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RAPID
Governance
Assessment
Tool

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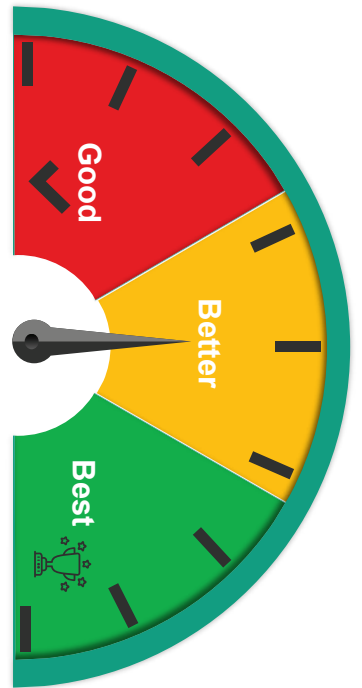
Partnership to Engage, Reform and Learn
· PERL ·

This Rapid Governance Assessment Tool contains multiple indicators and criteria, used in Governance Assessment, for measuring government accountability, responsiveness and capability. It is designed to measure the extent to which governments have made progress in improving core governance. The Governance Assessment is a self-assessment process undertaken by governments, it contains 26 performance indicators, which were selected from the simplified PFM-RAA performance indicators, the Open Budget Index (OBI) and Open Government assessments indicators. The 26 indicators are spread across the three thematic areas of accountability, responsiveness and capability incorporating indicators around citizens engagement with government policy, planning and budgeting process.

Contents

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Public Financial Management Assessment

Assessment Area	Assessment Questions	Summary of Findings	Justification/ Comments
Policy and Planning process	• What are the overarching policy and planning documents that the state is implementing? • Are there sector plans or strategies?		
Budget Planning	• Does the state have a budget calendar? • Are there are any budget planning documents or tools in the state e.g. Economic and Fiscal Update (EFU), Fiscal Strategy Paper (FSP) and Budget Policy Statement (BPS) or a fiscal framework in use in the state?		
Budget Preparation	• Does the state issue a budget call circular? • Who issues the budget call circular? • When does the budget call circular normally go out? • Does the budget call circular contain ceilings to sectors and MDAs? • How long does it take the MDAs to submit their estimates? • Do civil society organisations participate in the budget preparation? • How are bilateral discussion conducted, and which MDA leads?		
Budget Approval	• How long does it take for the ExCo to approve the proposed budget? • When does the Governor present the annual budget to the State House of Assembly (SHoA)? • How long and when does the SHoA normally pass the appropriation law? • And how long and when does the Governor normally assent to the budget?		
Budget Implementation and Monitoring	• How is budget implementation initiated – are there MDA procurement plans, are there budget profiles, are there cash plans, are there MDA work plans? • Does regular budget implementation (performance) reporting (monthly, quarterly or semi-annually) take place in the state? • Do civil society organisations and the organised private sector participate in budget implementation monitoring? • Are there capital budget monitoring and evaluation reports, including physical inspection of projects and value for money assessments? • Who undertakes the monitoring of projects?		
Accounting, recording and financial reporting	• Has the state adopted the National Chart of Accounts (NCOA) and International Public Sector Accounting Standards (IPSAS) reporting requirements as directed by the FAAC sub-committee on IPSAS? • Have the state budget and accounts been prepared and presented in the NCOA/ IPSAS template? • When are the state final accounts and financial statements (Accountant General's Report) normally released? • Which is the latest year that the state financial report was issued?		

External Scrutiny	• When does the Auditor General produce his report? • Which is the latest year that the Auditor General's report was issued? • Does the SHoA make comments and take actions on the Auditor General's report? • Has any person been indicted by the Auditor General's report? • Has any person been penalised by the SHoA as a result of the Auditor General's report? • Has the government implemented such penalties?		
Internally Generated Revenue and Revenue Administration	• Is the Board of Internal Revenue constituted and in place? • How is the Board structured? • Does the state use revenue consultants? • Have there been any IGR reforms in the state – technology, manpower, taxpayer enlightenment, collection procedures, and enforcement? • Has there been any improvement in revenue generation and collection since the introduction of the reforms? From what level to what level, or by what percentage over the last year?		
PFM Assessment and Diagnostics	Has the state carried out a Public Expenditure and Financial Accountability (PEFA) assessment or Public Expenditure Reviews?		
PFM Institutions	• Does the state have a Fiscal Responsibility Law and an Institution responsible for overseeing implementation? • Does the state have a Public Procurement Law and an Institution responsible for overseeing implementation? • Does the state have a Debt Management Department?		

