluation Committee is submitted to LG Procurement Organ for consideration and award of tender to the most suitable bidder (training provider)
- g) The chief Executive shall enter into contract with the training provider.
- h) The Human Resource Management Division shall oversee/monitor the delivery of the training and capacity building by the contracted training provider.

Annex 4: To carry out a Capacity Needs Assessment

Below are the steps to follow carrying out capacity building needs assessments:-

A: ASSESSMENT OF INSTITUTIONAL NEEDS

- a) Carry out Organisational Self Assessment exercise involving all key stakeholders of the LG including SWOT analysis)
- b) b) Review of reports (e.g. Local Governments assessments reports, District Public Accounts Committee reports, monitoring and evaluation reports)
- c) Assess capacity of the LG to implement Central Government driven changes and programs.

B: INDIVIDUAL NEEDS

- a) Review of staff Performance Appraisal Reports with the view of identifying capacity gaps. The Heads of Departments should review the annual reports and compile departmental wide capacity needs as well as needs of individual staff in his/her department and submit to the PPO

- b) Interview guides and questionnaires should be used for identifying needs of others stakeholders who do not complete performance appraisal forms. Compile Capacity Needs Assessment Report.

Annex 5: Principles of Capacity Building Needs Assessment

Notwithstanding the room for process flexibility, capacity needs assessment in all local government should adhere to the mutually reinforcing principles detailed below.

- a) Participatory and process learning: The Capacity Building assessment process in Local Governments should be participatory involving all stakeholders in the Local Governments sector. These include, among others, elected leaders at all levels, technical staff, members of statutory boards and commissions, Non Governmental Organisation, Civil Society Organisations, the private sector, and other community structures (like School Management Committees, Health Management Committees, Environment Committees and Water user Committees)
- b) Local Government Specific: The Capacity Building needs assessment to be conducted at the District and Municipality level should capture the Local Governments specific needs. Training and Capacity Building should be based on identified needs of both the individuals and Local Governments. The emphasis should be on a demand-driven approach, but individuals, but individuals and Local Governments may be supported and guided (through activities like the routine inspection of Local Governments by Ministry of Local Governments) to identify the capacity gaps that are affecting their performance (synergistic balance between demand – and supply – driven)
- c) Balance between individuals and organization performance improvements interest: Capacity Building needs assessments should give precedence to the constraints that affect overall Local Governments performance rather than individual skills and/ or career development interests. Where individuals are targeted, there should be a clear linkage to both performance improvement of the individual on the job ad impact to overall improvement of Local Governments service delivery obligations.
- d) Linkage between Capacity Building Needs Assessment and Participatory Development Planning:
The Capacity Building needs assessment process and output should not be parallel but complementary and mutually reinforcing with the development planning process
- e) Continuous Capacity Building needs assessment: The Capacity Building needs assessment should not be a one-off activity but continuous to feed into both the three-year rolling Capacity Building plan and development plan.

- f) Capacity Building needs assessment: The capacity needs assessment should be all embracing. It should involve the needs of all sectors (but focus on sector relevant issues not sector specific issues).
- g) Self-assessment: It is important to focus on self-assessment as one means in indentifying the Capacity Building needs. This self-assessment can take place both at institutional and individual and individual level.

Annex 6: Principles of Capacity Building Planning

To improve Capacity Building Planning in Local Governments, each District and Municipality should adhere to the principles discussed below in regard to the Capacity Building Plan.

a. Linkage between Capacity Needs Assessments and Capacity Building Plan:

The content (goal, objectives and activities) of the Capacity Building plan should be derived from the Capacity Building Needs Assessment – trying to address the gaps identified during the Capacity Building Needs Assessment exercise.

- b. **Balance between visionary and constraint based planning:** The Capacity Building plan should be based on a three- year plan broken down into a one-year planning horizon. However, the prioritization of the activities to be implanted in one year should put into consideration the availability of resources (balance budget). There should be realistic timing and costing of Capacity Building activities for year 1 of the Capacity Building plan and tentative budgeting for the following two years.
- c. **Balance between ‘demand driven’ and ‘supply driven’ Capacity Building activities:** The activities to be included in the Capacity Building plan should be largely demand –driven based on the capacity gaps identified in the Local Government. However, in case of major policy shifts, issuing of new guidelines or failure of the Local Governments to perform some mandatory functions, the centre shall provide supply- driven training activities to Local Governments.
- d. **Mix of capacity building strategies:** During capacity building planning, emphasis should not only be put on formal and career development courses but should also include other performance improvement strategies. These could include short-term performance improvement courses, understudies, job rotation, hands-on support, etc. in addition the Capacity Building plan should also include other factors (not necessarily lack of skills, knowledge and attitudes) that affects Local Governments institutional performance (for instance institutional and organizational factors).
- e. **Harmonizing with National Policies:** Whereas the Capacity Building plans have to be Local Governments specific tailored to address the needs identified during the capacity Building Needs Assessments, the activities prioritized should be in harmony with the national priorities and in line with Ministry of Local Government’s guidelines to Local Governments.
- f. **Inclusion:** Inclusion into capacity building initiatives and activities of other stakeholders.

- g. **Balanced and good mix:** Balanced and have a good mix of individual needs for career development and the capacity needs of the organization; and where the two conflict, the needs of the organization shall take precedence.

ANNEX 7: Capacity Building Plan Format

Preliminaries

- Chapter 1: Background/Introduction to the Local Government
Chapter 2: situational Analysis
Chapter 3: Capacity Needs Assessment
Chapter 4: Process of Developing the Capacity Building Plans
Chapter 5: Human Resource Development Plan and Budget.
Chapter 6: Institutional Performance Enhancement Pan and Budget

Annexes:

- Appendix 1: Capacity Building Activity Profiles
Appendix 2: Capacity Needs Assessment Instruments.
Appendix 3: Other Reports and/or Information related to the Capacity Building Plan.