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# FINAL DEPLOYMENT AND ROLL OUT OF CTS SYSTEM OVER 360-DAY PERIOD

USAID/GHANA JUSTICE SECTOR REFORM CASE TRACKING SYSTEM ACTIVITY

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**Contract No.** AID-OOA-I-13-00032, **Task Order No.** 72064118F00001

**Cover photo:** ACP Peter Ayirenzang, Yendi Divisional Commander undergoing CTS training at Yendi Divisional Headquarters. Photo Credit: USAID/CTS

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## ACRONYMS

ADKAR	Awareness, Desire, Knowledge, Ability and Reinforcement change management model
BSC	Balanced Score Card
CIS	Communications and information sharing
CMS	Case management system
CTS	Case Tracking System
DPP	Director of Public Prosecution
EOCO	Economic and Organized Crime Office
GoG	Government of Ghana
GPoS	Ghana Police Service
GPrS	Ghana Prison Service
ICMP	Inter-Institutional Change Management Plan
ICT	Information and Communications Technology
ICT FP	Information and Communications Technology Focal Point
J4A	Justice for All
JSG	Judicial Service of Ghana
JSS	USAID/Justice Sector Support Activity
JUPOL	Judicial Police
KSA	Key Stakeholder Agency
LAC	Legal Aid Commission
MOJ/AGD	Ministry of Justice/Attorney General's Department
NIICMS	National Inter-Institutional Change Management Committee
NIICISC	National Inter-Institutional Communications and Information/Sharing Committee
RISGs	Regional Inter-Institutional Support Groups
SIGI	Security Governance Initiative
SPA	Substantive Pilot Application
TIP	Trafficking in Persons
ToT	Training of Trainers
USAID	United States Agency for International Development



## PROGRAM DESCRIPTION

The USAID/Ghana Justice Sector Reform Case Tracking System (CTS) Activity seeks to develop an integrated CTS to support the Government of Ghana's (GoG's) ability to effectively investigate and prosecute criminal acts. The CTS Activity will improve Ghana's ability to track criminal cases from their introduction into the system to their prosecution, trial, and sentencing in the courts, and execution of the sentence in prison, improving information sharing and coordination among Ghana's law enforcement and judicial authorities and increasing the efficiency and effectiveness in investigating and prosecuting criminal cases of all types, especially those related to corruption, border security, maritime security, and cybercrime – the focus areas of the Security Governance Initiative (SGI). The project has three objectives:

- Develop a comprehensive design and sustainable roll-out process for an integrated CTS for the Ghana criminal justice sector;
- Implement a testing phase and identify the requirements for the sustainable use and expansion of the integrated CTS; and
- Improve procedures and policies to strengthen change management, coordination, and communication across key justice-sector institutions that sustain the use of an integrated CTS.

The CTS Activity is implemented by Chemonics International, in conjunction with sub-contractors Inter-regional Bridge Group (IBG) and Transnational Development Associates, Inc. (TDA).

## EXECUTIVE SUMMARY

CLIN0002c, *Final Deployment and roll out of the CTS system over 360-day period* is the final Ghana CTS Activity contractual deliverable under *Objective 2: Implement a testing phase and identify the requirements for the sustainable use and expansion of this system, in accordance with Section C.3 of the PWS*. This report was compiled following an almost two-year testing/piloting and roll out of the CTS the six GoG key stakeholder agencies (KSAs) identified in our successful proposal: (1) Judicial Service, (2) Ghana Police Service (GPOS), (3) Ghana Prisons Service, (4) Director of Public Prosecution (DPP) at the Ministry of Justice and Attorney General's Department, (5) Legal Aid Scheme (LAS), and (6) Economic and Organised Crime Office (EOCO), as well as consultations with USAID, US Embassy and SGI officials, and other development stakeholders.

This report is structured as:

*Section 1 – Overview of the final deployment and roll out of the CTS*

*Section 2 – Details of successes and challenges and how they were mitigated during the life of the project;*

*Section 3 – Accounting of number of cases entered into the CTS;*

*Section 4 – Results of end-user and other relevant GoG stakeholder surveys;*

*Section 5 – Structures for sustaining CTS in Ghana;*

*Section 6 – Next steps; and*

*Annex 1 – Total introduced and trained on CTS*

*Annex 2 – Go-live locations*

*Annex 3 – Number of cases created per site*

*Annex 4 – New Balanced Score Card*

*Annex 5 – Consolidated BSC*

## OVERVIEW OF THE FINAL DEPLOYMENT AND ROLLOUT OF CTS

From January 2018 to January 2021, the Ghana Case Tracking System Activity – known as the CTS Activity – worked to:

1. Develop a comprehensive design and sustainable roll out process for an integrated CTS for the Ghana criminal justice sector;
2. Implement a testing phase and identify the requirements for the sustainable use and expansion of the system; and
3. Improve procedures and policies to strengthen change management, coordination and communication across key justice-sector institutions that sustain the use of an integrated case tracking system.

Through an iterative, collaborative process with the GoG and project KSAs, the CTS Activity developed Ghana's first inter-agency criminal CTS that was successfully rolled out to 757 KSA locations across seven target regions of Ghana - Volta, Northern, Greater Accra/Tema, Ashanti, Bono, Upper East and Western Regions.

This report is a reflection of activities spanning the period from the commencement of testing/piloting activities in Volta on March 13, 2019 to the completion of roll out at the final CTS location at the Central Prisons Court in Tamale on November 16, 2020.

Through this phase, the CTS Activity has introduced the CTS to 7,471 functional users. Of this, 6,262 target functional users have received additional training engagements on the actual use of the system, in line with their roles within their KSAs, to allow them to use the CTS as required by their job functions. The GPoS is the KSA with the largest number of functional end-users by far, constituting 89% of the KSA staff trained across the seven regions. The Table I below provides a breakdown of the number of functional users per region introduced and trained, with details of each user presented in Annex I.

**TABLE I: NUMBER OF FUNCTIONAL USERS INTRODUCED AND TRAINED ACROSS THE SEVEN ROLL-OUT REGIONS.**

<b>REGION</b>	<b># OF PEOPLE INTRODUCED TO THE SYSTEM</b>	<b># OF PEOPLE TRAINED</b>
Volta	801	801
Northern	351	351
Greater Accra	2,868	2,545
Ashanti	2,029	1,739
Upper East	292	155
Bono	349	235
Western	781	436
<b>Total</b>	<b>7,471</b>	<b>6,262</b>

For the effective implementation of the CTS, there was a critical need to provide equipment to access the system – laptops, tablets, and network connectivity devices. The project was mandated to provide 50% of the total equipment needs in the roll out regions, with the remaining 50% to be leveraged from existing equipment within the KSAs, and from the GoG, international donor community, and private sector. To this end, the CTS Activity procured and distributed 863 laptop computers and 860 tablets across the 757 KSA locations. Two servers were also procured for the Bureau of National Security (BNC), to facilitate the hosting of the CTS Server and storing the data for the system. Following significant engagement from the CTS Activity Implementation Team, BNC also provided 754 network connectivity devices directly to the KSAs.

During the roll out phase, CTS locations progressed through the following two phases

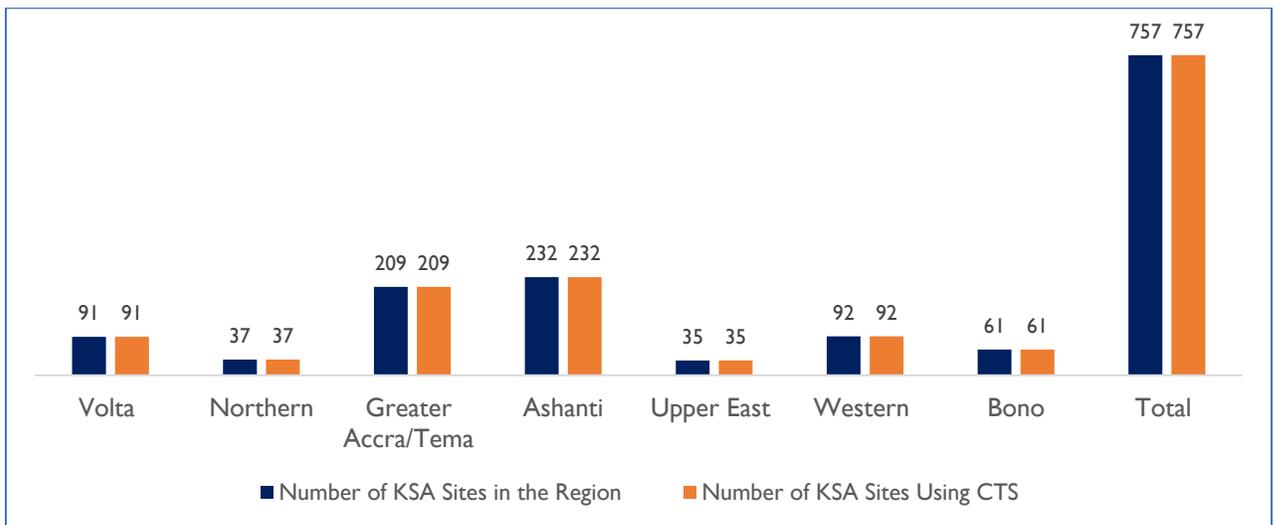
- **Go-Live Readiness (GLR):** First, a site was considered “Go-Live Ready” once there has been distribution of CTS equipment to that site and the site has received inception CTS application training. These sites had the capacity for active use of the CTS as part of daily work. *Inception training and capacity was usually performed via KSA workshops and on the CTS testing platform (i.e. test.ghanacts.gov.gh);*
- **Go-Live Activation (GLA):** Second, a site progressed “Go-Live Activation” following the trigger of the required one-time approval/directives for active CTS usage by the respective KSAs, the registration/processing of cases to capture/enter/simulate live, and entry of backlog data directly into the live CTS

domain (i.e. ghanacts.gov.gh). This was generally supplemented by a one-time on-site KSA specific training/capacity building of relevant functional users by the CTS Activity Information and Communications Technology Focal Points (ICT FPs) or KSA trainer-of-trainers (ToTs), as well finalization of the account set up of the functional users on the CTS live domain.

From the Go-Live Activation date, which commenced on January 23, 2020 to October 29, 2020, Go-Live Activation was achieved at **757** out of the **757** targeted CTS locations, which represents **100%** Go-Live Activation completion rate for target CTS locations across the seven regions. A detailed list of the KSA sites that are using the CTS is included in Annex 2.

Figure 1 below shows the number of targeted CTS Sites in the regions versus Number of Go-Live Active sites across the various regions.

**FIGURE 1: NUMBER OF KSA SITES IN THE REGION VERSUS NUMBER OF GO-LIVE SITES**



As of November 25, a total number of **6,028** (6,014 by GPoS, 14 by EOCO) cases have been created across KSA sites across the seven regions; this is inclusive of back-log cases entered during digitization activities. Table 2 below illustrates the breakdown of the number of created cases by KSA and region. The detailed breakdown of these numbers per each location is captured in Annex 3.

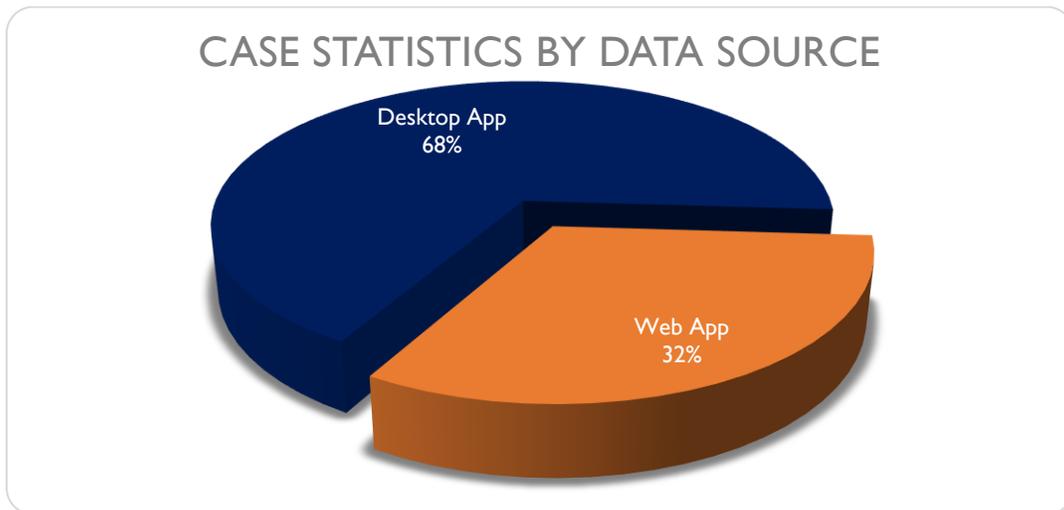
**TABLE 2. BREAKDOWN OF NUMBER OF CASES CREATED PER KSA BY REGION.**

REGION	# OF CASES CREATED	
	Police	EOCO
Volta	1,858	1
Northern	423	2
Greater Accra	2,924	1
Ashanti	393	4
Upper East	115	2

<b>Bono</b>	127	3
<b>Western</b>	174	1
<b>Total</b>	<b>6,014</b>	<b>14</b>

**Evaluation of CTS Case Statistics by Data Source:** Statistical data drawn from the different CTS applications shows that users most frequently use the offline (desktop) version of the CTS in the creation of cases. 68 percent of the usage is from the offline version, with 32 percent from the online (web app) platform.

**FIGURE 2: REPRESENTATION OF CTS CASE CREATION BY CTS APPLICATION**



During the roll out phase, the importance of the CTS Desktop/Offline version became even further apparent in consideration of its limited connectivity needs and its ability to allow for case entry when the functional user is offline – a likely occurrence for the GPOS users from the 508 CTS sites across the regions. Final updates to this version were deployed across target sites through virtual and in-person initiatives, and via handover sessions (ToT engagements, Regional KSA close out sessions, JTF) for accessibility across the seven regions. The remote updating of the CTS Offline version is an activity that will be sustained under the CTS eHelpDesk in the post-project service period.

**Deployment of Internet Connectivity to KSAs by BNC:** During the roll out period, BNC has provided 754 internet connectivity devices to all KSAs in all seven regions to use on CTS, a breakdown of which is shown in Table 3 below. Out of this number, 381 devices have been distributed, configured and are providing internet for CTS use across the regions. There are ongoing testing activities by the KSAs, together with BNC, to ensure that connectivity is established for the various sites who have received their connectivity devices. BNC representatives have been assigned to each region and are working closely with the KSA representatives to remedy the reported connectivity issues with the provided devices.

**TABLE 3: COUNT OF BNC CONNECTIVITY DEVICES PER KSA**

<b>KSA</b>	<b>Number of BNC Connectivity Devices Received at National HQs</b>
<b>GOS</b>	500
<b>JSG</b>	100
<b>EOCO</b>	36
<b>LAC</b>	16
<b>DPP</b>	72
<b>GPrS</b>	30
<b>Total</b>	<b>754</b>

Despite successes in actual use of CT, there are sustained usage challenges due to pending connectivity needs. The CTS Activity Implementation Team has supported the trained functional users with short-term connectivity (Vodafone, MTN or AirtelTigo) in an effort to maintain and sustain CTS usage interest while the BNC connectivity deployment progresses. However, this is only a short-term solution, requiring the KSAs to adopt responsibility for connectivity needs in coordination with BNC representatives where applicable. The CTS Activity Implementation Team have continued its consistent follow ups to KSA leadership to accelerate the BNC connectivity device distribution from the various KSA headquarters to their regional headquarters and subsequently the districts and stations to improve regional connectivity at their KSA sites. The remaining distributions and configuration of the devices for CTS will be an activity that the KSAs and BNC continue during the post-project phase. The JTF and USAID/Justice Sector Support (JSS) Activity should monitor these developments to ensure progress and continued coordination of this activity.

### **KEY END-USER SURVEY RESULTS**

The CTS Activity collected feedback from end-users on their experience with using the system. This was done using SMS blast and the online data collection tool, SurveyMonkey, which was shared through formats such as SMS and official CTS User Group Regional WhatsApp platforms, and supplemented with phone calls. The survey was rolled out on 30<sup>th</sup> September 30 through October 30, 2020. 190 respondents took part in the survey, comprising 156 males (82.1% of respondents) and 34 females (17.9% of respondents) from the six KSAs of the seven CTS regions.

The key results of the feedback received from respondents of the KSAs in the seven regions are:

- Out of the 190 respondents, 159 (84%) received training from the CTS Activity Implementation Team and 31 (16%) received training from within their institution. The capacity building and knowledge transfer through the Training of Trainers (ToTs) program has been successful and KSAs are willing to do internal capacity building on the use of the system. That also suggests that the ToT strategy has worked, and it could progress very well when KSA internal mechanisms are appropriately triggered for that purpose.

- 90% of CTS respondents are confident enough to transfer knowledge to others. This attests to the success of the ToT model, which will be used to sustain KSA trainings after the close of the project.
- The majority of respondents consider CTS very easy or easy to use (n=145, 76.3%).
  - Respondents have consistently rated the system as being very easy or easy to use over three different end-user surveys and have exceeded the project target of 70%.
  - Respondents rated the system as very easy or easy to use in the first survey (80%), second survey (83%) and third survey (76%).
- The majority of respondents are either satisfied, very satisfied, or satisfied with the CTS (n=146, 76.9%).
  - Respondents have consistently rated the system as completely satisfied, very satisfied, or satisfied over three different end-user surveys and have exceeded the project target of 70%.
  - Respondents rated the system as completely satisfied, very satisfied or satisfied in the first survey (85%), second survey (78%) and third survey (77%).
- The respondents indicated that the cases they work on regularly are being entered into CTS in the form “all of the ones that should be are, majority of them are or some are” (n=128, 67%).
  - The cases that are not entered into the system in the category of “most aren’t and none” (n=62, 33%) are largely due to internet connectivity challenges, which has been prioritized for the JTF and GoG to address.

## **KEY COMMUNICATIONS AND CHANGE MANAGEMENT ACTIVITIES**

Some of the key activities for implementing the inter-institutional change management and communications/information sharing plans were:

- Implementing the Awareness, Desire, Knowledge, Ability and Reinforcement (ADKAR) model of managing resistance to change (awareness raising, training, reinforcement, etc.);
- Strategic use of social media and communications;
- Coaching and mentoring of resistant users and provision of supplemental training;
- Design and use of a balanced score card (BSC) system as a monitoring and evaluation tool for change management and measuring advances against the Inter-Institutional Change Management Plan (ICMP);
- Modification/creation of 103 standard operating procedures or SOPs to incorporate CTS usage in routine work tasks (AG= 7; LAC= 23; EOCO= 25; Police= 13; Judicial Service= 23; Prisons= 12 = 103 changes and/or new procedures);
- Implementation of substantive pilot applications (SPAs) and inter-institutional crime investigation and other protocols (in trafficking in persons, border crimes, sexual and gender-based violence, cybercrimes, corruption and organized crime, maritime crimes, and “Justice For All” implementation);

- Implementation of new or modified policies related to CTS use, including:
  - Use of the CTS Software
  - CTS Software Private Policy
  - Inter-Institutional Policy on Incentives to Encourage Effective Use of CTS
  - Policy Agreement on Inter-Institutional Collaboration and Information-Sharing
  - Policy on Use of Private Devices.