Policy & Strategy Assessment

Assessment Area	Assessment Questions	Summary of Findings	Justification/ Comments
Provision by Politicians of Policy Guidelines and Realistic Budget Envelopes	• Are general policy guidelines and realistic envelopes produced, and revised annually? • Are they specific enough and released in a timely manner by politicians to provide a basis for strategy development by MDAs? • Is there evidence that the policy guidelines and budget envelopes are based upon macro-economic projections and performance reviews?		
Sector Policies are Financially Feasible	• For sector defined policy outcomes, have a set of strategies been developed? • Have these been factored into both capital and recurrent resource requirements that are costed over a minimum of three year projections? • Are the strategies and policies revised so as to bring projected costs to fit within the projected budget envelopes?		
Outcome Basis of Sector Policy Statements & Availability of Central Planning Support for MDA Strategy Development	• Are all capital projects justified against their contribution to a strategy aimed at achieving this (these) outcome target? • Have sector outcome targets used by the relevant MDA(s) been agreed (via the State Planning Agency) by the Executive Council? • Does the central planning ministry provide quality and timely support to MDAs in developing their sector strategies?		
National or International Legislative and Regulatory Policies or Guidelines are Considered in Sector Strategies	• Are legislative and regulatory reforms being taken into consideration when making strategies? • Are State policy and strategy well integrated into or aligned with policy guidelines provided at the national and/or international level? • What advice is sought and used by state MDAs of federal or international agencies?		
Research and Baseline Information Used in Policy Definition	• Are baseline or research information available to MDAs for developing their strategies is of standard quality? • Are Baseline information and/or research results used to develop sector strategies?		
Strategies Take Account of the Potential Actions of Other Key Actors	• Are sector strategies adequately coordinated with other key actors and levels of government?		

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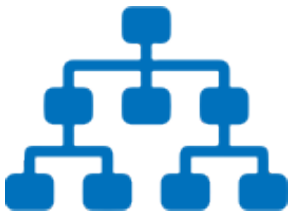|				
	Sector Strategies are Consistent with the Human and Organisational capacity to Implement Them	• Has the human and organisational capacity of each MDA sector been assessed for its adequacy to deliver the proposed strategies, projects and programmes; and it has been found to be adequate?		
	The Views and Opinions of the Customers Using Sector Services Have Been Sought and Integrated into Policies and Strategies	• In carrying out stakeholder consultation, have appropriate tools and techniques been used in an effort to ensure that the voices of underprivileged or disadvantaged groups were heard? • As a result of the consultations made, is there evidence that MDA strategies have been modified in order to have a positive impact upon underprivileged or disadvantaged groups?		
	The Government has Signed up to a Public Commitment to Deliver Policy Results that have been shown to be Feasible	• Have strategies have been rigorously developed to ensure that quality publicity has been given to policies? • Have agreements or contracts been signed between the government and an independent accreditation organisation, such as SERVICOM3, which expresses a commitment of the service to be delivered, and which provides an independent and publishable assessment of whether or not the agreement has been met?		

Performance Framework for Information Management / M&E

	Effectiveness of Management Information Systems, Statistics and Data	• Do data collection and analysis processes allow comprehensive measurement of performance indicators? • Are statistics and M&E data effectively used to support planning, monitoring and management by the information users in the MDA and other agencies? • Does the data have appropriate level of detail and is it sufficiently disaggregated? • Is the data of good quality, reliable and produced on a timely basis?		
	Performance Management Processes in Support of Policy, Strategy and Program Adjustment	• Are policies and strategies or programs adjusted in response to review findings? • Do senior MDA decisions makers review recommendations and agree changes to MDA strategy, programs or performance management frameworks? • Are agreed recommendations acted upon and guide program implementation?		

Public Service Management Assessment

Assessment Area	Assessment Questions	Summary of Findings	Justification/ Comments
Organisation Of The Public Service			
Mandates and responsibilities	• Is there an efficient system in operation to ensure that all mandates are: a) centrally stored? b) regularly reviewed? c) regularly published in various media, and d) legitimised through updated legislation when necessary?		
Overall structure of the State Public Service	• Is the structure defined comprehensively (horizontally and vertically), and includes all elements of state government? • Is the structure appropriate for the achievement of objectives and delivery of services? • Does the structure distinguish policy formulation and regulation from implementation responsibilities? • Is the structure aligned to service delivery requirements? And is service delivery delegated to the lowest appropriate level? • Is the structure proportionate to the legitimate published activities of government? • Is the structure clearly documented and are documents current? • Are structure documents published and accessible to all stakeholders? • Does an effective procedure exist and used to carry out periodic functional reviews to update the structure to reflect government's needs?		
Operation and Management of the Public Service			
Overall laws and policies which regulate service delivery	• Are laws and regulations comprehensible? Current? • Are laws and regulations published and accessible? • Do overall policies exist to guide service delivery (State/MDA)? • Do policies reflect good practice (State/ MDA)? • Is understandable guidance on laws and policies provided to all public servants? • Are circulars current, regularly updated and provided to all public servants?		
Structure and Functions of the MDAs	• Are functions and structures of MDAs aligned to core mandates, strategies and plans for optimum service delivery?		
Public Service Performance Management – participation, transparency and accountability	• Do procedures exist and are they used for public performance management information and accessible to the public? • Do monitoring and reporting arrangements exist and are they used to ensure that the public has information with which to evaluate public service performance? • Are Service Charters and/or Service Level Agreements used to specify service standards that MDAs will provide to the public or other MDAs respectively?		

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Information and Administrative functions operate effectively to support the conduct of State government businesses	- Are registry and document management responsibilities and procedures appropriate, reflect good practice, and operated as intended? - Do suitable policies and procedures govern information security and dissemination and are operated as intended? - Are records maintained in accordance with state government policy? - Are key government documents (policies, laws, regulations, etc.) collated and made accessible to public servants and the public? - Is Information and communications technology used effectively in support of administrative systems? - Does a professional central ICT management function manage and maintain ICT facilities, and monitors compliance with policies and rules? - Are ICT policies and rules current, and do they reflect modern best practice? - Are staff able to use ICT effectively and in accordance with policies and rules?		
Human Resources Management – Policies And Organisation			
HRM policies governing terms and conditions of service and the contract of employment between the public servant and the State.	- Are HRM policies, guidelines and rules published and accessible? - Are policies comprehensive and cover employment, HRM, Pay & Allowances Pensions, Manpower development and Welfare? - Are policies current, published and accessible? - Do policies reflect modern and generally accepted best practice?		
Laws and Rules for State Public Servants	- Are laws and regulations comprehensive (for example, governing public service employment, rights and obligations, fiscal matters, etc.)? - Do laws and regulations make individual and collective rights and obligations of public servants clear? - Are the laws and regulations current? and published and accessible? - Are laws and regulations complied with? - Are the Operational rules and guidelines provided to all public servants? - Do the Rules include a code of conduct or ethics? - Is an induction provided for all public servants to familiarise them with rules and guidelines?		
Records and Statistics for Management of Public Servants	- Are individual personnel records comprehensive and up-to-date? - Do review and revision mechanisms exist to ensure the currency and accuracy of individual personnel records? - Are Individual personnel records maintained securely and access is restricted to authorised personnel? - Do public servants have regular controlled opportunities to review information held on their personnel records and request evidence-based corrections to factual error?		

	• Are personnel records linked to and reconciled with payroll records? • Is statistical information about the composition of the workforce regularly generated and used to facilitate planning?		
Human Resource Management – Establishment And Workforce Planning And Management			
Establishment Planning	• Are there clear responsibilities allocated for overall establishment planning? • Do staff numbers and grades relate to functions and work volumes? • Do Organograms relate to legitimate functions and processes of government, derived from policies, and strategic and operational plans? • Are Organograms published and accessible to public servants and the public? • Do procedures exist and are they used to regularly review organograms, posts, staff numbers and grades to ensure that they continue to be relevant to functional requirements?		
Workforce Planning and Design	• Are workforce plans formulated in light of workforce statistics? • Do workforce plans take account of workforce skills and age profiles, and succession planning requirements? • Are workforce plans designed to achieve representation and diversity policy targets? • Are workforce plans realistic, taking account of current labour market conditions? • Are workforce plans published and accessible to public servants? • Are workforce plans regularly updated?		
Recruitment, Posting and Promotion	• Do the HoS and CSC fulfil their assigned roles and responsibilities without hindrance and interference? • Are all recruitment, posting and promotion decisions merit-based? • Are principles, procedures and merit criteria for recruitment, posting and promotion published and accessible to all public servants in a career progression policy? • Do public servants understand the procedure which is used for posting/ promotion decisions? • Are decisions published? • Does each public servant receive a contract of employment on appointment which sets out the rights and obligations of both parties? • Is the contract of employment signed by both parties? • Is the contract of employment written in an accessible language? • Is an appeals procedure in place enabling public servants to request a review of recruitment posting, or promotion decisions and is it operational? • Is the appeals procedure published and accessible to all public servants? • Is career guidance and planning advice available to all public servants?		