## SECTION I – OVERVIEW OF THE FINAL DEPLOYMENT AND ROLLOUT OF THE CTS

For the roll out phase, a total number of **757** locations have been engaged for CTS training activities covering the seven targeted locations. Table 4 below captures the breakdown of each of these locations per region per KSA. Further details can be found in Annex 2.

**TABLE 4 – NUMBER OF KSAS PRESENT ACROSS ROLL OUT REGIONS**

Region	EOCO	GPoS	GPrS	JSG	LAC	MOJ/DPP	Grand Total
<b>Volta</b>	1	55	3	30	1	1	<b>91</b>
<b>Northern</b>	1	20	5	9	1	1	<b>37</b>
<b>Greater Accra/ Tema</b>	2	145	3	57	1	1	<b>209</b>
<b>Ashanti</b>	1	168	7	54	1	1	<b>232</b>
<b>Bono</b>	1	39	2	17	1	1	<b>61</b>
<b>Upper East</b>	1	19	2	11	1	1	<b>35</b>
<b>Western</b>	1	62	5	22	1	1	<b>92</b>
<b>Grand Total – KSA</b>	<b>8</b>	<b>508</b>	<b>27</b>	<b>200</b>	<b>7</b>	<b>7</b>	<b>757</b>

As noted in previous reports, the variance in the final numbers of CTS locations stemmed from the project’s on-the-ground validation process for GPoS and JSG locations.

**GPoS:** A GPoS station was determined to be a CTS operational station when the station operates from a physical location and also has a Register of Offence book that contains information on all crime-related cases.

The final number of KSA sites stem from validation exercises carried out at respective Police Divisions in the regions to uncover the operational status of GPoS locations identified in the Nationwide Police Location Master Sheet shared by GPoS HQ, Accra. Based on the validation process, sites that were not operational are taken out and new police stations not included in the GPoS HQ list were also included in the CTS target sites.

**JSG:** For JSG, the information on locations was ascertained from the Automated Court List received from the DANIDA Monitoring and Evaluation (M&E) Project and validated by the Judicial Secretary’s office. The project did not include “Commercial Courts” situated in each CTS region because these particular courts handle less than 5% of the criminal cases that occur in the country.

EOCO, MOJ/AGD (DPP) and LAC, operate from regional offices in the capital of each region, while GPrS locations were obtained from information shared by the GPrS National HQ and validated by the project.

There was a progressive rollout of CTS at all KSA locations within the seven regions. Over the implementation lifecycle, the roll out activity involved workshop training

initiatives, one-one-on /ToT training and capacity building exercises, and centralized go-live agendas. In the wake of the COVID-19, the centralized go-live approach was key to successfully ensuring CTS use by the KSA sites (Go-Live Activations). The centralized approach involved engaging and bringing together various ToTs and functional users from different divisions, districts, and stations to a centralized site for training on how to use the CTS. The ToT approach adopted by CTS has also greatly supported and accounted for the large number of users trained, as capacity is continuously provided by the ToTs to the other functional users in the absence of ICT FPs/SIE.

During the course of the roll out activity, 6,262 functional users (KSA staff) were trained to use CTS, with 6,028 cases created in the live CTS domain. A detailed list of these functional users is captured in Annex I.

Table 5 below provides the details of the number of KSA staff trained by region.

**TABLE 5 – NUMBER OF PEOPLE TRAINED TO USE THE CTS**

Region	# of Male Trainers Trained	# of Female Trainers Trained	# of Trainers Trained	# of Men Trained To Use CTS	# of Women Trained To Use CTS	Total # of People Trained To Use CTS
<b>GPoS</b>	90	10	100	413	119	<b>632</b>
<b>DPP</b>	N/A	N/A	N/A	5	5	<b>10</b>
<b>EOCO</b>	N/A	N/A	N/A	4	2	<b>6</b>
<b>JSG</b>	N/A	N/A	N/A	82	50	<b>132</b>
<b>GPrS</b>	N/A	N/A	N/A	11	7	<b>18</b>
<b>LAC</b>	N/A	N/A	N/A	2	1	<b>3</b>
<b>Total Volta</b>	90	10	100	517	184	<b>801</b>
<b>GPoS</b>	30	3	<b>33</b>	199	66	<b>298</b>
<b>DPP</b>	N/A	N/A	N/A	2	3	<b>5</b>
<b>EOCO</b>	N/A	N/A	N/A	3	2	<b>5</b>
<b>JSG</b>	N/A	N/A	N/A	18	9	<b>27</b>
<b>GPrS</b>	N/A	N/A	N/A	10	2	<b>12</b>
<b>LAC</b>	N/A	N/A	N/A	3	1	<b>4</b>
<b>Total Northern</b>	30	3	33	235	83	<b>351</b>
<b>GPoS</b>	342	87	<b>429</b>	1,266	663	2,358
<b>DPP</b>	N/A	N/A	N/A	5	17	22
<b>EOCO</b>	N/A	N/A	N/A	16	11	27
<b>JSG</b>	N/A	N/A	N/A	48	52	100
<b>GPrS</b>	N/A	N/A	N/A	22	6	28
<b>LAC</b>	N/A	N/A	N/A	5	5	10
<b>Total Accra</b>	342	87	429	1362	754	<b>2,545</b>
<b>GPoS</b>	435	68	<b>503</b>	935	203	1641
<b>DPP</b>	N/A	N/A	N/A	2	5	7

<b>EOCO</b>	N/A	N/A	N/A	9	3	<b>12</b>
<b>JSG</b>	N/A	N/A	N/A	36	26	<b>62</b>
<b>GPrS</b>	N/A	N/A	N/A	8	1	9
<b>LAC</b>	N/A	N/A	N/A	4	4	8
<b>Total Ashanti</b>	435	68	503	994	242	<b>1739</b>
<b>GPoS</b>	91	19	<b>110</b>	59	10	179
<b>DPP</b>	N/A	N/A	N/A	1	2	3
<b>EOCO</b>	N/A	N/A	N/A	6	4	10
<b>JSG</b>	N/A	N/A	N/A	20	17	37
<b>GPrS</b>	N/A	N/A	N/A	1	0	1
<b>LAC</b>	N/A	N/A	N/A	3	2	5
<b>Total Bono</b>	91	19	110	90	35	<b>235</b>
<b>GPoS</b>	98	38	<b>136</b>	137	72	345
<b>DPP</b>	N/A	N/A	N/A	4	5	9
<b>EOCO</b>	N/A	N/A	N/A	7	2	9
<b>JSG</b>	N/A	N/A	N/A	27	19	46
<b>GPrS</b>	N/A	N/A	N/A	19	7	26
<b>LAC</b>	N/A	N/A	N/A	0	1	1
<b>Total Western</b>	98	38	136	194	106	<b>436</b>
<b>GPoS</b>	45	9	<b>54</b>	43	10	107
<b>DPP</b>	N/A	N/A	N/A	2	3	5
<b>EOCO</b>	N/A	N/A	N/A	6	1	7
<b>JSG</b>	N/A	N/A	N/A	15	7	22
<b>GPrS</b>	N/A	N/A	N/A	9	2	11
<b>LAC</b>	N/A	N/A	N/A	3	0	3
<b>Total Upper East</b>	45	9	54	78	23	<b>155</b>
<b>TOTAL</b>	<b>1131</b>	<b>234</b>	<b>1365</b>	<b>3470</b>	<b>1427</b>	<b>6,262</b>

## **I.1 DETAILS OF FINAL DEPLOYMENT AND ROLL OUT**

### ***Number of Functional Users Introduced and Trained — Across 7 Regions***

Across the seven regions, a total of 7,471 users were introduced to the system with 6,262 users receiving an additional level of training by the CTS Activity Implementation Team with support from the ToTs. Table 6 below gives an overview of the total number of functional users per each KSA introduced to the system, while Table 7 provides the total number of functional users trained on the system engaged during the deployment/training phase. A detailed list of the users is captured as Annex I.

**TABLE 6—NUMBER OF INTRODUCED AND TRAINED FUNCTIONAL USERS ACROSS THE SEVEN REGIONS/ KSA**

KSA Name	Number of KSA Staff Introduced to CTS							
	Volta	Northern	GAR	Ashanti	Bono	Upper East	Western	TOTAL
<b>GPOs</b>	632	298	2,681	1931	293	244	690	6,769
<b>DPP</b>	10	5	22	7	3	5	9	61
<b>EOCO</b>	6	5	27	12	10	7	9	76
<b>JSG</b>	132	27	100	62	37	22	46	426
<b>GPrS</b>	18	12	28	9	1	11	26	105
<b>LAC</b>	3	4	10	8	5	3	1	34
<b>Total</b>	<b>801</b>	<b>351</b>	<b>2868</b>	<b>2029</b>	<b>349</b>	<b>292</b>	<b>781</b>	<b>7,471</b>

**TABLE 7—NUMBER OF TRAINED FUNCTIONAL USERS ACROSS THE SEVEN REGIONS/ KSA**

KSA Name	Number of KSA Staff Trained on CTS Use							
	Volta	Northern	GAR	Ashanti	Bono	Upper East	Western	TOTAL
<b>GPOs</b>	632	298	2,358	1641	179	107	345	5,560
<b>DPP</b>	10	5	22	7	3	5	9	61
<b>EOCO</b>	6	5	27	12	10	7	9	76
<b>JSG</b>	132	27	100	62	37	22	46	426
<b>GPrS</b>	18	12	28	9	1	11	26	105
<b>LAC</b>	3	4	10	8	5	3	1	34
<b>Total</b>	<b>801</b>	<b>351</b>	<b>2,545</b>	<b>1739</b>	<b>235</b>	<b>155</b>	<b>436</b>	<b>6,262</b>

**Number of Target KSA Sites versus Actual Go-live Active Sites across the seven Regions/KSAs**

There has been Go-Live Activation (CTS use) in 757 out of the targeted 757 number of locations targeted across the seven CTS regions which is a 100% go-live activation rate across all the CTS seven targeted regions. A detailed list of all the locations for all KSAs is captured in Annex 2.

**1.2 DETAILS OF CHANGE MANAGEMENT AND COMMUNICATION AND INFORMATION SHARING ACTIVITIES**

Change management (CM) and communications and information sharing (CIS) were key activities throughout the entire CTS Activity and accompanied the technical design and development of the CTS and its piloting, testing, and roll out at the national level with seven regions of Ghana, more or less in the following chronological order (Volta, Northern, Greater Accra/Tema, Ashanti, Upper East, Western, and Bono). Most CM and

CIS activities were carried out in the context of the ICMP, with the support of the regional inter-institutional support groups (RISGs) in each of the seven regions. As such the ICMP and its indicators, particularly those set forth in the Balanced Scorecard “stoplight” excel sheet and total score, are the key focus of this closing report. We report separately on the progress regarding the definition/modification and implementation of policies, procedures, and incentive schemes. This report covers the whole CTS Activity as well as about the progress in the third quarter (Q3) of 2020, which has not been fully included in previous reporting. Q1 through Q3 (January 2020 through August 2020) represents the critical eight months of intensive and massive roll out of the CTS in the seven regions.

**Change Management in General:** The National Inter-Institutional Change Management Committee (NIICMC) was formed on June 3, 2019 and is constituted of representatives from GPoS, EOCO, DPP, LAC, JSG and GPrS. On the same day as its creation, the definition of the ICMP was initiated and was finished shortly thereafter to consolidate in one document all CM activities related to implementing the CTS Change Management Strategy, based on the ADKAR Model principles.

Following the validation and approval of the ICMP by Commissioner of Police and the Executive Director of EOCO, the KSAs decided that in order to fast-track the process and avoid confusion by the different actors, the validated version should become the generic ICMP for use and implementation by all KSAs in all regions. This decision was premised on the fact that the ICMP was a product of the ADKAR model of change management, which is of general application to all KSAs. Consequently, the soft and hard copy versions of the validated ICMP were transmitted to all KSA heads on August 7, 2019 for implementation. In addition, on July 24, 2019, the ICMP was unanimously endorsed as the official Change Management work plan for the CTS, to be shared and communicated to all regions nationwide for implementation.

Based on the ADKAR CM Model, the ICMP covers all the milestones of the model. It also identifies obstacles to adapting the ADKAR framework, proposes activities that should be undertaken at each phase, and within specific time frames, either during the testing, piloting, and roll out phases.

The CTS initially attempted to have both a CM and a CIS inter-institutional committee. Many of the KSAs appointed the same representatives for each committee. We then started defining plans for each committee. We quickly realized that there was a lot of overlap between the work of the two committees, in part because CIS formed a sort of sub-group of CM activities. As such, the decision to effectively combine the work of these two committees (the NIICMC and the NIICISC) was taken to mitigate this situation and to not lose the high political will of the KSAs by having too many meetings and overlapping plans. This turned out to be the right decision.

**Communications and Information Sharing:** The National Inter-Institutional Communications and Information Sharing Committee (NIICISC) was also formed on June 3, 2019, the same day as the NIICMC referred to above. Its principal members are the communications and IT directors from the different KSAs. It also immediately designed its action plan (Communications and Information Sharing Plan). In summary, the Plan sets forth key communication actions, such as approaches for key Justice Sector Agencies to

strengthen coordination and collaboration. This includes how to determine information to be shared and between which agencies, mechanisms for enhancement of communication across agencies and mapping of stakeholders to ensure the right positions/people within the KSAs are properly identified. The Plan also identifies clear modes and methods of communications are delineated to keep them informed, and key activities to encourage and consolidate the more robust sharing of information among and between the KSAs regarding the criminal justice system through the CTS. This is established in an inter-institutional information-sharing protocol.

Soon thereafter, it became clear that separating the two key committees – CM and CIS – (though endorsed by the respective strategies) would create a knowledge gap that would negatively affect the implementation of the ICMP. It also became clear that the activities of both committees dovetailed and complemented each other (and included some overlapping activities). Consequently, instead of holding separate meetings both at the national and regional levels, only one meeting is held at each visit and membership is drawn from both committees following the set-up of the RISGs. Members are now considered as the CTS Change Champions. Also, it was determined that the Work Plan for the NIICISC and for the NIICMC were also very similar in many aspects and had some overlapping activities in them (such as producing brochures regarding the CTS and training users in the benefits of the CTS). As such, the KSAs, through these two committees, decided to combine the two plans into a consolidated ICMP that would be used at the national level. This was anticipated to be much simpler, and indeed turned out to be much simpler.

In summary, the ICMP set forth key CIS actions, such as:

- Approaches for key justice sector agencies to strengthen coordination and collaboration, including how to determine information to be shared and between which agencies;
- Mechanisms for enhancement of communication across agencies and mapping stakeholders to ensure the right positions/people within the key justice sector agencies are properly identified; and
- Clear modes and methods of communications to delineate and to keep all KSAs informed, as well as key activities to encourage and consolidate the more robust sharing of information among and between the KSAs regarding the criminal justice system through the CTS, memorialized in an inter-institutional information-sharing protocol.

**Regional Inter-Institutional Support Groups (RISGs):** A key part of the CTS Activity strategy has been to build sufficient local capacity to be able to support CM and CIS activities in the testing, piloting, and roll out, as well as to be able to carry them out after the Activity ends for roll out in the eight regions not targeted by the Activity. The key mechanism for the strengthening of this local capacity has been the RISGs. The RISGs are constituted of “change champions” (generally 1-2) from each of the six KSAs in all of the seven CTS regions. After receiving training from the CTS Activity Implementation Team, the RISGs were tasked with training, mentoring, coaching, organizing supplemental training, sending communications regarding CTS use to end- and other users, reporting on CM and CIS activities, among other things. The RISGs generally were an effective

mechanism, particularly around and just after Go-Live roll out, but in most of the regions the RISGs became less active with time. Many of the members are higher-level KSA staff (supervisors, etc.), who are all generally very busy.

In general, the RISGs worked positively, particularly at the initial preparation and immediate post-roll out stages of the CTS. In some of the regions, however, the motivation of the RISGs started to diminish over time. Although the CTS Activity advocated the KSAS for the implementation of effective incentives to encourage RISG work on the CTS implementation, these have yet to be implemented. As such, some of the RISG members considered their work as part of the RISG as an additional function related to their job and as extra work.

**Balanced Score Card and Stoplight System:** In order to measure progress against the ICMP, the CTS Activity developed a set of indicators for the activities set forth in the ICMP, along with specified targets per region. The monitoring system also included a “stoplight” mechanism to measure whether the regions were on track regarding the implementation of CM and CIS activities to accompany and facilitate the roll out of the CTS. For the last year of the CTS, working closely with the RISGs and the ICT Focal Points of the KSAs and/or contracted by IBG in the regions, we closely monitored the advances in CM and CIS. The final BSC excel sheet is included as Annex 4. The activities in the first column of the sheet constitute the principal CM and CIS activities within the ICMP. The details of the BSC will be discussed below, first for the third quarter of 2020 (Q3) and then with some general information about the life of the project performance of the indicators.

**Final Results from the ICMP from the Roll Out Stage of the CTS Activity:** The ICMP covers all the milestones of the ADKAR model. It also identifies obstacles to adapting the ADKAR framework, proposes activities that should be undertaken at each phase, and within specific time frames, either during the testing, piloting, and/or roll out phases. The milestones and some examples of the indicators designed to measure the same, comparing the first three quarters of 2020 (Q1, Q2, and Q3) are as follows:

- I. **Awareness:** For this milestone, the ICMP identifies factors such as misinformation or lack of information about or inadequate understanding of the CTS and its benefits to the criminal justice system, existence of preconceptions about automated systems as obstacles to the successful implementation of the CTS. To overcome these obstacles, it proposes the design, printing, and distribution of posters, brochures, among others, to carry out awareness campaigns during all stages of the CTS implementation. It further proposes the use of emails and WhatsApp platforms as some of the tools to be used to successfully create the needed awareness as a critical foundation for the implementation of the CTS.

From April to June 2020, as per the BSC Sheet, each KSA and other reporting agents noted the following data regarding the communications to users sent via emails or WhatsApp with information on the CTS System during the reporting period. Compared to the previous period, from July to August 2020, the BSC shows a decrease in the number of communications to half of the users but keeps

the tendency in green. For the three new regions it shows a very good start, reaching the target within the first month:

**TABLE 8: COMPARATIVE NUMBER OF COMMUNICATIONS SENT WITH INFORMATION ON THE CTS SYSTEM DURING ROLL OUT**

<b>Comparative Number of Communications Sent with Information on the CTS System</b>			
<b>Region</b>	<b>Q3 2020 (July-August 2020)</b>	<b>Q2 2020 (April – June 2020)</b>	<b>Q1 2020 (January – March 2020)</b>
<b>Volta Region</b>	48	91	10
<b>Northern Region</b>	48	92	5
<b>Greater Accra Region</b>	48	253	35
<b>Ashanti Region</b>	48	80	0
<b>Upper East</b>	24	0	0
<b>Western</b>	24	0	0
<b>Bono</b>	24	0	0
<b>Total</b>	<b>264</b>	<b>516</b>	<b>50</b>

Regarding the number of users trained in the benefits of CTS, another key figure in monitoring the ICMP, the results remain very positive, particularly given the fact that fewer massive, live events were held during this period, meaning that the RISGs are still staying quite active in this area. As would be expected some of the numbers in the regions where “Go Live” occurred before the pandemic, the numbers are starting to go down somewhat, as most of the users have already been trained. In Ashanti and the three new regions (Upper East, Western, and Bono), the numbers have gone up dramatically:

**TABLE 9: NUMBER OF USERS TRAINED IN THE BENEFITS OF THE CTS SYSTEM**

<b>Number of Users Trained in the Benefits of the CTS System During Roll Out</b>			
<b>Region</b>	<b>Q3 2020 (July-August 2020)</b>	<b>Q2 2020 (April – June 2020)</b>	<b>Q1 2020 (January – March 2020)</b>
<b>Volta</b>	77	156	26
<b>Northern</b>	48	66	247
<b>Greater Accra</b>	148	354	97
<b>Ashanti</b>	303	73	116
<b>Upper East</b>	40	0	0
<b>Western</b>	120	0	0
<b>Bono</b>	70	0	0
<b>Total</b>	<b>533</b>	<b>649</b>	<b>486</b>

The BSC chart above shows that in all seven regions the indicators in this category are currently in “green.”

2. **Desire:** The ICMP identifies lack of awareness regarding the benefits of using the CTS as one of the obstacles to raising desire and buy-in of end users. According to the ADKAR theory, it is only when enough awareness is raised that end users will develop the desire to use the system. Additional obstacles identified in the ICMP include:
- Reluctance on the part of end users to share or disclose sensitive information using the system because of distrust in the same;
  - The fear of losing power;
  - Dislike of being under the increased scrutiny and control of supervisors;
  - The fear of having their jobs replaced by CTS; and
  - The belief that CTS represents additional work as factors that will impede the creation of the needed desire or buy-in to use the system.

As a solution to this challenge, the ICMP proposes a variety of activities:

- 1) The deployment of IT professionals to the various regions to train end users on the security aspects and benefits of using the system;
- 2) The carrying out of workshops to orient users on the benefits of the system thereby positioning the CTS as a tool that strategically enhances the performance of their daily functions; and
- 3) The deployment of IT personnel in the various regions to assist end users, including identified “resistant” users, and providing them with supplemental training, coaching, or mentoring.
- 4) Training in the security aspects of the system, which is in tandem with their daily working principles (such as the “need to know” principle in EOCO) to reduce resistance based on distrust of the system for security concerns.

For instance, with regard to the indicator related to the Number of Users Trained in Security Aspects of the CTS, the numbers show a major improvement around the country for all three periods, with the exception of Greater Accra, which had a slow start but showed a substantial increase in Q3. It is important to point out that even the new three regions have met the proposed targets even though there is one more month left to fully finish Q3 (September 2020). This indicator is very important, particularly in the EOCO and the Police, where fears of security breaches in the CTS can often lead to non-use (or less than full use) of the system by criminal investigators.

**TABLE 10: NUMBER OF USERS TRAINED IN SECURITY ASPECTS OF CTS DURING ROLL OUT**

<b>Number of Users Trained in Security Aspects of CTS</b>			
<b>Region</b>	<b>Q3 2020 (July-August 2020)</b>	<b>Q2 2020 (April – June 2020)</b>	<b>Q1 2020 (January – March 2020)</b>
<b>Volta</b>	77	71	121
<b>Northern</b>	48	36	247
<b>Greater Accra</b>	148	0	40
<b>Ashanti</b>	303	83	116
<b>Upper East</b>	40	0	0

<b>Western</b>	120	0	0
<b>Bono</b>	70	0	0
<b>Total</b>	<b>806</b>	<b>190</b>	<b>524</b>

The table above shows that the supplemental training indicator is “green” for all 7 regions: Volta, Northern and Greater Accra Regions, as well as the recently rolled out Upper East, Western, and Bono Regions).

3. **Knowledge:** Adequate knowledge of the system is a critical requirement for the successful implementation of the CTS. Thus, failure on part of end users to strategically use the system to enhance their work is identified as a stumbling block in its implementation. One of the solutions proposed by the ICMP is to embark upon ToT sessions, to equip supervisors and trainees with knowledge on how to strategically use the system to improve upon user performance and overall CTS use. Other important ToT workshops and face-to-face sessions in target rollout regions have been carried out and or ongoing on:

- 1) How to detect and overcome resistance to change;
- 2) The content of the updated policies, procedures. protocols, and incentive systems regarding the CTS; (3)
- 3) Coaching and mentoring; and
- 4) The use of communications and social media.

The ICMP also envisages follow-up trainings by ICT FPs and RISG members to close identified knowledge gaps, focusing on resistant users. Finally, it includes the carrying out of intermittent training on specific difficult tasks identified through on-site visits and focal groups. This latter type of training (on logging in and on producing reports) has been carried out in the four regions rollout and is currently ongoing.

4. **Ability:** The knowledge gained through the training sessions is put to test during this very critical phase of change management. It is at this stage that the impact of the lessons learned began to manifest themselves. This can only be achieved through constant practice, because “practice makes perfect.” Thus, the availability of the required tools and devotion of time to practice the skills acquired are important factors that will enhance this milestone of the ADKAR model. The ICMP therefore proposes the setting-up of a hotline/help desk and a training manual or user’s guide to facilitate and increase the end users’ ability to use the system effectively. During the reporting period, hotlines accessible to all end-users have been designed and put into place. Dissemination activities were carried out regarding their existence and how to access them. Additionally, the ICMP recommends the design and carrying out of coaching and mentoring sessions through identified change champions within the KSAs to enhance this critical “skills acquisition” stage.

During Q2 2020, each KSA had a “help-line set up.” Notwithstanding these helplines, many users keep calling the ICT FPs for assistance as these have been their source of information, it takes time to switch completely to the help-lines or desks). For the number of calls, we have counted calls to both the helplines and to the ICT FPs, putting this indicator in “green” for all of the roll out regions.

5. **Reinforcement:** Some of the obstacles to adaptation identified at this phase of the ADKAR model are lack of motivation on the part of end users to use the system, the existence of self-interest in end users, who would want the system to fail, and the belief that recalcitrant users will not suffer any punitive consequences when they fail to use the system or intentionally input inappropriate data. In order to circumvent this challenge, the ICMP proposes, among others, the need to not only make CTS obligatory in the curriculum of the KSAs, but also define, draft and present positive and negative incentive schemes to the heads of the various institutions for validation and approval for implementation within the institutions. Thus, users who enter appropriate data should be recognized, through positive incentive mechanisms, such as recognition (i.e. “CTS users of the month” programs) and other benefits. Similarly, recalcitrant users should also face the negative consequences of their actions. Equally important remedies proposed in the ICMP to reinforce CTS activities are:

- 1) The design of periodic audit of data quality;
- 2) The making CTS use obligatory in policy documents or by changing the job description of end users;
- 3) The definition, validation, approval and dissemination of new policies and procedures, including positive and negative incentive policies, on the CTS and the websites of the various KSAs; and
- 4) The monitoring and evaluation of the implementation of the new policies, protocols and procedures, as well as the effect of the incentive schemes (through an easy-to-use CTS Activity-designed audit instrument to see if specific policies or procedures, by region, are being correctly used).

Finally, the ICMP includes activities like the designing and carrying out of substantive pilot applications, which include check lists, as a tool to improve the quality and coordination of investigations and prosecution of cases relating to trafficking in persons, sexual violence, cyber-crime, maritime crime, and organized/corruption-related crimes.

During the course of the Activity, all six KSAs approved all the required policies, procedures, and protocols (122 in total) in place, enacted positive and negative incentive schemes, and made CTS use obligatory by the pertinent users. The CTS Activity helped to disseminate all of these critical items, moving all the indicators regarding these issues into the “green” category in Q2 (and these have stayed there for Q3 and Q4) and for all the three new regions. Additionally, all KSA heads at the national level have issued directives mandating their staff to start using and to continually use the CTS. These are critical for effective change management.

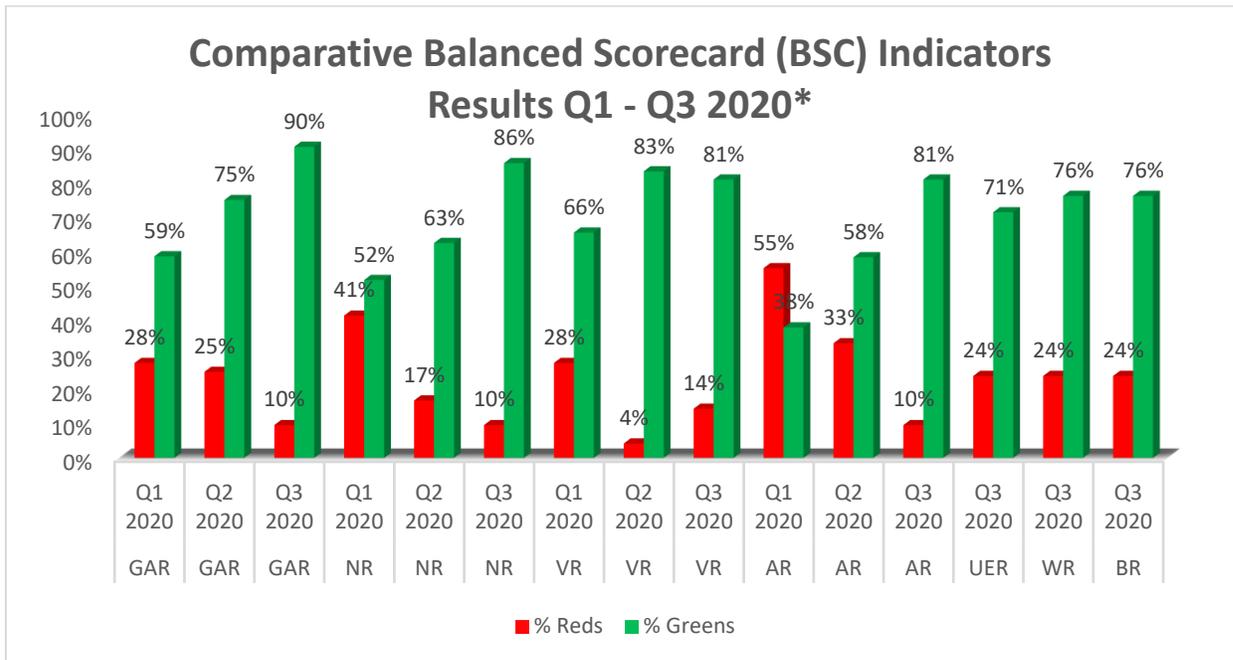
In terms of overall change management results on the ICMP BCS over time, the results showed increasing trends throughout the five quarters that it was being used, with a slight reduction in Q2 2020 due to the COVID-19 pandemic. After the COVID-19 pandemic calmed down in Ghana, for example, all the regions began to show constant improvement across the board and showed positive increases in indicators that are in “green” and a reduction of those that are in “red.” This is particularly positive given that Q3 only covers two months (because of the due date of this report) instead of three months each that were covered in Q1 and Q2.

The Greater Accra Region showed 18/24 (75%) “greens” in Q2 (with only 6 “reds”) compared to 17/29 (59%) “greens” (with 8 “reds”) in Q1. For Q3, the Greater Accra Region showed 19/21 (90%) “greens” (with only 2 “reds”). The Northern Region showed 14/23 (61%) “greens” in Q2 (with only 4 “reds”) compared to 15/29 (52%) “greens” (with 12 “reds”) in Q1. For Q3, the Northern Region shows substantial improvement with 18/21 (85%) “greens” (with 2 “reds”, and 1 “yellow”). The Volta Region showed 20/24 (83%) “greens” in Q2 (with only 1 “red”) compared to 19/29 (65%) “greens” (with 8 “reds”) in Q1, for Q3 17/21 (80%) (with 3 reds and 1 yellow). For the Ashanti Region there were 14/24 (58%) “greens” in Q2 (with 8 “reds”) compared to 11/29 (38%) “greens” (with 16 “reds”) in Q1, with Q3 showing a dramatic increase to 18/21 (85%) “greens” (with only 3 “reds”).

For the Upper East, Western and Bono Regions, the most recent additions to the project, and the last ones to start roll-out, the most recent BSC shows the following: Upper East Region shows 15/21 (71%) “greens” in Q3 (with 5 “reds” and 1 “yellow”). The Western Region shows 16/21 (76%) “greens” in Q3 (with 5 “reds”), and finally, Bono Region shows 16/21 (76%) “greens” in Q3 (with 5 “reds”). Given that many of these only just recently started roll-out, these are extremely positive results, particularly as compared with the progress in the other regions just after start-up (although for those other regions, the pandemic was a major factor in achieving “greens” more slowly).

We summarize below all the data regarding the number of indicators in “green” and in “red” in the following BSC results table (see “Figure 3: Comparative Balanced Score Card (BSC) Indicators Results”) for comparing the first quarter, the second quarter and the third quarter of 2020, which represents the whole “roll out” or Go Live period for the CTS system.

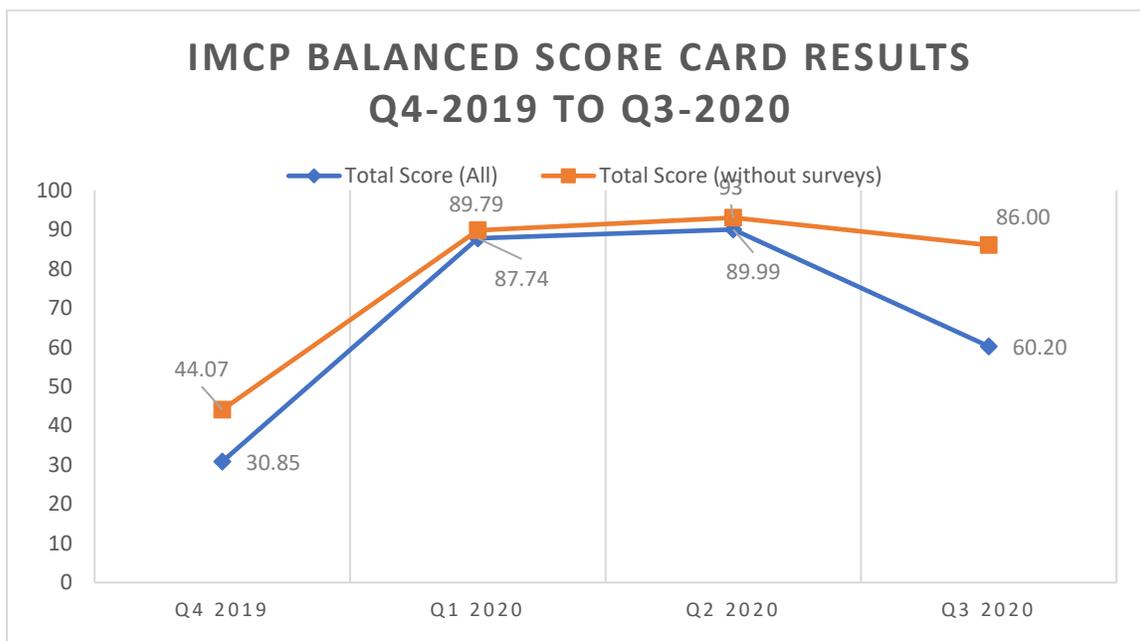
**FIGURE 3: COMPARATIVE BSC INDICATORS RESULTS Q1-Q3 2020 (SINCE ROLL OUT STARTED)**



*ACRONYMS	
<b>GAR</b>	Greater Accra Region
<b>NR</b>	Northern Region
<b>VR</b>	Volta Region
<b>AR</b>	Ashanti Region
<b>UER</b>	Upper East Region
<b>WR</b>	Western Region
<b>BR</b>	Bono Region

And finally, it is important to note that in this quarter, end-user surveys were not carried out. As such, there is no data for the survey fields on the actual BSC sheet as there was in the last quarter (which explains why the total score went down to 60.20 with all factors included, as those survey scores register at “0”). As such, the more accurate “apples to apples” comparison would be the red line in Figure 4 below, which is 86.00, down just slightly from the 93.00 in Q2, notwithstanding three new regions going live, which is in fact very, very positive.

FIGURE 4: ICMP BALANCED SCORECARD RESULTS - FINAL



There have been several challenges with the use of the BSC. Initially, it proved to be a little too complicated for the RISGs to fully understand. It had a large number of indicators, some of which were somewhat hard to understand for the non-expert. This led to some inconsistencies in reporting across the regions, despite Activity project training efforts on the tool. There were also too many indicators, which led RISGs to complain that it took too long to collect the information for them. Finally, initially the indicator goals were fixed at the same amounts for all regions, regarding of size and number of users, and were also fixed in time, not reflecting the course of roll out (i.e. that the number of end-users trained would gradually reduce month by month after a two to three months after Go-Live, as most of the users were trained). This led to some of the regions being in “green” in some of the categories and then dropping to “red” once most users were trained as the goals were not reduced in time.

The CTS Activity took various steps to remedy these problems throughout the roll out stage. We prepared “cheat sheets” or easy-to-understand instruments for the RISGs to help them to better understand the indicators and exactly what information they needed to collect. We tasked the ICT FPs in the roll out regions, which are obviously more tech savvy and as such, it was easier for them to gather the necessary information quickly. We also used the CTS Activity to support the RISGs in the collection of the information. Finally, we made several changes in the BSC instrument over time to make it easier to understand, to adjust the indicator targets to the reality of each region, to change them over time (better reflecting the reality in each region at roll-out time, with high numbers, and in the months thereafter, during which many, but not all, of the indicators tend to decrease). As part of our sustainability plan, we decided to simplify substantially the BSC instrument, leaving only six of the key indicators, for the easier transfer of knowledge regarding the use of the BSC to the RISGs and the JTF.

**Key General ICMP Indicator Performance Among the Regions Since Creating the BSC:** Table 12 below summarizes the cumulative data for all of the ICMP indicators in each region for the life of the Project (since the BSC was created in late Q4 2020), through the end of the third quarter of 2020 (August 2020). The raw data can be found in the four different BSC sheets that have been calculated for every quarter since Q4 of 2019, attached hereto as Annex 5.