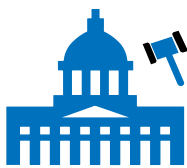| Human Resources Management – Performance Management And Workforce			
Employee Performance Management	• Is there an objectives-based performance management system for employees which involves at least an annual assessment? • Is the performance assessment linked to agreed and documented targets or service standards? • Are managers trained and obliged to operate this performance assessment system? • Are the results of performance assessments available to respective employees and properly filed? • Are there rewards (not necessarily money) for good performance and are they being implemented? • Is there a disciplinary system in place to manage poor performers and is it being implemented? • Is the operation of the performance assessment system monitored by the central human resources management function, and remedial action taken when necessary?		
Workforce Development Policies to Ensure Public Servants Have Necessary Skills to Carry Out their Duties	• Does a current Workforce Development Policy exist? • Does the policy set out Government's objectives for skills and capacity development? • Does the policy set out priority training areas? • Does the policy set out criteria and targets for allocating budgets for training and development? • Does the policy reflect current best practice for employee development? • Is the policy published and accessible to all public servants?		
Workforce Development Management Systems	• Is there a central properly resourced, professional HR development function? • Are there sufficient numbers of appropriately qualified, dedicated training and development managers? • Do public servants know who is responsible for overseeing the training and development functions and how to contact them? • Are there properly resourced training facilities? • Do procedures exist and are they used to evaluate skills gaps derived from workforce statistics and workforce planning activities? • Do procedures exist for identifying training needs and selecting public servants to participate? Are they published and understood? • Are training needs analysis carried out regularly? • Is there an annual training programme and budget based on needs that reflect the government's policy? • Are training programmes affordable and implemented as planned? • Are individual training plans used to identify requirements and improve skills and knowledge of individual public servants?		

	• Are line managers required to identify training needs and request for training to improve job performance? • Is training quality reviewed and impact of training evaluated? And are training plans amended accordingly?		
Human Resources Management – Employer And Employee Responsibilities And Relations			
A Code of Conduct Governs Public Servants' Behaviour	• Is there a code of conduct, code of ethics, public servant handbook, or other published document that sets out the behaviour standards expected of public servants? • Is the document published and accessible to all public servants? • Is the document regularly updated and updates provided to all public servants in an accessible form? • Does the document set out disciplinary procedures and penalties to be applied where a public servant is proven to be in breach of the code? • Are there clear responsibilities allocated for ensuring the code is applied and that transgressions are addressed? • Are transgressions acted upon promptly and appropriately?		
Grievance Procedure to Provide a Channel to Express complaints and Welfare Services are available to support Public Servants	• Are welfare policies and procedures published and accessible to all public servants? • Do public servants know what support is available and who to contact?		
Pay And Pensions			
Pay and allowances	• Are salary structure(s) rational and transparent? • Do pay policies reflect prevailing labour market and broader economic conditions? • Is the proportion of total state budget allocated to emoluments appropriate and affordable? • Is the pay policy current, regularly reviewed and updated? • Are political appointees, elected representatives, etc. in pay policy? • Are pay policy, pay scales, allowances and criteria for determining pay published and accessible to public servants and the public? • Are most allowances monetised and therefore taxable in line with the Federal system? • Is pay correctly calculated? • Are employees paid on time and in full both in terms of salary and allowances? • Is pay reviewed in line with inflation? • Are the means of payment secure, minimise transaction costs, and are user-friendly for public servants?		