**TABLE 12: KEY DATA REGARDING ICMP INDICATORS IN EACH ROLLOUT REGION DURING THE LIFE OF THE PROJECT (AND CURRENT STOPLIGHT COLOR AT END OF Q3 2020)**

Activity	Indicator	Volta	Northern	Greater Accra/ Tema	Ashanti	Upper East	Western	Bono
Design, print and distribute brochures and posters to carry out an awareness campaign	Number of CTS brochures/posters distributed to end-users	324 Green	184 Green	408 Green	342 Green	52 Green	124 Green	82 Green
	Percentage of users reached by brochures	100% Green	100% Green	100% Green	100% Green	100% Green	100% Green	100% Green
Disseminate CTS information through email and WhatsApp	Different communications sent to end-users by RISGs	210 Green	209 Green	371 Green	164 Green	24 Green	24 Green	24 Green
	Percentage of users reached by communications	100% Green	100% Green	100% Green	100% Green	17% Red	17% Red	17% Red
Carry out workshops to orient users in the benefits of using CTS in their daily work	Number of users trained in CTS benefits	827 Green	390 Green	2,451 Green	818 Green	40 Green	120 Green	70 Green
Coach or mentor "resistant" or challenged users	Number of "resistant" users coached or mentored	158 Green	2 Red	41 Green	10 Green	0 Red	0 Red	0 Red
Design and carry out a Training of Trainers (ToT) program (for GPoS & JSG only)	Number of trainers trained (for GPoS & JSG only)	89 Green	38 Green	198 Green	109 Green	0 Red	0 Red	0 Red
Design and carry out, through ToT or direct training, initial training activities in	Number of users trained	811 Green	400 Green	2,144 Green	596 Green	40	120	70

CTS for all users, both end-users and supervisory staff						Green	Green	Green
Train in security aspects of the CTS	Number of users trained in security aspects	299 Green	423 Green	380 Green	579 Green	40 Green	120 Green	70 Green
Set-up and operate a help desk/hotline for users	Number of calls for support handled by ICT FPs	416 Green	219 Green	175 Green	105 Green	9 Green	12 Green	12 Green
Make CTS use obligatory in the job descriptions of CTS end-users	Number of profiles created/modified regarding CTS obligatory use or KSAs making CTS obligatory use for certain users.	12 Green	12 Green	6 Green	6 Green	6 Green	6 Green	6 Green
Define, draft and present positive and negative incentive schemes to Head of Institution for approval	Number of positive and negative incentive mechanisms approved	6 Green						
Train supervisors regarding CTS accountability issues	Number of supervisors trained	126 Green	63 Green	116 Green	134 Green	12 Green	24 Green	16 Green
Review and define/update KSA policies and procedures to incorporate to CTS use and present them to Head of Institution for approval	Number of policies and procedures approved	133 Green						
	% of policies and procedures required to be approved that are approved	100% Green						
Disseminate new policies and procedures, as well as positive and negative incentive schemes on organizational website and through on-site sessions directed by ToTs, supervisors and regional interinstitutional support group representatives	Number of users receiving information regarding new policies/procedures/incentives (the initial CTS training now includes this topic)	324 Green	184 Green	408 Green	342 Green	52 Green	124 Green	82 Green
	% of new policies and procedures and incentive schemes that have been distributed to designated users through presence-based sessions or massive communications	100% Green	100% Green	100% Green	60% Green	31% Yellow	100% Green	100% Green
Monitor and evaluate the implementation of new policies and procedures, as well as	Number of monitoring activities/sessions held	37 Green	30 Green	30 Green	20 Green			

the effect of the incentive schemes, making adjustments						1 Red	0 Red	1 Red
Design and carry out substantive pilot applications (SPAs) of the CTS in criminal investigation activities to demonstrate the usefulness of CTS as a tool (trafficking, sexual violence, cyber crimes, organized crime and corruption related crimes)	Number of SPAs carried out	30 Green	21 Green	21 Green	14 Green	21 Green	21 Green	21 Green
Collect and analyze data for use in BSC	Number of times data collected for BSC	5 Green	5 Green	5 Green	4 Green	1 Green	1 Green	1 Green

**Definition, Securing Approval, Implementation, Monitoring, and Securing the Sustainability of New/Amended Processes, Procedures, Protocols, and Incentive Schemes:** The ICMP included one of the key elements to ensure KSA users can and will use the new system, namely, the reviewing of existing processes, procedures, protocols, and various incentive systems and the proposing, seeking, and securing approval of the same to improve the enabling environment for the implementation of the CTS. As such, these activities warrant separate treatment. Even if people like the CTS, they may not know how to use it within their existing processes, nor may they feel they can use it if their existing SOPs and policies reflect a different practice. This is particularly relevant for government bureaucracies but also for institutions within the justice sector where a single process can mean the difference between a guilty or not guilty verdict. Therefore, CTS facilitated a multiple-step process for identifying and reviewing the SOPs and other policies, procedures, and protocols that needed to be changed or created to be able to more effectively implement the CTS. This work included the carrying out of a series of Policies and Procedures Workshops, the holding of work sessions with relevant KSAs to define protocols for priority crimes, as well as the creation of both positive and negative incentive systems. These actions were critical to help position and encourage CTS buy-in and mandatory and correct use and to overcome resistance from the numerous KSA end-users. They also ensure that people can be held accountable to performing against the SOPs and the new policies.

**I. Review of existing policies and procedures regarding case management and other related issues.** As a part of the major CTS Activity to create or modify KSA procedures, processes and incentive systems, the following key documents were initially analyzed as part of a desk review process:

- a. Six KSA UNDP-supported SOPs;
- b. Written or non-written data management policies and procedures;

- c. Written or non-written IT equipment inventory-related, maintenance, repair, and replacement policies and procedures;
- d. Written or non-written record management and retention policies and procedures;
- e. Written or non-written data back up and data recovery policies and procedures to ensure business continuity;
- f. Written or non-written case management and processing policies and procedures;
- g. Written or non-written work flow policies, procedures, and timelines;
- h. Written or non-written human resources policies and procedures:
  - i. Disciplinary regimen policies and procedures;
  - ii. Performance evaluation policies and procedures;
  - iii. Induction and on-going training policies and procedures;
  - iv. Incentive (both negative and positive) systems and policies and procedures;
  - v. Supervision policies and procedures;
  - vi. Promotion policies and procedures;
  - vii. Staff recruitment policies and procedures;
  - viii. Current job profiles and descriptions of relevant staff;
  - ix. Policies and procedures regarding use of interns, law students, etc.
- i. Policies and procedures regarding timelines of carrying out certain tasks;
- j. Protocols regarding criminal investigations; and
- k. Policies and procedures regarding how to enact policies, procedures, guidelines, circulars, etc.

After the desk review, the CTS Activity carried out a multiple-step process for identifying the SOPs, other policies and procedures, and incentive systems that needed to be designed or strengthened in order to be in a better position to guarantee that the KSAs would both buy-in to the CTS and would overcome the inevitable resistance that comes with any such large changes in the institutional working place, particularly in institutions that for the most part are not used to ICT solutions and the automation of work flow processes.

## **2. Carrying out Human and Institutional Capacity Development (HICD)**

**Assessments:** As an initial step in mid-2018, the CTS Activity, through sub-contractor TDA and with the assistance of the rest of the CTS Activity Team, carried out a series of HICD assessments, holding at least one or two sessions in each KSA, to determine actual institutional capacity to implement a system like the CTS and identify some of the institutional “gaps” and challenges. Interestingly, in every one of the KSAs, the lack of effective policies and procedures (as well as adequate incentive systems) to implement CTS came up as an important institutional gap to overcome. At this time, we discussed with each KSA some of the types and nature of new or re-defined processes, procedures, and incentive systems that would be needed in order to improve the policy and regulatory framework for CTS implementation in each KSA. Many of these focused on making CTS

use “obligatory” and “part of the job profile” of certain KSA staff members (such as registrars in the courts, GPoS police investigators and prosecutors, and EOCO agents and investigators, prosecutors, and public defenders among others), and that the use of CTS should be “incentivized” both with positive (awards for CTS user of the month, making CTS use a factor in promotions, etc.) and negative (sanctions for poor use or malfeasance in the use of CTS).

**3. Holding Policies and Procedures Workshops in each KSA:** Thereafter, the CTS Activity held Policies and Procedures Workshops in each KSA to hone-in on exactly which policies and procedures needed to be changed, and what changes needed to be made, as well as which “new” policies needed to be defined and approved to facilitate effective use of the CTS and increased and more fluid communications among KSAs and the sharing of information. These Policy and Procedures Workshops took place between April and June of 2019.

<b>KSA</b>	<b>Dates of Workshops</b>
Ghana Judicial Service	May 3, 2019
Ghana Prisons Service	March 15, 2019
Ghana Police Service	May 2, 2019
Attorney General’s Office/Department of Public Prosecutions	April 5, 2019
Legal Aid Commission	April 3, 2019
Economic and Organized Crime Office (EOCO)	March 14, 2019

In each of these workshops, the CTS Activity facilitated a full revision of all the current SOPs in each of the KSAs (that the United Nations Development Program had assisted in drafting several years ago and which are still in effect in all the KSAs), and simultaneously made the necessary changes to the text of the same to incorporate procedures related to the effective use of the CTS. In many cases, language was inserted to indicate when and how to input the relevant information to the CTS and within what time period (i.e. “immediately” in the case of arrests by the GPoS and EOCO, on the “same day” that the to-be registered activity occurred for the courts and within 24 hours after the to-be registered activity occurred in the LAC and the AG/DPP). In other cases, the SOPs actually reflected important policy decisions that were made by the KSAs regarding the CTS. The most important one of these was the decision that the DPP would respond to the “requests for advice” from the GPoS and EOCO “within 60 days.” Currently, these responses can take up to several months or even years to return to the GPoS and EOCO, severely delaying case flow processes and investigations.

Finally, the CTS Activity facilitated the carrying out, during the Policy and Procedures Workshops, of break-out sessions for KSA staff to brainstorm about the types and content of new, non-SOP policies and procedures that needed to be defined. These include: (1) CTS Software: Terms and Conditions of Use; (2) CTS Software: Privacy Policy; (3) Policy Agreement on Inter-Institutional Collaboration and Information-Sharing; (4) Inter-Institutional Policy on Incentives to Encourage Effective Use of CTS; and (5) Policy on Use of Private Devices, which were subsequently drafted with the assistance of the CTS Activity and validated with the KSA staffs and heads. Given that most of the KSAs requested very similar new policies, the CTS Project provided technical assistance in preparing general versions of these policies for submission to KSAs to tailor them, as needed, to institutional realities.

**4. Policies, Procedures, Protocols and Incentives approved:** The 122 results of these reviews and participatory processes to amend/create new policies, procedures, protocols and incentives fall into three main categories:

- *Standard operating procedures.* A total of 103 amendments/additions to the SOPs of the six KSAs were proposed after the CTS Activity-supported workshops with the KSAs. Most of the SOP amendments involved how and when end-users should use the CTS and input relevant data. These amendments/additions were attached to the CTS Activity deliverable regarding the number of processes, procedures, and incentives related to CTS use approved by the GoG KSAs.
- *CTS-Related Policies.* Additionally, five (5) generic or inter-institutional policies were drafted. These new policies had to be created to facilitate proper usage of the CTS. As a result, the CTS Activity worked with the KSAs to define and draft the following five new policies:
  - CTS Software: Terms and Conditions of Use: The main terms and conditions of Use of the CTS Software, that regulate the means of access, use, interaction or participation in the CTS and the duration of access, use, interaction or participation in the CTS;
  - CTS Software: Privacy Policy: On visiting or using the CTS Software it may sometimes be necessary to collect certain information on each of the users. This information needs to remain private and for official uses only. The policy is important because it ensures the preservation of the privacy of CTS users and helps them understand how the software itself uses and protects the information obtained;
  - Policy Agreement on Inter-Institutional Collaboration and Information-Sharing: USAID entered into an agreement with Chemonics International to implement the CTS Activity as a means of supporting the GoG to provide the mechanism for inter-institutional collaboration and information sharing between and among the six actors in the criminal justice sector in Ghana in order to improve the efficiency and effectiveness of investigation and prosecution of criminal cases. An inter-institutional collaboration and information sharing policy agreement was thus signed in February 2020 between and among the Judicial Service of Ghana, the Ministry of Justice and Attorney-General, the Ghana Police Service, the Economic and Organized Crime Office, the Legal Aid Commission, the Ghana Prisons Service, and all other institutions, agencies and entities involved in the criminal justice system in Ghana;
  - Inter-Institutional Policy on Incentives to Encourage Effective Use of CTS: Building upon the previous rationale regarding the necessity of inter-institutional collaboration and information sharing, the same six KSAs also signed an inter-institutional policy on incentives, both positive (such as

honoring the most effective CTS users and including CTS use as a factor in promotions and other institutional benefits) and negative (i.e. such as the imposition of sanctions as a part of the disciplinary regime of the KSAs) to encourage the effective use of CTS. This policy is critical to help users overcome the inevitable resistance that some will manifest regarding the ongoing and consistent use of the new CTS; and

- Policy on Use of Private Devices: This policy establishes the guidelines and protocols for the use of privately and personally owned electronic devices for CTS-related work. This policy is extremely important because even though the CTS Activity is donating sufficient amounts of equipment to the KSAs for using the CTS, this equipment only amounts to 50% of the amount estimated to be needed by the KSAs. The remaining 50% of the equipment will be procured through other sources and, as such, may not be immediate. In the meantime, users will need to use their own computers, cell phones, and/or tablets in some cases. This policy facilitates the use of such private devices until sufficient equipment is available within the KSAs to fully implement the CTS.
- *Protocols.* Additionally, to ensure that the CTS could handle the wide variety of cases that may be presented to it, and in particular several key prioritized crimes, the CTS Activity proposed and provided technical assistance in the design and carrying out of seven Substantive Pilot Applications (SPAs), relevant to six different crime investigation protocols (for corruption-related and organized crime, sexual and gender-based violence, trafficking in persons, cybercrimes, maritime crimes, and border crimes) as well as a protocol regarding the Justice for All (J4A) program, which is being implemented to be able to identify and resolve the cases of prisoners that have “fallen through the cracks” (and are in prison without a valid warrant and a remand date in the future. These protocols were also accompanied by checklists regarding the criminal investigation process, which we included directly into the system. They were elaborated through a series of workshops between investigators (EOCO and GPoS) and prosecutors in the case of the five criminal investigation protocols, and the Ghana Prison System, the Judicial System of Ghana, the Legal Aid Commission, in the case of the J4A SPA.

All SOPs, policies, and protocols were approved in writing and have been implemented by all the KSAs as of February 2020. They have been fully disseminated as a part of the training in CTS use, and have been incorporated directly into the CTS itself for easy access by users.

**5. Monitoring of Compliance with Policies and Procedures:** In order to monitor KSA user compliance with the new policies and procedures, the CTS Activity designed a Policy and Procedures Compliance Audit Instrument (PPCAI) to help KSA regional supervisors and RISGs verify and monitor compliance of end-users with these new processes, procedures, protocols and incentive systems. The PPCAI measures the

following indicators (and can be disaggregated by KSA, region, office, or user) at the push of button by supervisors or other interested parties with access to the same:

- Case Updated Activity (number of cases updated);
- Same Day Arrest Registration (cases in which the case is initiated by GPOS or EOCCO on the same day as the arrest occurs);
- % of cases in which last activity was registered in CTS within one calendar day;
- Activity event (number of cases in which seven days has passed from the date of the occurrence of an event that should be registered in the CTS);
- % of cases in which the prosecutor complies with 60-day rule for responding to requests for advice from GPOS/EOCCO;
- % of case receipt registered by the DPP on the same day from GPOS/EOCCO (request for advice);
- % of cases in which LAC is notified and/or assigned in police stations;
- % of cases in which detained prisoners on remand have an adjourn date in the future in the CTS;
- % of detained persons on remand; and
- % of cases where there is a detained person with an updated non-expired warrant status.

We recently ran the PPCAI for the final time in the four regions where Go-Live roll out is nearly completed (Volta, Northern, Greater Accra, and Ashanti Regions) and found the following results:

- One key indicator that is at 100% in all four of these regions is the % of cases referred to the LAC from police stations. This was a major problem before the CTS, as the LAC often did not know about the arrest and detention of certain individuals (unless the police or a family member informed them directly by telephone, etc.). This has now been largely resolved, as LAC now receives notifications of all new cases created in the system. The CTS also has the option to indicate whether an accused person/suspect has a lawyer or can afford one, so LAC is able to filter cases by these parameters.
- Regarding the compliance with the time periods regarding inputting data, there still are some problems, including some long delays in inputting data, although these have improved somewhat since Q2. For example, regarding the indicator “No. of cases where last activity entered into CTS was entered more than 7 days after it actually occurred,” the following information can be provided (most of which are very high still, although many KSAs claim this is because of connectivity problems: Volta Region, 60%; Northern Region, 76.40%; Greater Accra/Tema Region, 22.5%, which is the lowest of all the regions; Ashanti Region, 36.54%; Upper East Region, 66.43%; Bono Region, 68.80%; and Western Region, 35.42%.
- The indicators for “% of same day arrests by the GPOS” (indicating that the case is initiated by the GPOS and the information is input into the CTS on the same day as the arrest of the suspect as required by the new SOPs in the GPOS) is also very,

very low (which again could indicate poor connectivity, as many regions claim): Volta Region, 0% (but this information seems incomplete); Northern Region, 1.79%; Greater Accra/Tema Region, 4%; Ashanti Region, 1.95%; Upper East Region, 5.13%; Bono Region, 0% (this also seems incomplete); and Western Region, 5.88%, which is the highest of all seven regions.

**6. Encouraging Healthy Competition in the KSAs Regarding Compliance with Processes and Procedures:** In order to motivate CTS users to use the system more, the CTS Activity, along with the GPoS and EOCO, came up with a scheme to encourage a healthy competition among users in different police stations and EOCO offices around the country. This system involved tallying the number of cases inputted from each Go-Live police station and EOCO office, ranking them in order from most to least cases. The information was disseminated through the WhatsApp platforms. Reactions to the rankings were positive and they did indeed serve as a motivating, CM instrument in the GPoS. They were not as effective in EOCO, where fewer cases have been entered into the CTS.

The tables regarding the KSA performance rankings are set forth below. Table 13 below sets forth the rankings for the GPoS:

**TABLE 13: CTS PERFORMANCE RANKING IN TERMS OF CASE CREATION – GPoS BY REGION**

Region	Number of Stations with Cases in CTS	Total Number of Cases Initiated in CTS	Performance Ranking
Volta	48	1,621	1 <sup>st</sup>
Greater Accra	82	1,474	2 <sup>nd</sup>
Northern	24	340	3 <sup>rd</sup>
Tema	36	340	4 <sup>th</sup>
Ashanti	264	144	5 <sup>th</sup>
Western	46	80	6 <sup>th</sup>
Bono	22	60	7 <sup>th</sup>
Upper East	18	58	8 <sup>th</sup>

And Table 14 sets forth the details regarding the rankings in EOCO, which are less positive than GPoS:

**TABLE 14: CTS PERFORMANCE RANKING IN TERMS CASE CREATION – EOCO BY REGION**

Region	Total Number of Cases Initiated in CTS	Performance Ranking
Ashanti	4	1 <sup>st</sup>
Volta	3	2 <sup>nd</sup>
Northern	2	3 <sup>rd</sup>
Tema	2	4 <sup>th</sup>
Western	1	5 <sup>th</sup>
Accra	1	6 <sup>th</sup>
Upper East	1	7 <sup>th</sup>

**7. Sustainability:** The long-term sustainability of the proposed and approved processes, procedures, protocols and incentive systems is based upon having carried out a series of activities by the CTS Activity regarding the same:

- Responsibility for local implementation of the CTS has been delegated to the supervisors of the KSAs at the regional level and the RISGs;
- This local responsibility included and will continue to include roll-out region “training of trainers” sessions regarding the new processes, procedures, protocols and incentive systems, benefits of the CTS, security aspects of CTS, with PowerPoint presentations and pedagogical guides to replicate the trainings;
- All the modified and newly created policies, procedures, protocols, and incentives have been completely documented and “socialized” with all the KSA institutions and staff involved in their implementation;
- They are now uploaded into the CTS itself, so that all CTS users have direct and easy access to them;
- The KSA Heads sent out instructions, circulars, and other communication, possibly to be included on KSA web pages along with the processes, procedures, protocols and incentive systems themselves, including the fact that once Go-Live started that CTS use was obligatory for all relevant users;
- We will encourage and build KSA supervisor capacity to fully enforce these processes, procedures, protocols and incentive systems; and
- We created the PPCAI to monitor compliance with the processes. As a part of the close out process, we have trained KSA supervisors, RISG members and members of the JTF in the use of the instrument (which is, in effect, a customized report produced 100% with information gathered by the CTS system itself).

**8. Challenges:** It was not easy and took a long time to procure the written approval of the new or modified policies, procedures, protocols, and incentives by the KSA heads. With hindsight, the CTS Activity could have involved KSA heads and their close advisors more in the process of defining the new/modified policies and procedures, to the extent possible (although it would not have been easy as the KSA heads have extremely busy schedules). Additionally, more follow-up should have been provided to the various letters and requests for approval. This could have included additional meetings with the KSA heads to explain the details of the new/modified policies, procedures, protocols, and incentives and to facilitate a more rapid approval of the same.

#### **H. Summary of Other Change Management and Communications and Information Sharing Efforts, Successes, and Challenges by the CTS Activity**

**Follow-up Phone Calls to and Activities with GPoS Station Officers:** Since roll out started in January 2020, the CTS Activity provided bi-monthly follow up conversations to key staff in police stations with low case entries in CTS through station officers and occasionally even through district commanders to find out why they are not recording or creating cases in CTS over a certain period of time. Through these follow-up calls and

discussions, a number of stations which previously were underperforming in CTS case creation have improved their performance. The follow-ups also gave the CTS Activity Implementation Team the opportunity to know about the challenges faced by the stations and help in proposing suggested remedies. From the follow-ups, one major concern raised by the station officers or district commanders is poor or lack of internet access to use CTS. Most of them complained of the BNC device internet connectivity either being poor or not working at all, which has negatively affected the number of cases that they have been able to input. In such situations, the CTS Activity Team encouraged them to find alternative internet access such as using their phone hotspots to connect when they have cases to create in CTS. Some are okay with that suggestion, but others are not willing to do that. Further, the project works closely with the GPoS Focal Persons in charge of the distribution and configuration of the BNC devices for CTS use. The CTS Activity has provided guidance to the GPoS FPs to liaise closely with their FPs at the Headquarters and BNC Representatives in the regions to address the issue of some BNC devices not working properly or having poor connectivity.

**Follow-up Phone Calls to EOCO:** EOCO is the KSA that has shown the least use of the CTS system. The CTS Activity conducted a number of follow-ups to EOCO regional directors and CTS designated focal person/IT officers in five regions (Greater Accra, Tema, Ashanti, Northern, and Volta), particularly during Q3 2020, to find out why the EOCO regional offices are not creating/inputting cases in CTS. They gave various excuses ranging from “lack of internet access to use CTS” to “we are still working/preparing the cases for entry in CTS.” In brief, Greater Accra indicated they had not received enough equipment or the expected number of equipment support from CTS as they reason for not using it; the Tema and Ashanti offices indicated they were still “working on the cases for entry in CTS;” the Northern Region office said all their officers that had been trained in CTS had been transferred; and the Volta Region office indicated a lack of internet connectivity as their challenge for not entering cases as the BNC devices provided to them are not working. Withstanding the issue mentioned by each of the five EOCO regional offices, the CTS Activity continued to provide them all the necessary encouragement and motivation to use CTS, including the allocation of additional equipment. Given that the other KSAs are using the CTS under similar circumstances, it is likely that there is resistance occurring within EOCO, which needs to be directly addressed in order to ensure that the CTS is correctly implemented.

**Follow-ups to the remaining four KSAs (AG/DPP, JSG, LAC and Ghana Prison Service):** The CTS Activity has made follow-up calls to these KSAs as well to remind and encourage them to use CTS. The challenge many of them complained about is lack of access to internet connectivity, although they have, for the most part, been using the CTS to the largest extent possible. This is gradually being addressed by the CTS Activity with the provision and delivery of more BNC internet connectivity devices to them.

**Providing CTS information and feedback to implementation issues through KSA WhatsApp Platforms:** The CTS Activity has used the KSA WhatsApp platform

channels extensively to share essential CTS information to all functional users as well as to respond to key questions or CTS usage challenges that come up. For instance, the platforms are being used to disseminate information on CTS case creation performance ranking among Police Stations in each region, which creates positive competition among the stations. Further, the platforms are used to disseminate findings of the CTS Survey Monkey results to functional users. Last but not the least, the platforms are being extensively used to disseminate the availability and access to the CTS Virtual Support Helpdesk lines.

**Coordination with ICT-FPs and RISGs to Manage Resistance to CTS Use:** The CTS Activity has worked closely with the ICT FPs and RISGs members to manage some of the inevitable resistance that KSAs functional users have shown to CTS use. This has worked very well to the extent that now KSAs functional users do not manifest clear resistance to use CTS, as happened in some situations right after roll out, although some of them still use “lack of internet connectivity” as an excuse for not using the system, which in some cases could be veiled resistance as most other users are able to still use the system with intermittent periods of poor connectivity. Many of these functional users are from the GPoS and EOCO. To address that challenge completely, the CTS Activity recommends that the JSG stipulate that only cases in CTS are admitted to court, which would be a negative incentive to encourage CTS usage. If that is done, the Police and EOCO would most likely feel obligated to use CTS as required or face the consequences of not having the cases go to court. There have been some instances of courts in Volta Region refusing to proceed on cases that had not been entered/created in the CTS by the GPoS, which was enforced by the Judge with the direction taken by the Court Clerk.

## SECTION 2 – DETAILS OF SUCCESSES AND CHALLENGES AND HOW THEY WERE MITIGATED DURING THE LIFE OF THE PROJECT

Below is a list of some of the major successes and accomplishments of the CTS Activity.

### SUCCESSSES

- The iterative design and collaborative development process between the GoG and CTS Activity Implementation Team has been the bedrock for its acceptance as the tool that integrates tracking of criminal cases in Ghana -- from their introduction into the system to their prosecution, trial, and sentencing in the courts, and execution of the sentence in prison, improving information sharing and coordination among Ghana's law enforcement and judicial authorities. Its comprehensive design has accommodated over 104 CTS feature functionality updates - 88 were configuration/modification requests; 16 new CTS feature functionalities.
- The CTS Activity successfully deployed a testing phase in four out of the total seven regions and identified a sustainable roll-out process for the remaining three add-on regions. In total, 757 targeted sites across the seven regions had successful deployment - working hand in hand with KSA regional heads to attain the required buy-in and regional and national authorizations for the sustainable use and expansion of the integrated CTS.
- The CTS Activity Implementation Team successfully managed 10 regionally based ICT FPs to localize on-site/in-region support for key roll out activities. This included KSA ToT capacity building and training initiatives, as well as on-site/in-region technical support. This was required to meet the deployment target for the 757 sites across the seven regions.
- The CTS Activity Implementation Team successfully trained 6,262 out of 7,471 functional users (KSA staff) introduced to the system across the seven CTS selected regions. Of these, approximately 5% represented KSA leadership and 18% represented ToTs.
- The CTS Activity trained 6,559 functional users in the benefits of the use of the CTS, a key part of the ICMP change management strategy. A total of 1,761 users were trained in security aspects of the CTS, another key element of the change management strategy.
- The CTS Activity Implementation Team achieved break-through buy in, especially from the GPoS, to undertake support digitization activities for prioritized back-log cases (those at the trial, conviction, investigation, court stage), for input into the CTS as part of the Go-Live Activities. This not only ensured that relevant cases were active in the system, but also provided practical, hands-on training to the functional users. From the onset of the roll-out process the CTS Activity Team supported 50 GPoS Locations to digitize 617 cases as part of the initial preparations for roll out in the four pilot regions.
- Undertook an initiative to develop a CTS Implementation Dashboard application --to provide live updates on go-live activities across the regions to the project team

including the various stakeholders to keep them in the loop of field go-live activities and its notification – in support of a sustainable roll-out process.

- Provision of a CTS eHelpDesk, enabled via phone, email, web < live chat>, and SMS; to streamline and centralize technical support requests; for virtual ticketing/issue resolution where applicable -- for sustained CTS usage and maintenance.
- Sustained engagement and follow up with GPoS ICT unit at the headquarters on CTS know-how and capacity building for more sustained support to their regional/divisional/district level sites.
- Approvals from KSA Heads enforcing CTS Use by staff;
- CTS hosting support by BNC, following the purchase of the appropriate servers by the CTS activity and its sustained hosting to date. In addition, BNC connectivity support initiatives for 754 connectivity devices across the seven regions.
- The CTS Activity has triggered priority reviews for connectivity needs and equipment support requirements across all KSA's. Some smaller sized KSA's with one regional location/site, such as the MOJ/AGD (DPP) have undertaken internal efforts to improve connectivity and equipment needs across their regions since the inception of the program.
- Inauguration of Inter-Regional Support Groups i.e. the Change Management Champions and Regional inter-institutional support group across the seven select CTS regions; and
- Commissioning and training of CTS Joint Task Force and undertaking of its first inception meeting on October 29, 2020.
- New and updated policies and procedures (108) and identified and approved by KSAs;
- HICD assessments completed to determine institutional capacities to implement CTS;
- Increased more fluid communication among KSAs regarding CTS implementation and use;
- Implemented 7 SPA protocols and process maps to improve institutional coordination through CTS use in key areas, including criminal investigation processes in trafficking, sexual and gender-based violence, cybercrime, maritime crimes, corruption, and border crimes;
- Policy and procedures compliance instruments designed and institutionalized;
- Change management trainings and other activities significantly minimized individual and institutional resistance to CTS use, with the slight exception of EOCO;
- Through the training, RISGs and other members of KSAs became fully aware of the use of the ADKAR model and the importance of carrying out on-going change management activities to reduce incidents of resistance to CTS use;

- Sustainability based on activities regarding the same, such as: responsibility for local implementation, roll out regions for ToT sessions, modified and newly created CTS policies, amongst others.

## **CHALLENGES AND HOW THEY WERE MITIGATED**

Below is a summary of the major challenges identified during project implementation, the steps taken by the CTS Activity Implementation Team in close coordination with the GoG and KSAs to mitigate those challenges, and recommendations for further engagement with the GoG on these issues.

### **Challenge 1: Connectivity Gaps at CTS Locations**

*Mitigation Steps and Recommendations:*

- The project worked closely with BNC and the KSAs to facilitate the roll out of BNC internet devices to KSA locations in the seven regions and supported the coordination of BNC representatives and GPoS Communications staff to ensure devices are connected and tested on the online application to validate or rectify connectivity gaps.
- To ensure sustainability, BNC connectivity coverage needs to be expanded, and there needs to be agreement and support at the KSA regional level to sustain internet connectivity for all sites. Together with the JTF, the various institution heads and their ICT Units need to evaluate the data usage at all CTS sites in order to properly budget for this.

### **Challenge 2: CTS Activity Equipment Provision for 50% of the total Equipment needs**

The CTS Activity provided over 50% of the total equipment needs to the KSAs for roll out, with the remaining equipment to be provided by other donors, the GoG, and private sector. Without the full allocation of equipment to CTS locations, the smooth flow of process may be hindered as not all groups of functional users have expected level of access to equipment.

*Mitigation Steps and Recommendations:*

- Significant efforts were made to mobilize resources from other groups. The project was able to leverage 292 existing computers from the JSG for CTS, and the MOJ/AGD (DPP) and its leadership have ensured that all target state attorneys have laptop equipment and offices have the necessary connectivity support. There needs to be ongoing advocacy for additional equipment for KSA units relevant to CTS. This should be focused on initiatives from GoG/the KSAs themselves.
- The project encouraged users to share current CTS provided equipment (the focus on the laptops)/maximize accessibility -- using their unique usernames and access passwords.

- Sustained engagement from the GoG with the private sector and international donor community to support CTS equipment needs for the prioritized justice sector agencies involved in the CTS activity.
- Regional budgeting of CTS Equipment needs (appraised by ICT Unit and submitted to JTF for review) to inform national budgets.

**Challenge 3: Commitment in the Sustainability, Adherence and Enforcement of the SOPs:**

Ongoing policy and procedure support as a very important activity. Without commitment to sustain this review and enforcement, the transfer of full ownership to GoG as a risk. There was some initial lack of adherence to the new policies and procedures, which was in part due to a reluctance to enforce and lack of information or understanding regarding the time-related policies and procedures.

*Mitigation Steps and Recommendations:*

- The project designed and implemented a Procedure Compliance Audit Instrument within the CTS to easily permit supervisors to detect individual and institutional lack of compliance with CTS-related procedures, particularly those related to time periods in which to input the data.
- Inclusion of the sustainability, adherence and enforcement of the SOPs in JTF responsibilities.
- Internalized supervision of the CTS via the administrative arm of the region. (e.g. the staff officers and the units they oversee who have monitoring and reporting duties).
- CTS Policy and Procedure refresher training to be organized in each region on quarterly or mid-year basis. In attendance would be the KSA Heads, the Regional Policy Committees and ToTs / Designated CTS Change Champions/Mentors at each KSA Site. The JTF Technical Committee would supervise this activity.

**Challenge 4: Potential Change in Government or appointment of new KSA Heads under the current government with the upcoming national elections.**

With the importance of KSA leadership in enforcing their units act in accordance with the ratified LOAs, a change in government or replacement of any of the 6 KSA Heads could interfere with the continued progress and momentum of the activity.

*Mitigation Steps and Recommendations:*

- The CTS Activity Implementation Team obtained approvals from all KSAs signifying their commitment to use and sustain the CTS momentum and make progress with roll out to the additional nine regions in the country. These can be referenced in the future if there is an occasion where a new KSA Head proves to be difficult in accepting the change delivered by the CTS Activity

- The establishment of the JTF composed of the Chief Directors of the 4 ministries (Justice, Communications, National Security, and Interior) and the heads of the 6 KSAs mandated to provide supervisory responsibilities over the general CTS activities of the KSAs
- Instituting internal committees within the KSAs who are responsible for communicating CTS and its sustained benefits over time to any newly appointed Head. This activity should be initiated by the current KSA Heads and should be made up of some representatives that were elected for the JTF Technical Committee.

**Challenge 5: Possibility of late data entry due to functional users' time schedule and workload.**

This is a possible occurrence as the survey conducted also indicates that functional users are of the view that using the CTS is extra work, hence the leadership of KSAs have been encouraged to continue to reiterate the importance of the CTS, supervise the real time usage, and publicly recognize officers who are committed to CTS usage – this could be coined into “CTS Champion of the Month” with some positive incentives attached for healthy competition.

*Mitigation Steps and Recommendations:*

- During training, the CTS Activity Implementation Team coached Station Officers to take up the responsibility of reviewing and enforcing that all cases reported on a particular day are entered into the CTS.
- The project created the Procedure Compliance Audit Instrument, which is programmed within the CTS and is an important tool to detect deficiencies.
- Communications that emphasize the need and value of using the CTS application solely as the prioritized case tracking solution. This signifies a complete shift from the manual way of recording and reporting crime to the electronic method that the CTS offers. The various Communication Teams in the institutions need to stress 100% CTS Usage on all communication lines available internally
- Change management activities and leadership support in enforcing that all users under their control effectively use the system. KSA Heads (Regional Commanders, Divisional Commanders, and Chief Directors etc.) should take on appointment of designated high-ranking officers to perform regular checks on usage at the District, Station and unit levels. The CTS usage approvals by the various KSA Heads is a right step in this direction.

**Challenge 6: Consistent demand of some functional users for the provision of allowances and incentives**

Some functional users are of the view that the CTS is extra work, hence believe that they have to be provided with incentives to motivate them to dedicate some amount of time ensuring the successful use of the CTS

*Mitigation Steps and Recommendations:*

- The project developed the Inter-Institutional Policy on Incentives to Encourage Effective Use of CTS, which was approved by the six KSA Heads
- KSA Heads should assess the scope of work and the model of training delivered by ToTs in their various districts, and communicate the budgets needed to support their monitoring and evaluation activity to the National Offices for its address in the National Budget Preparation.
- KSA Heads and JTF should also explore ways by which to support the movement of ToTs to locations outside their permanent location to carry out CTS trainings.

### **Challenge 7: On-site Field Support Reliance**

Key KSAs with more voluminous functional end-users have demonstrated heavy reliance on FP's coming to site to resolve system technical issues that arise. Despite the advocacy of the CTS e-HelpDesk and its reliance since its inception; more end-users prefer to reach out to the ICT-FP's.

*Mitigation Steps and Recommendations:*

- The ToT model utilized by the project has been proven efficient in reaching and sustaining training activities. However, we believe the ratio of functional users to ToTs is still large and that the KSAs will need to continue to select and train more ToTs to effectively carry out the CTS expansion needs.
- Further empower ICT and CTS technical support capacity at the District level and dedicate this know-how solely to support CTS issues.
- Advocate for the need for additional on-site support for an additional one year in the 2021 budgets for KSA's.

### **Challenge 8: Some institutional and individual resistance to the use of CTS**

As to be expected with such a major change in workflows, there was indeed some limited individual resistance to the use of the CTS. There was also some initial institutional resistance by the JSG, and some more substantial institutional resistance by EOCO. Judges are "independent" so typically are difficult to rapidly implement dramatic changes. EOCO investigators and prosecutors, claiming a variety of justifications, did not initially fully use the CTS as much as the other operators.

*Mitigation Steps and Recommendations:*

- It is important to go directly to the heads of the KSAs when institutional resistance is manifested. This was done in both the JSG and in EOCO. As a result, the KSA

heads issued orders to implement the CTS. It was more effective in the JSG, where judges began using the CTS immediately after the President of the Court issued the CTS approval and use order.

- If EOCO resistance continues and investigators are not creating cases and inputting case tracking data, it is recommended that the JSG issue directions to the effect that cases will not be heard in court unless they are registered in the CTS. This will immediately eliminate EOCO (and any GPoS) resistance almost immediately, as these KSAs will not be able to move their cases forward if they do not register them in the CTS.

### SECTION 3 – ACCOUNTING OF NUMBER OF CASES ENTERED INTO THE CTS

#### **Number of Case Creation & Activity Transactions— across the seven Regions and KSAs**

A total of 6,028 cases have been created across the seven regions with the breakdown as indicated in Table 15 follows:

A detailed display of the number of cases created per each location is captured as Annex 3. These cases are inclusive of back-log cases entered during digitization activities.

**TABLE 15. BREAKDOWN OF NUMBER OF CASES CREATED PER KSA BY REGION**

REGION	# OF CASES CREATED	
	GPoS	EOCO
Volta	1,858	1
Northern	423	2
Greater Accra	2,2924	1
Ashanti	393	4
Upper East	115	2
Bono	127	3
Western	174	1
<b>Total</b>	<b>6,014</b>	<b>14</b>

#### ***Process Compliance Audit Instrument (priority statistics)***

These created cases have undergone a series of activities undertaken by the various KSAs in the criminal justice delivery cycle. Some of the priority audit measures for CTS activities performed by the various KSAs on live cases registered include:

- Case Updated Activity
- Case Forward Activity
- Same Day Arrest Registration
- % of cases in which last activity was registered in CTS within one calendar day
- Activity event (inactivity for last 7 days)
- % of cases in which the prosecutor complies with 60-day rule
- % of case receipt registered on the same day from GPoS/EOCO
- % of cases in which LAC is assigned in police stations
- % of cases in which detained prisoners on remand have an adjourn date in the future in the CTS

Summarizes of these activities are seen in the figures below, spanning a timeframe between January 1 to October 29, 2020 by the six KSA locations across the seven CTS targeted regions.

A CTS case update is when a case is updated or modified by a user. Figure 5 below showcases the summaries for the GPoS on the number of times there have been case update actions performed on the cases created.