	Payroll	• Are the nominal roll and payroll linked so that entitlement to pay can be verified? • Is the payroll clean, and is it regularly reviewed to ensure that all pay entitlements are correct.? • Is the payroll secure, and can be accessed and altered only by properly authorised persons in accordance with security procedures? • Are political appointees and representatives are on the payroll?		
	Pensions	• Are there clear pension policies? • Do pensions reflect realistic economic expectations? • Is there a fully funded contributory pension scheme in place?		
	Labour Relations			
	Labour Organisations and Unions are actively engaged	• Are labour organisations and unions recognised as having a role to play in public service affairs? • Are union officials granted leave of absence during their tenure? • Are labour unions involved in policy formulation to forestall conflict in public service management? In grievance procedures? • Are regular government/union discussions and exchanges held to share information and opinion?		

Citizen Engagement Assessment

Assessment Area	Assessment Questions	Summary of Findings	Justification/ Comments
Organisation of the Public Service			
Extent to which State Government represents all citizens (budget processes)	• How active and successful is the State Government in ensuring that all citizens are represented in MDA budget processes?		
Extent to which State Government represents all citizens (other processes)	• How active and successful is the State Government in ensuring that all citizens are represented in other MDA processes (e.g. policy formation)?		
Extent to which State Government represents the needs of the women	• How active and successful is Local Government in ensuring that all citizens are represented in government processes?		
Autonomy of CS from the State Government	• To what extent does civil society exist and function independently of the State Government, and without excessive government interference?		
Quality of dialogue between the State Government and CS	• To what extent does the state dialogue with civil society? How inclusive and institutionalized are the terms and rules of engagement, if they exist?		
Legal rights of citizens to government information	• In law, to what extent do citizens have the right of access to government information and basic government public documents (e.g. budget records, policy documents)?		
Access to information on the State budget	• In practice, is information on the State budget document available to civil society and citizens?		
MDA budget processes	• To what extent do MDAs undertake budget preparations in an effective manner, and in a way that incorporates civil society concerns?		
Scrutiny of the State budget process (by SHoA)	• To what extent is the State budgetary process scrutinised by the SHoA, and in a way that also incorporates civil society concerns?		
Transparency of procurement and contracts	• To what extent is procurement & contracts for goods & services transparent (and in line with due process and people made aware of tendering and award of contracts)?		

Quality of Governance in State House of Assembly			
Autonomy of SHoA from the Executive	• To what extent does the SHoA exist and function independently as an institution of the State Government, and without excessive interference?		
SHoA scrutiny of the annual budget presentation	• To what extent does the SHoA scrutinise the annual budget proposals against the policies, laws and constituency priorities?		
Oversight by SHoA of budget implementation	• To what extent does the SHoA track and monitor budget implementation, and use this information to inform future budget approvals?		
Functioning of SHoA committee on budget scrutiny	• To what extent does the SHoA Committee(s) on budget preparation and implementation, effectively function? (e.g. Public Accounts, Appropriation & Finance Committees)		
Public scrutiny of the budget	• Do the SHoA committees hold public hearings on the budget and how effective are these?		
Effective SHoA relations with State-level CS	• To what extent does the SHoA (as an institution / body) engage with civil society?		
Relations between members of the SHoA and State-level CS	• To what extent do individual members of the SHoA engage with civil society?		
Quality of Governance in Civil Society			
Extent to which CS represents the needs of the marginalised	• (A) What are the main marginalised groups in this State? • (B) How active & successful is civil society in representing these marginalized groups?		
Extent to which CS represents the needs of women	• How active and successful is civil society in empowering women, i.e. to provide an enabling environment for them to better control their lives?		
Informing and educating citizens on government performance	• How active and successful is civil society in informing and educating citizens on government priorities and performance?		
Media (public / private) portrayal of State Government performance	• To what extent are the public given the opportunity to discuss the State Government's performance (TV, radio, print media / press, meetings)?		

Policy monitoring and budget tracking	• To what extent does budget monitoring and tracking by civil society hold the State Government to account?		
Effectiveness of CS at lobbying the State Government	• How active and successful is civil society in lobbying MDAs to meet pressing societal needs?		
Quality of Governance in Media			
Autonomy of Media from the government	• Is Government not using its powers over the placement of advertisements or other powers as a means to interfere with the editorial content?		
Quality of balanced reporting by State / public & private Media	• The state / public broadcaster / other Media are active and successful in offering balanced and fair information in news and current affairs, reflecting the full spectrum of diverse views and opinions?		

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