**FIGURE 5: CTS CASE UPDATE ACTIVITY SUMMARIES**

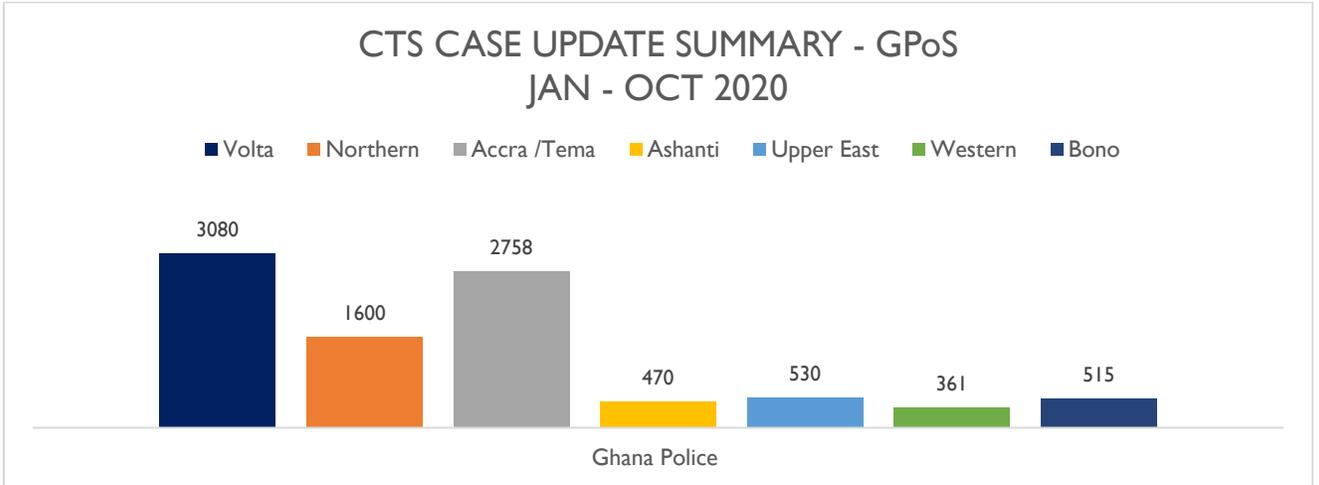


Figure 6 below gives a count of the number of cases forward, which are cases that have moved from one KSA to the other to complete the CTS case life cycle.

**FIGURE 6: CTS CASE FORWARD ACTIVITY SUMMARIES**

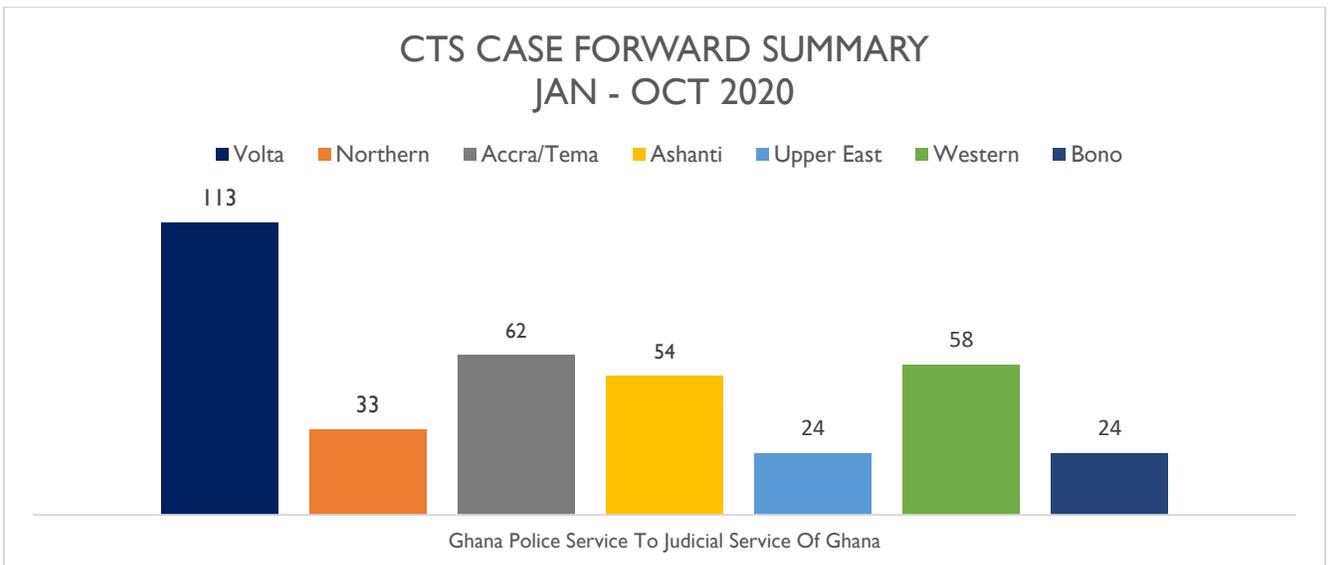


Figure 7 below gives an overview of same day arrest registration, which is a representation of the percent number of cases in which the details of the arrest of a detainee are registered in the CTS on the exact same day. Note that Volta and Bono reported 0% compliance.

**FIGURE 7: % OF SAME DAY ARREST REGISTRATION**

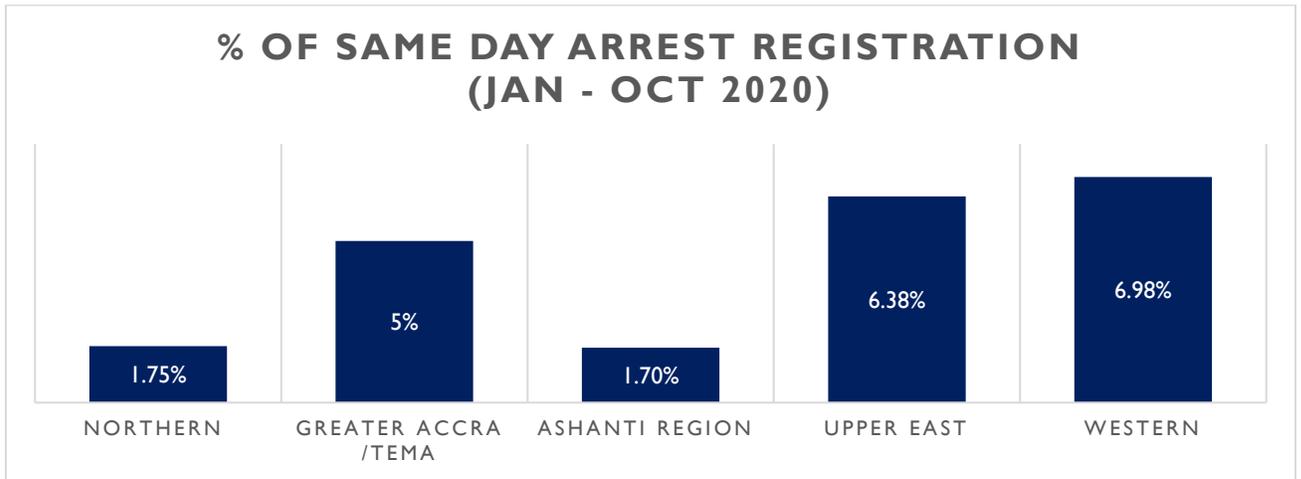
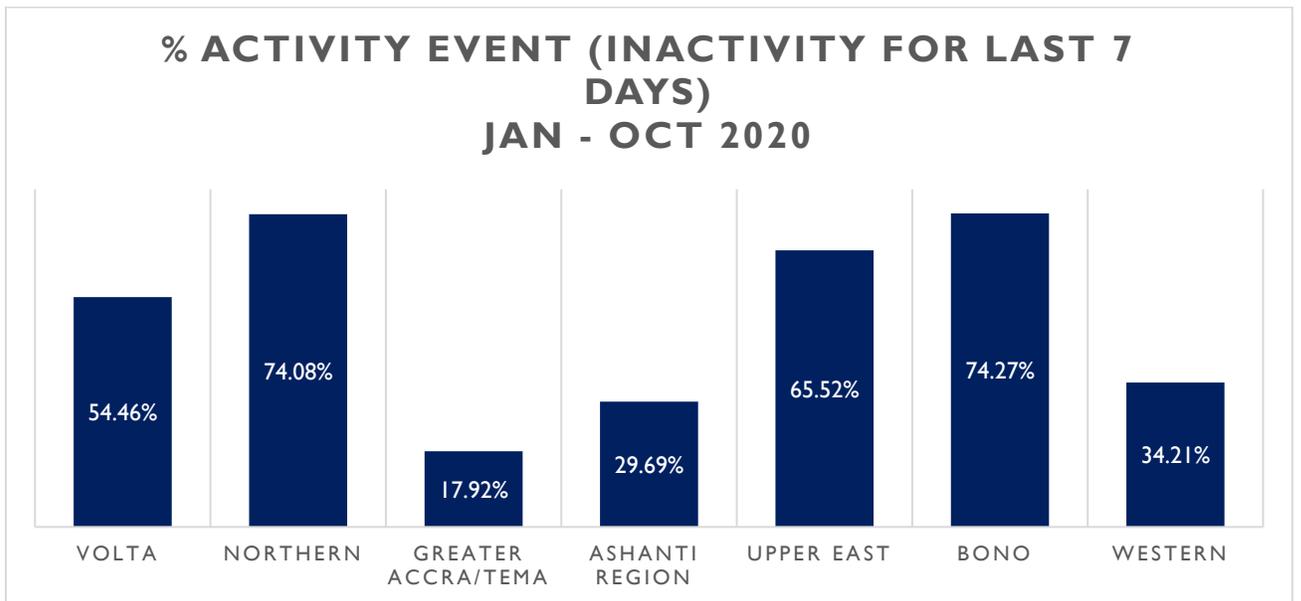


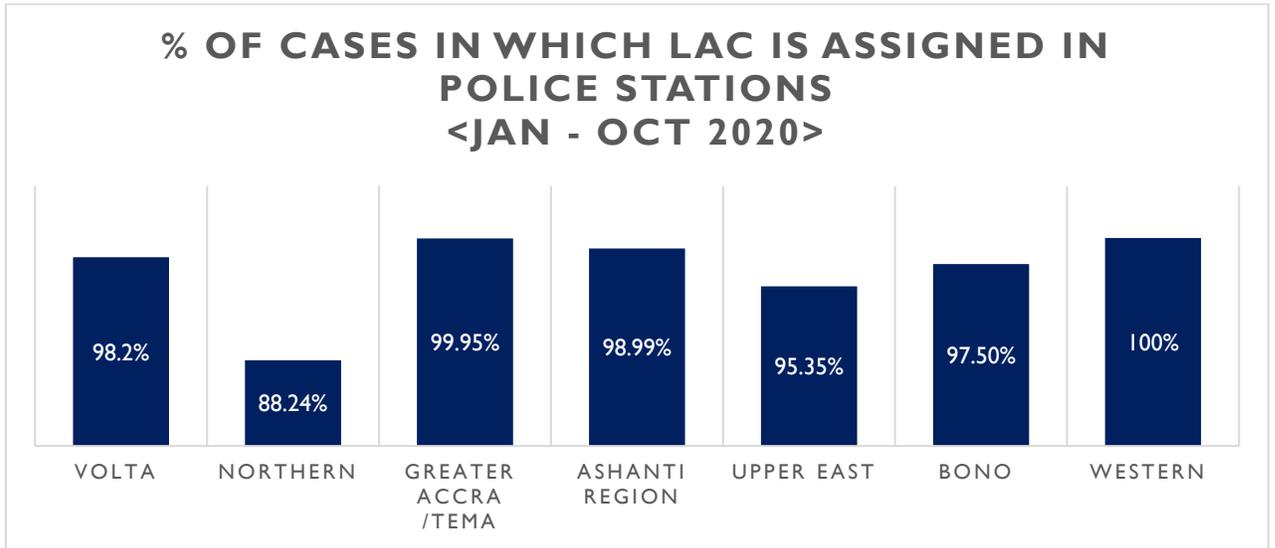
Figure 8 below is a representation of the percentage of the number of cases in which last activity was registered in the CTS more than 7 days from the date that such activity actually occurred.

**FIGURE 8: % ACTIVITY EVENT (INACTIVITY FOR LAST 7 DAYS)**

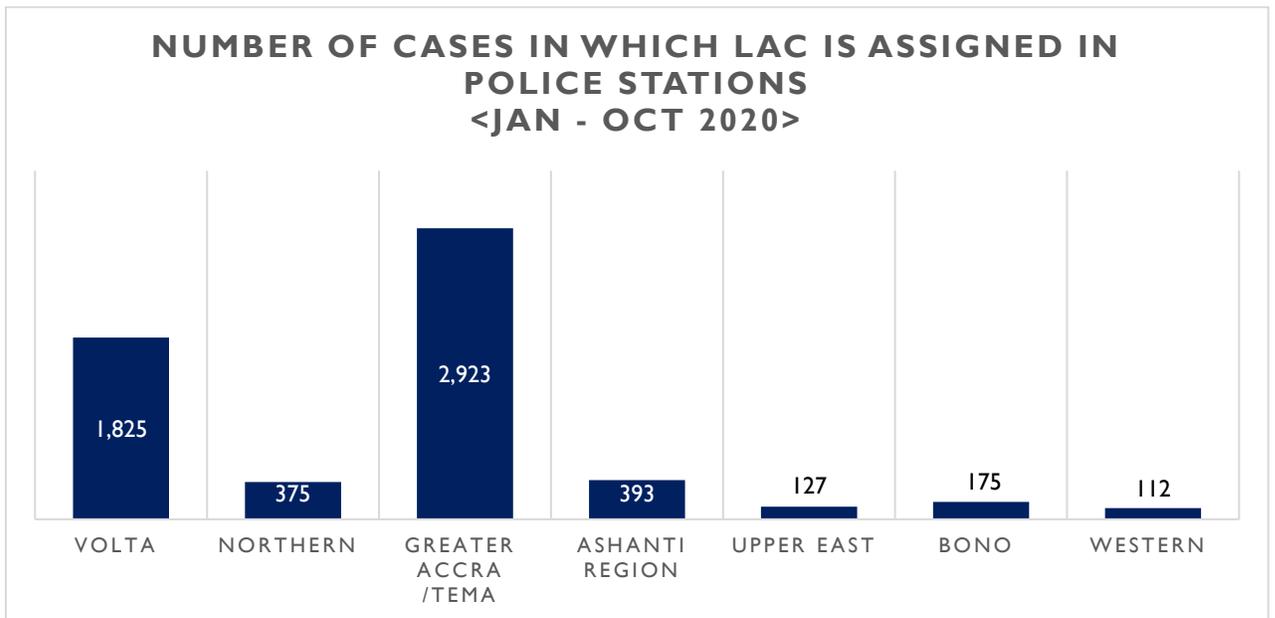


This is a representation of the percentage of cases in which the LAC is assigned to represent accused persons within police stations. These numbers are very high and very positive, as it means that the LAC is being informed of detentions at a time in the process where effective representation can be provided. Before the CTS, the LAC was very rarely informed of on-going detentions. As such, this is a huge success of the CTS. See Figures 9 and 10 below.

**FIGURE 9: % OF CASES IN WHICH LAC IS ASSIGNED IN POLICE STATIONS**



**FIGURE 10: NUMBER OF CASES IN WHICH LAC IS ASSIGNED IN POLICE STATIONS**

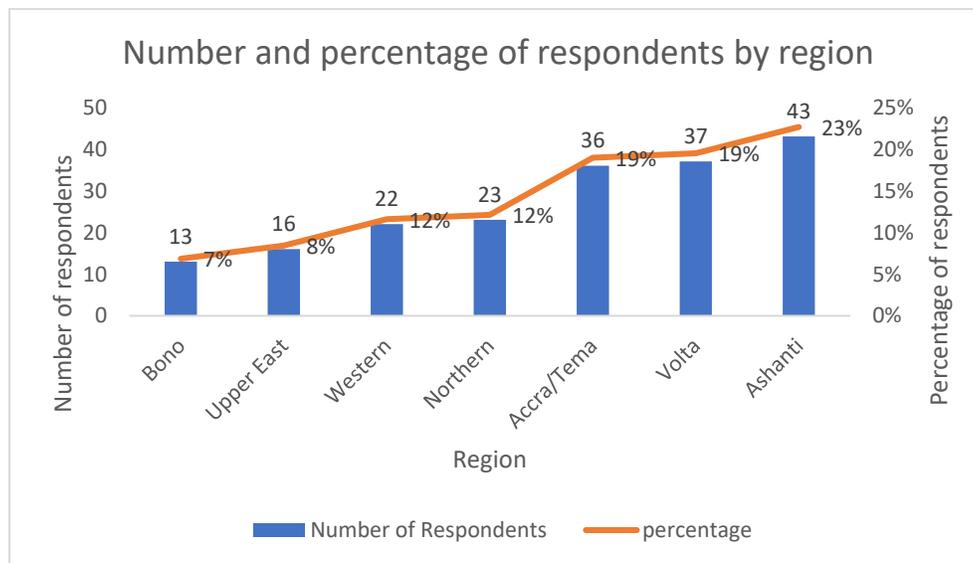


## SECTION 4 – RESULTS OF END-USER AND OTHER RELEVANT GOG STAKEHOLDER SURVEYS

The CTS Activity collected feedback from functional end-users on their experience with using the system. This was done using SMS blast and online data collection tool, SurveyMonkey, which was shared through formats such as SMS and official CTS User Group Regional WhatsApp platforms, and supplemented with phone calls. The survey was rolled out on September 30 through October 30, 2020 and involves personnel of the GPoS, EOCO, GPrS, JSG, DPP, and LAC, who have been trained to use the system.

One hundred and ninety (190) respondents took part in the survey, comprising 156 males (82.1% of respondents) and 34 females (17.9% of respondents) from the six KSAs of the seven CTS regions namely, Greater Accra/Tema, Ashanti, Volta, Northern, Western, Bono, and Upper East. Ashanti region had the highest number of respondents (n=43; 23%), followed by Volta (n=37; 19%), Greater Accra/Tema (n=36; 19%), Northern (n=23; 12%), Western (n=22; 12%), Upper East (n=16; 8%) and Bono (n=13; 7%). Figure 11 depicts the details of respondents.

**FIGURE 11: NUMBER AND PERCENTAGE OF RESPONDENTS BY REGION**

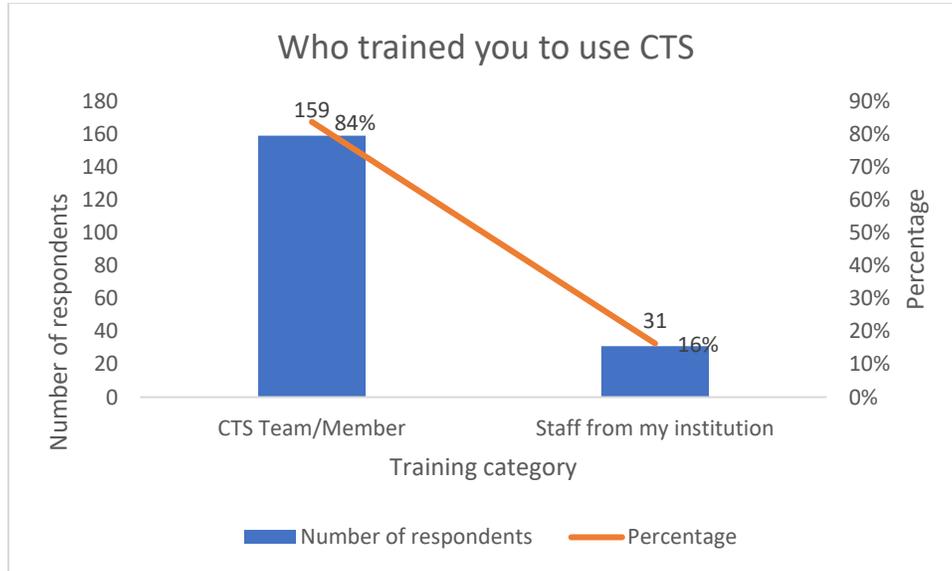


Source: Project survey data, October 2020

### QUESTION: WHO TRAINED YOU TO USE CTS?

Out of the 190 respondents, 159 (84%) received training from CTS Activity Implementation Team and 31 (16%) received training from within their institution. This is indicative that capacity building and knowledge transfer had been successful and KSAs are willing to do internal capacity building on the use of the system. This also reveals that the ToT strategy has been successful, and it could progress very well when KSA internal mechanisms are appropriately triggered for that purpose.

**FIGURE 12: TRAINING EXECUTION CATEGORY**

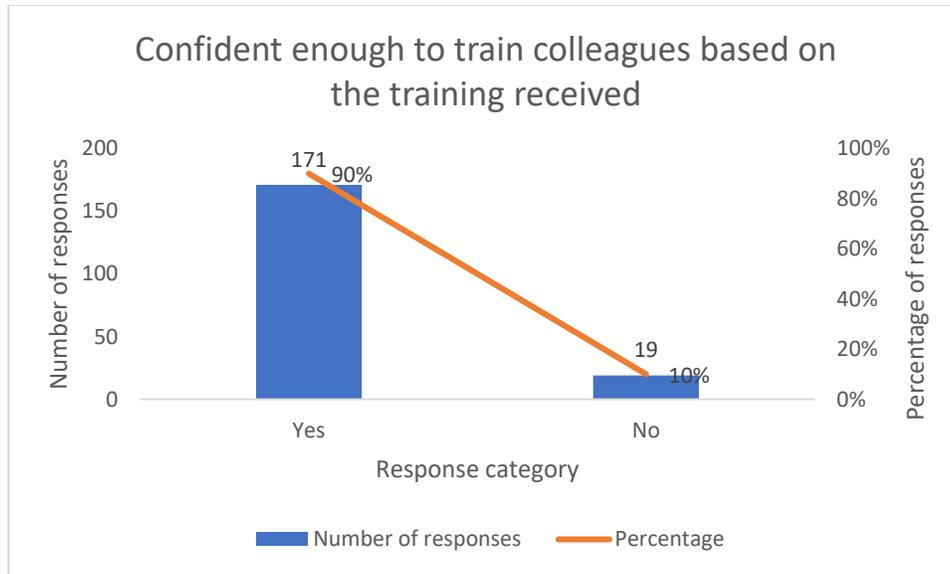


Source: Project survey data, October 2020

### QUESTION: CONFIDENCE ON TRAINING OTHERS TO USE THE SYSTEM

Out of the 190 respondents, 90% are confident enough to train colleagues based on the training they received. Those not confident enough could be the result of nonuse of the system or practice after receiving training. Internet connectivity challenges delayed the use of the system in several sites. The delay could have led to forgetfulness of the key areas trained, and a refresher training program could be helpful to revive their knowledge on use of the system and confidence levels.

**FIGURE 13: CONFIDENT ENOUGH TO TRAIN COLLEAGUES BASED ON THE TRAINING RECEIVED**

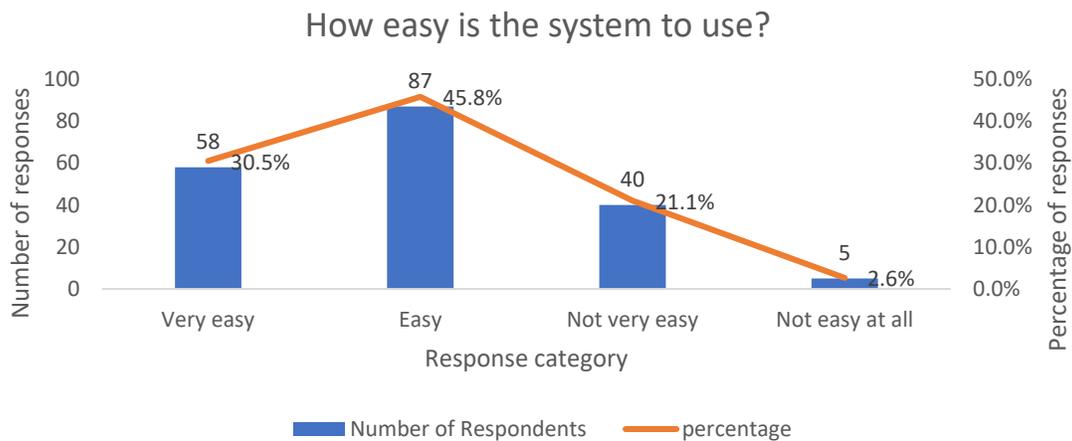


Source: Project survey data, October 2020

**QUESTION: HOW EASY IS THE SYSTEM TO USE BY REGION AND KEY STAKEHOLDER AGENCY?**

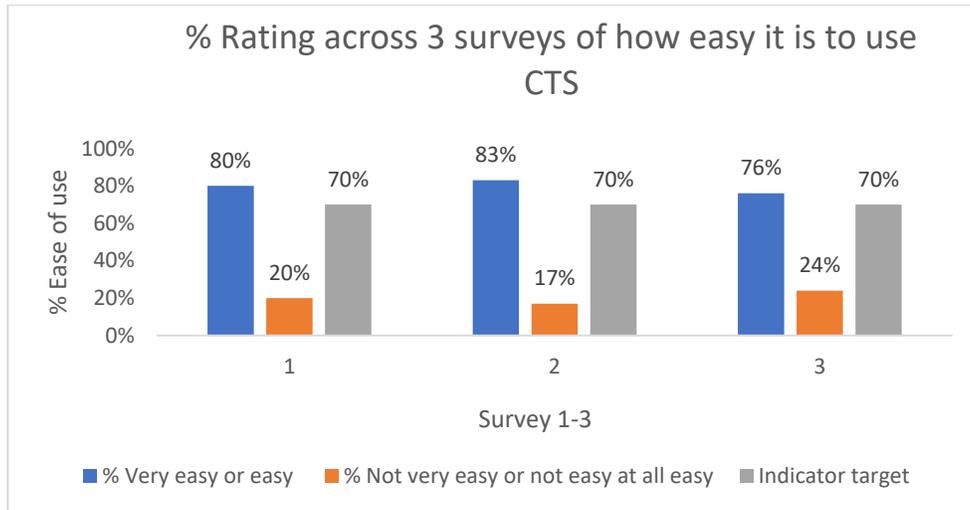
The data indicates that KSAs either find the system very easy to use (n=58, 30.5%), easy to use (n=87, 45.8%), not very easy to use (n=40, 21.1%) and not easy at all (n=5, 3.6%). It is conclusive that the majority of respondents consider CTS very easy or easy to use (n=145, 76.3%). The more than 70% rating of respondents as the system being easy to use has been consistent over the period of CTS implementation (see Figure 14). A comparative analysis of respondents' ratings of the system as either very easy or easy to use over 3 end-user surveys are presented in Figure 15.

**FIGURE 14: HOW EASY IS THE SYSTEM TO USE?**



Source: Project survey data, October 2020

**FIGURE 15: % RATING ACROSS 3 SURVEYS OF HOW EASY IT IS TO USE CTS**

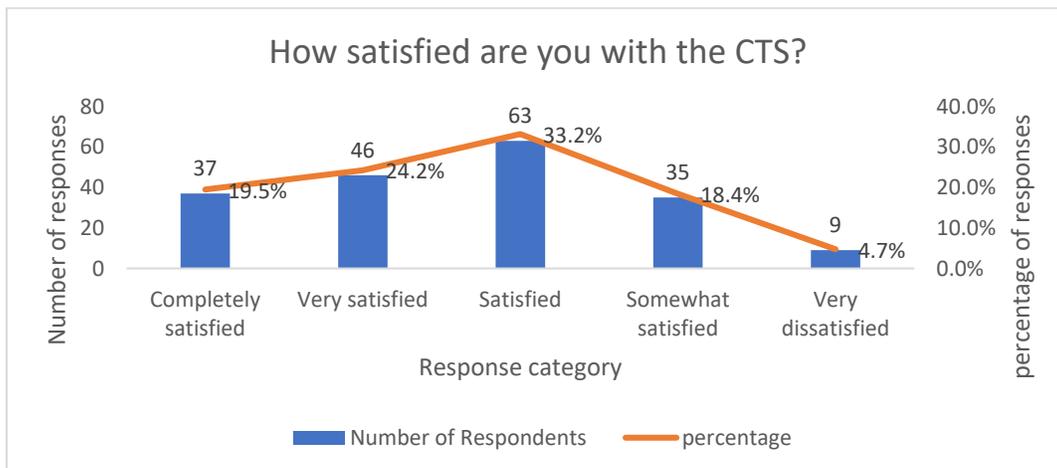


Source: Project survey data, March, July and October 2020

**QUESTION: USER SATISFACTION BY REGION AND KEY STAKEHOLDER AGENCY**

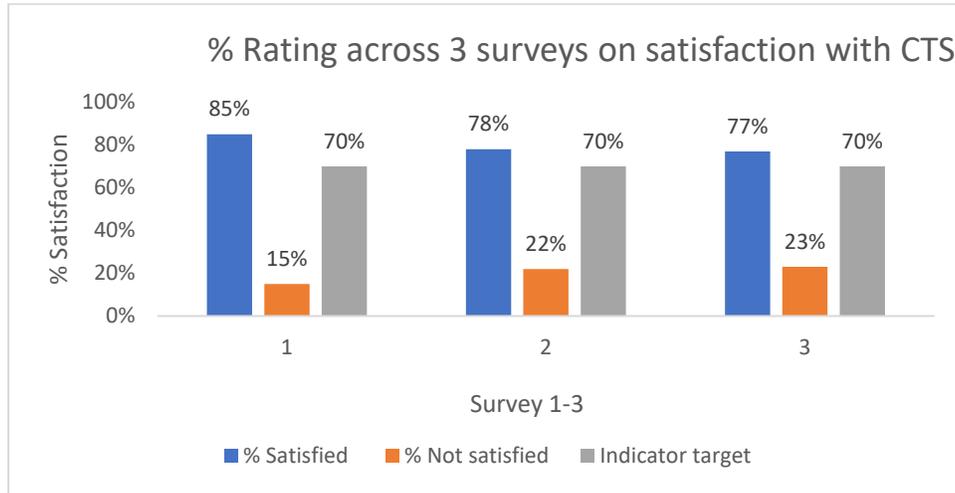
The 190 respondents indicated that they are completely satisfied (n=37, 19.5%), very satisfied (n=46, 24.2%), satisfied (n=63, 32.2%), somewhat satisfied (n=35, 18.4%) and very dissatisfied (n=9, 4.7%). Generally, the majority of respondents are either satisfied, very satisfied, or satisfied with the CTS (n=146, 76.9%). The target of the project is to have respondent’s satisfaction rating of at least 70%. Figure 16 demonstrates the ratings from the most recent survey. A comparative analysis of respondents’ ratings of their level of satisfaction with the system (completely satisfied, very satisfied or satisfied) over 3 end-user surveys are presented in Figure 17.

**FIGURE 16: RESPONDENTS SATISFACTION LEVEL WITH CTS**



Source: Project survey data, October 2020

**FIGURE 17: SATISFACTION RATINGS OVER 3 END-USER SURVEYS**

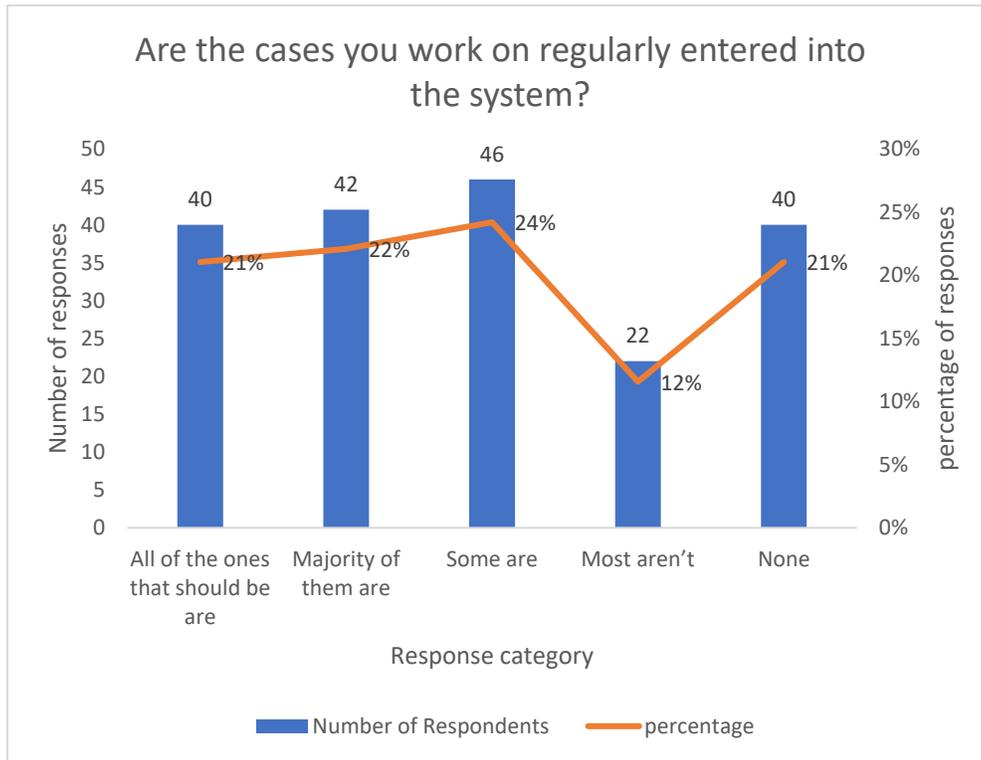


Source: Project survey data, March, July and October 2020

**QUESTION: REGULAR ENTERING OF CASES INTO THE CTS BY REGION AND KEY STAKEHOLDER AGENCY**

To the question of whether the cases the respondents work on regularly are entered into the system, the 190 respondents indicated that all of the ones that should be are entered into the system (n=40, 21%), majority of the cases are entered into the system (n=42, 22%), some of the cases are entered into the system (n=46, 24%), most of the cases aren't entered into the system (n=22, 12%) and none of the cases are entered into the system (n=40, 21%). The respondents indicated that the cases they work on regularly are being entered into CTS in the form “all of the ones that should be are,” “majority of them are” or some are” (n=128, 67%). The cases that are not entered into the system in the category of “most aren't” and “none” (n=62, 33%) are largely due to internet connectivity challenges which is partly beyond the project's scope of work.

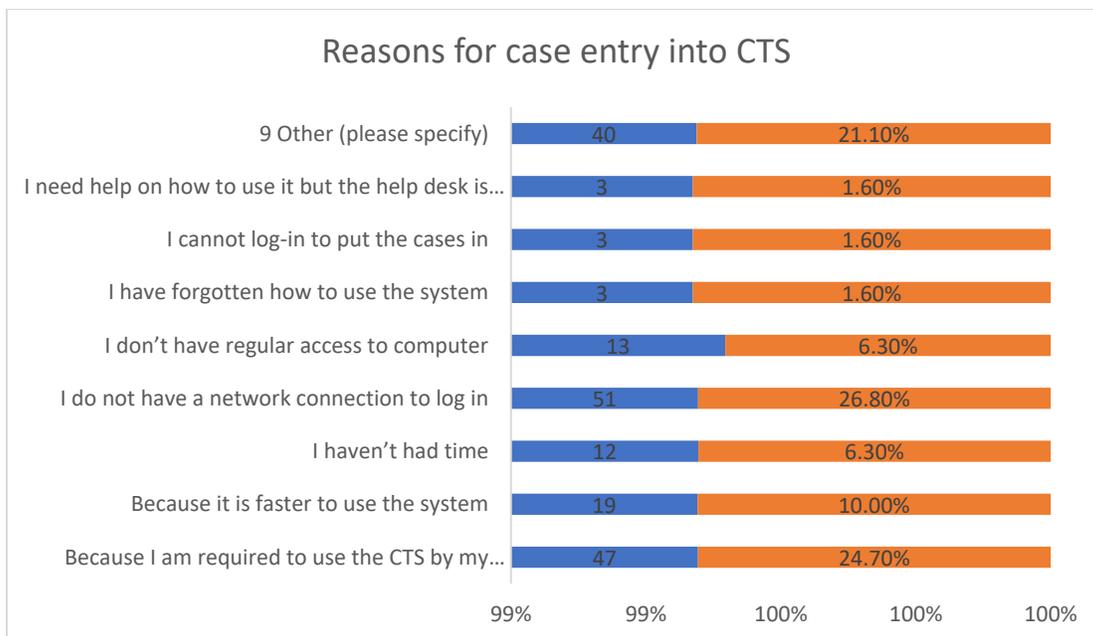
**FIGURE 18: CASE ENTRY INTO CTS**



Source: Project survey data, October 2020

**QUESTION: REASONS FOR CASE ENTRY INTO CTS**

**FIGURE 19: REASONS FOR CASE ENTRY INTO CTS**



Source: Project survey data, October 2020

The following are the key reasons why the cases respondents regularly work on are either entered in the system or not but not limited to:

- **Agency/Institution requirement to use the system.** 24.7% of respondents indicated that they use the system because their agencies/institutions required them to do so. This is remarkable and shows that with the required logistics in place, and strong leadership support, the system would experience widespread usage.
- **Faster to use the system.** 10% of respondents also indicated that they use the system because “it is faster to use the system”. By faster, they consider the system as quick enough to facilitate their daily work. As the system is also intended to make work easier and faster for the KSAs, this rating testifies that the system is meeting stakeholder needs.
- **Internet connectivity challenges** – 26.8% of the respondents indicated that the reason for not entering cases into the system is because they “do not have a network connection to log in” the system
- **Lack of time to use the system.** 6.3% of respondents indicated they aren’t using the system because they “haven’t had time” to use. This could only be an excuse if such people consider the system as not in the mainstream of their work. This situation could be resolved when the system is integrated into their daily work as a requirement of the agency/institution.
- **Lack of access to equipment.** 6.3% of respondents indicated that they are not entering cases into the system because they “don’t have regular access to a computer”. Institutional policies and resource availability could address this challenge of equipment needs.

## Indicator Performance Tracking Table (IPTT)

### IPTT Assumptions:

- No baselines -A baseline using end users has been determined to be impossible or not feasible to achieve scientifically. The CTS is a new system that has been designed to measure and meet KSAs expectations and needs to be user friendly. Perhaps, a baseline could be determined after the system has been used for at least one year and data from the system would be used as baseline for the subsequent year
- No targets set for some of the indicators-as indicated earlier, CTS is a new system being introduced in the Ghanaian criminal jurisprudence. The goal is to reach all potential KSA staff to train them to use the system. Any relative target set here is based on assumptions and desires
- No variance -There is potentially no variance established due to no targets for some indicators.

S/N	Indicator	Indicator type	Data source	Baseline Date	Target	Actual	Remarks
1	Number of KSA staff trained to use the system	Project based/Custom	Training participants list or sign-in sheets and CTS MIS Report	0		6,262	The goal is to reach all potential KSA staff to train them to use the system
2	% of KSA staff trained to use the system who rate themselves as satisfied, very satisfied, or completely satisfied with the system	Project based/Custom	CTS User survey report	0	70%	77%	At least 70% ratings from respondents required.
3	Number of cases entered into the CTS by KSA trained staff	Project based/Custom	Case Registers of KSAs, CTS MIS Reports	0		6,028	All criminal cases are expected to be entered into the system by the Police and EOCO
4	Number of days to process criminal cases from complaint/arrest to disposition	Project based/Custom	CTS MIS Report	0		371.8 days	Overall case processing time from arrest to close in CTS

S/N	Indicator	Indicator type	Data source	Baseline Date	Target	Actual	Remarks
5	Index rating of likelihood of a suspect remaining in police custody without an indictment or without formal charges by the prosecutor, or by the competent judicial or administrative authority	Project based/Custom	World Justice Project Rule of Law Index	0		.42	Linked to World Justice Program
6	Number of justice sector institutions that use the system at district, regional, and national levels	Project based/Custom	CTS MIS Report	0	757	757	All estimated KSA sites have been reached
7	Number of KSA staff trained who participated in the testing, piloting and roll out phases of the system	Project based/Custom	Training participant lists/sign in sheets, System audit trail report/CTS MIS report	0		6,262	All KSA staff trained are expected to participate in using the system
8	% of KSA staff trained that rate the system as being easy to use	Project based/Custom	Testing surveys, mid-line and final survey	0	70%	76%	At least 70% ratings from respondents required.
9	Number of new/amended policies, procedures, and incentives for use of system	Project based/Custom	Policies, Procedures, and Incentives Deliverables Report	0		122	Policies for each of the six (6) KSAs, as per deliverable CLIN0003d report
10	Number of KSA staff members trained on change management by Change Management Committee members or their representatives	Project based/Custom	Project record, including BSC	0		6,559	

## **SECTION 5 – STRUCTURES FOR SUSTAINING CTS IN GHANA**

### **CTS EHELPDESK CONFIGURATION AND USE**

The CTS Activity Implementation Team developed and “operationalized” the CTS eHelpdesk to further enhance KSA staff members access to technical support for continuous usage of CTS. The eHelpdesk contacts are toll free numbers with MTN that each KSA staff member can call anytime for the needed support. The eHelpdesk contact information has been circulated extensively through all KSA platforms (and through the CTS brochure) for onward distribution to all staff members. Review conducted on the frequency of calls to the eHelpdesk placed by KSA staff members is still low. It is noted that the KSAs still prefer to call the ICT FPs based in the regions for technical guidance and to address their questions to the Helpdesk. The ICT FPs have intensified reminders to KSAs to utilize the eHelpdesk as it remains available for use in the long term. The CTS Activity team continues to re-circulate the eHelpdesk contact information to the RISGs and other KSA platforms. As part of activities to advocate for CTS usage, IBG has sent SMS blasts to 7000 users admonishing the use of CTS.

The eHelpDesk is also scheduled to place calls to functional users also as a means to boost the eHelpDesk awareness while also resorting to that as a means of providing virtual support to locations that may be experiencing CTS related issues.

The eHelpDesk is currently available to all the KSAs across all the regions and would remain available within the one-year, post-project service warranty agreement between the Interregional Bridge Ghana Limited and the GoG.

### **CTS TOT MODEL FOR SUSTAINED TRAININGS**

The ToT module has been adopted particularly for the Ghana Police Service due to their huge numbers of end-users to help bridge the identified gap for trainings. The basic requirement for the ToT selection was for a user with some degree or level of ICT knowledge/literacy. This ToT approach adopted by CTS continues to greatly support and has accounted for the large number of users trained, as capacity is continuously provided by the ToTs to the other functional users in the absence of ICT FPs/SIE. This approach has been and would also be instrumental in the sustenance of the deployment/implementation roll-out of CTS as ToTs continuously expand knowledge within the agencies. There would also need to be the need to identify and obtain approval for the financial support model to incentivize ToT’s to be committed to their task of building CTS Capacity, ensuring continuity past the donor support period.

### **JOINT TASK FORCE**

The CTS Activity Implementation Team sustained discussions with the Chief Directors of the four key ministries (Justice, Communications, National Security, and Interior) for the formation of a Joint Task Force (JTF) to lead and manage CTS implementation beyond the current phase. The JTF, which was commissioned on September 29, 2020, is charged with the day-to-day administration of the CTS post-project, in addition to other change management and sustainability measures already put in place by KSAs and the Activity team – RISGs in the regions, KSA staff who are trained as trainers (ToTs) to continuously expand knowledge within the agencies, Letters of Agreements signed by KSAs to sustain

funding and equipment support to expand CTS use within the agencies, etc. The JTF will lead efforts next year, with support from IBG on the efforts described below. For CTS sustainability, it is recommended that the JTF carry out expansion needs to cover:

1. Incorporating the Special Prosecutor's Office for Corruption (SPOC) as a KSA user with full input capacity given its importance in investigating and prosecuting complex and high impact crimes involving serious corruption;
2. Including templates for routine actions, motions, notices, etc. The incorporation of automated arbitrary case assignment (and prevention of unauthorized re-assignment through audit trails) to reduce opportunities for corruption and balanced caseloads (in DPP, LAC, and possibly Police Prosecutors) with management discretion built-in, based on case load and other factors;
3. Creating the capability to assign cases to specialized units (which may eventually be created) through the use of "crime characteristic checklists" for priority crimes to ensure appropriate institutional referrals in accordance with relevant criminal and procedural laws (such as to the EOCO or to the GPoS, depending on pre-established criteria);
4. Incorporating management dashboards with charts and graphic capacities, which is important for high-level buy-in and increasing satisfaction levels;
5. Transitioning the CTS into a full-scale Case Management System. To date, efforts to create complete KSA-specific case management systems have not succeeded in any of the KSAs. This is largely, although not solely, due to the narrow scope of these KSA-specific activities. By connecting the various actors within the criminal justice sector, the CTS provides the single greatest opportunity for a true inter-institutional case management system, such as exists in many other countries (i.e. Rwanda). This would require significant funding and time, but the CTS is laying a solid foundation and represents an easy-to-use system for our GoG partners;
6. Expanding to additional KSAs. At the moment, EOCO and the GPoS are the only GoG agencies with investigatory and/or arrest power to be involved in the CTS. The significant list of other agencies with similar authority are all strong candidates for future inclusion in the CTS. This includes the Ghana Maritime Authority, the Ghana Customs Authority, the Food and Drug Authority) and the Ghana Immigration Service. Many of these have expressed interest in being part of the CTS;
7. Providing access for civil society organizations. USAID's efforts to engage Ghanaian civil society in a co-creation process for their involvement in the CTS have been admirable. Without a firm commitment of funding for these efforts, however, it is unlikely that civil society access will be granted prior to the closeout of the CTS Activity. The CTS can very easily be adapted for limited view access for civil society for monitoring purposes;

8. Publishing crime statistics by the GoG. The CTS Activity will increase the sharing of information within the GoG and, naturally, encourage the publication of data. It is, however, unlikely that a full crime statistics publication process will be up and running prior to the closeout of the CTS Activity. This could be part of a future CTS expansion;
9. Promoting the development/deployment of an effective and efficient case management systems (CMS) among KSAs that do not yet have such a system in order to promote access to data from the CMS and enable mutual feeding of data off the local CMS and CTS; and automate case management for streamlined integration into the CTS;
10. Automating all the interface template that acts as a means to link all KSAs, for example, the charge sheet, remand warrant, conviction warrant etc. in order to improve the communication/information sharing efficiency across all KSAs; and
11. Including biometrics for identification of at least all suspects/accused persons for the identification of the right person and for tracking of recidivists.

#### **EQUIPMENT PROVISION FOR FACILITATION AND SUSTAINABILITY OF CTS USE**

Access to the remaining equipment needs is central to effective use of the case tracking system by the KSAs. The CTS Activity has provided 863 laptops and 860 tablets to all six KSAs in the seven regions. More than 80% of the equipment distributed went to the Police that has the largest geographical coverage among the six KSAs. In addition to the CTS-donated equipment distributed to the KSAs, the CTS Activity Implementation Team has also leveraged 249 existing computers from Judicial Service of Ghana through the DANIDA M&E project with some courts across the country. The CTS software will be installed on 43 existing computers at the 43 High Courts at the Law Court Complex in Accra; only Tablets will be provided by CTS to these courts per the CTS equipment allocation and distribution plan to the courts. Similarly, based on data submitted by the KSAs, more desktop computers and laptops have been identified by the implementation team to install CTS on the existing equipment during rollout in Bono, Western and Upper East regions to expand staff access to computers for CTS use.

**TABLE 16: CTS EQUIPMENT DISTRIBUTION —ACROSS 7 REGIONS**

KSA	# of Laptops Distributed								# of Tablets Distributed							
	VR	NR	AR	GAR	WR	UER	BONO	Total	VR	NR	AR	GAR	WR	BONO	UER	Total
GPoS	92	41	207	218	87	37	58	<b>740</b>	67	28	185	187	71	47	26	<b>611</b>
JSG	1	3	11	13	8	2	1	<b>39</b>	22	11	56	54	23	17	11	<b>194</b>
EOCO	2	1	1	3	2	2	2	<b>13</b>	1	1	1	3	1	1	1	<b>9</b>
LAC	1	1	1	1	1	1	1	<b>7</b>	1	1	1	1	1	1	1	<b>7</b>

DPP	2	2	2	2	2	2	2	14	1	1	1	2	1	1	1	8
GPrS	6	6	15	4	10	4	4	49	3	6	8	4	5	2	2	30
MOI/JTF				1				1				1				1
<b>Total</b>	104	54	237	242	110	48	68	863	95	48	252	252	102	69	42	860

The Domestic Violence and Victims Support Unit (DOVVSU) of the Ghana Police Service continues to coordinate with UNICEF to get more equipment. In March 2020, UNICEF agreed to fund the CTS equipment needs (computers, tablets and potential internet connectivity) of the DOVVSU and requested the Criminal Investigation Department of GPoS to submit a formal request for the equipment to enable DOVVSU to effectively use the CTS. Several follow ups have been made to the head of Criminal Investigation Division at GPoS Headquarters, but the request is yet to be submitted. Nevertheless, UNICEF confirmed its commitment to support DOVVSU to use the case tracking system fully and effectively.

### **EQUIPMENT REPLACEMENT, REPAIRS AND MAINTENANCE**

As with any equipment, there is the possibility that the CTS equipment could be either stolen or damaged. This would therefore render some locations with no equipment for CTS use and result in the halt of the CTS by that location. It is for this reason that all agencies have been made to sign MOUs, which explicitly indicates that the responsibility for the replacement, repair and maintenance of these devices lies solely on the KSA, should be done at the agency’s expense and must be done within a short period of time. Additionally, CTS has blocked all social media sites which are likely to be used by end-users during or after working hours and which could lead to dissipation of airtime and constitute abuse of office hours.

### **DEPLOYMENT OF INTERNET CONNECTIVITY FOR EFFECTIVE USE OF CTS**

BNC signed an agreement with the CTS implementation team to deploy internet connectivity to the six KSA sites to facilitate the broader use of CTS. In line with its procedures, the BNC requested all KSA heads to submit written requests for the internet connectivity devices which have since been submitted by all. In total, 754 internet connectivity devices have so far been delivered to KSAs, which is critical as internet cost constitutes an important parameter or driver for sustained CTS use.

Table 17 below presents the number of devices deployed by BNC to each KSAs to date, highlighting the number of devices that have been fully configured and used by KSAs in the field to access the Live CTS domain for day-to-day usage of the system. Thus far, 195 connectivity devices have fully been set up and used to access the Live CTS at various KSAs sites in the seven regions. The respective KSA leadership have also been advised to explore existing internal mechanisms to access internet connectivity (how they access the internet to send emails for examples) to leverage for CTS to complement the limited coverage of the BNC network in some parts of the country.

**TABLE 17: COUNT OF BNC CONNECTIVITY DEVICES PER KSA**

<b>KSA</b>	<b>Number of BNC Connectivity Devices received at National HQs</b>
<b>GOS</b>	500
<b>JSG</b>	100
<b>EOCO</b>	36
<b>LAC</b>	16
<b>DPP</b>	72
<b>GPrS</b>	30
<b>Total</b>	<b>754</b>

## **POST PROJECT WARRANTY**

As part of the deployment support and to ensure sustainability of the system following the handover of the CTS to the GoG, the CTS Activity has pre-paid a 12 month limited warranty and technical support arrangement for IBG to continue to support the GoG. The technical support service will be effective from January 9, 2021 to January 8, 2022. IBG's obligation under the Software Warranty is to correct reported and reproducible errors in the CTS Software while providing technical support to the KSAs, including the JTF and BNC, as defined below:

- Installation, operation, and/or configuration of the CTS software components delivered.
- Prompt Responses/eHelpdesk Call Center Support; to be accessed via WhatsApp, Email, Web with availability between 8:30 AM to 4:30 PM Monday to Friday excluding Ghanaian holidays with a response duration of a maximum of one (1) business day.
- CTS Expert Guidance – access to all technical expert know-how on the CTS (Technical Support Team);
- CTS Remote Issue Support: covering virtual support only and excluding on-site support;
- CTS Remote Re-Installation Support;
- Web-based Trainings/Webinars for KSA ToTs – scheduled training/webinars once every quarter for ToTs;
- Integrated Self-Learning Manuals (eLearning tutorials with possible tutorial videos on curriculum);
- Capacity Support for JTF: documented schedule for JTF sustained capacity-building and training activities phased within the first 6 months on a monthly basis. The maximum amount of time for the training shall be between 6 and 8 hours. IBG shall not be responsible for setting up of meetings and their associated costs. IBG shall come only as invited guests to the organized location

## **SUPPORT TO JUSTICE SECTOR SUPPORT ACTIVITY**

Since the launch of the Justice Sector Support (JSS) Activity in October 2020, the CTS Activity Implementation Team has been working together with the Legal Resource Center (LRC) to ensure knowledge transfer for effective implementation.

The JSS Activity seeks to monitor and sustain the implementation of Ghana CTS in 40 target districts in seven regions of Ghana, combining mutually complementary methodologies including; rights-based, people-centered and an enhanced social accountability approach based on lessons learnt in the justice space.

To support the successful take off of the project, the CTS Activity has been in close coordination with the JSS Chief of Party and Policy Specialist to share documentation and knowledge gathered over deployment of the CTS, and to discuss opportunities for increasing sustainability. Through these discussions and collaborative exchanges, the CTS secretariat is seeking to position LRC as a strategic partner to the JTF/JTF TC to promote the effectiveness of KSAs in using the CTS. Our observations from 3 years of implementation confirms that a strategic partner like the LRC will be beneficial to the activities of the JTF/TC in providing support for strengthening capacity and further roll out of the CTS across the country.

At a meeting held on November 17, 2020 LRC and the CTS Secretariat agreed on the following actions:

- The CTS Activity to introduce the JSS COP and her team to KSAs and to create opportunities for closer collaboration;
- The CTS Activity to collaborate with KSAs to create opportunities for the JSS team to participate in the JTF and/or the JTF – TC meetings. The first of its kind is scheduled for December 3<sup>rd</sup>, 2020.
- The CTS Activity will provide training on the CTS application for the JSS technical team; and
- The CTS Activity will share contacts of knowledge groups at the regional and district level, such as the RISGs, to support JSS's advocacy efforts.

The CTS Activity Implementation Team has also shared the following documentation with JSS to further support their activities: KSA-approved SOPs and Protocols, KSA written approvals of CTS Use, reports on meetings and the launch of the JTF, contacts of RISGs in the 7 regions. The CTS Post Project Warranty will be shared upon execution.

The CTS Activity Implementation Team continues to open its doors to the JSS Activity and LRC to provide the necessary support and handholding for the remainder of our period of performance.

## SECTION 6 – NEXT STEPS

### NEXT STEPS

1. IBG to continue with call center (“eHelpDesk”) usage campaigns for more utilization through regular sharing of the contact numbers to KSA staff;
2. Equipment campaigns for internal KSA equipment provision to expand CTS usage; to be followed up by JTF;
3. Solicitation for funding by the JTF to continue CTS implementation across the remaining 9 regions; and its sustenance across all 16 regions.
4. Discussions to be held with the JTF team on the need to follow up with initiatives to create mirror/backup of CTS Server, which is currently being housed by BNC at the JSG;
5. IBG to carry out Phase 2 CTS training of BNC staff which covers a refresher training on previously discussed areas spanning: CTS server environment architecture maintenance, management of the CTS application hosting hardware, deployment of the CTS application and its databases in time of downtime as well as troubleshooting any application connectivity related issues or static data inclusion requests;
6. Follow up discussions by the JTF to discuss and agree on continued learning approaches with training schools (Police Academy and JTI) and Human Resource Units of the various KSAs; and
7. The need to roll-out a more consistent and sustainable internet connectivity for the CTS Case workflow to operate properly. Follow up discussions with BNC on cost estimates submitted and its presentation to JTF/GOG in this transition phase to initiate steps towards its address.

**Final Steps regarding Change Management and Communications and Information Sharing:** The next steps by the CTS Activity regarding the CM and CIS activities in the ICMP should include the following:

1. Distribute the new, simplified BSC Excel sheet with only six key indicators, and with all of the regions in the country already included, to the JTF) and JTF TC members. With so many indicators, many of them relatively complicated, the process of collecting data for all the indicators has been complicated for the RISGs. With Activity support, they have managed to do it. Without Activity support this would be very difficult, if not impossible to maintain over the rest of the CTS roll out in the eight remaining regions. This new BSC sheet has been finalized internally by the CTS Activity and is ready for delivery to the JTF on December 3;

2. Train the RISGs and the JTF and JTF TC in the use of the new BSC excel sheet and the “stoplight” monitoring system and deliver the product to them. Provide assistance in defining roles and responsibilities regarding their use. This training will be done well before the Activity close out.
3. Continue to disseminate the content of the new or modified policies, procedures, protocols, and incentives to the end-users of the CTS and transfer this function to the JTF and the JTF TC. To be effective as change management tools, the end users need to know the contents of the new or modified policies, procedures, protocols, and incentives. The CTS Activity has already designed materials to assist in training of trainers including PowerPoint presentations, a pedagogical guide to replicate the course, a summary document of the key contents of the new or modified policies, procedures, protocols, and incentives and pre- and post-tests and other related documents. These can be used by the JTF to continue with the trainings and with the dissemination of the new/modified policies and procedures. The trainers should be given reporting documents to report on the number of persons receiving the training on the new or modified policies, procedures, protocols, and incentives.
4. Continue to assist the KSAs in disseminating the new/modified policies, procedures, protocols, and incentives through various communications activities, including through WhatsApp, massive e-mails, on the web pages of the various KSAs, and in CTS training. This will be carried out through the end of the CTS Activity.
5. Continue to encourage the KSA change champions in the various regions to send out mass e-mails to CTS end-users with the new or modified policies, procedures, protocols, and incentives during the roll out phase for each region. Sending out the new or modified policies, procedures, protocols, and incentives during rollout, close to the time that the end-users will receive their training and start to use the CTS. This will be more effective compared to sending the documents to all potential end-users at this time. This will be carried out through the end of the CTS Activity.
6. Continue to monitor the implementation of and compliance with the new or modified policies, procedures, protocols, and incentives on at least a monthly basis, starting one month after the CTS goes live in each region, using the improved PPCAI. This will be carried out through the end of the CTS Activity and will then be transferred to the JTF TC.
7. Train the JTF and the JTF TC (via a joint training session) in the technical and supervisory use of the improved PPCAI.

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