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**PROVINCIAL DEVELOPMENT PLANNING IN PAPUA NEW GUINEA
AN APPRAISAL**



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**PROVINCIAL DEVELOPMENT PLANNING IN PAPUA NEW GUINEA:
AN APPRAISAL**

by

Agogo Mawuli and Osborne Ogis Sanida

**NRI
The National Research Institute**

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Cover photo, courtesy of Dennis Badi.

Damaged roads like these are common in many provinces — a result of poor planning?

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PREFACE

This publication by the National Research Institute reviews development planning at the provincial level in Papua New Guinea. The review is the third in a series of assessments of development planning in Papua New Guinea. The first was the *Review of the MTDS, 2005-2010* (Mawuli *et al* 2006). The second was the *Review of Transport Development Planning in Papua New Guinea* (Mawuli and Sanida 2008).

At the provincial level, development planning dates back to the early 1980s. However, the formal legal/constitutional requirement to conduct development planning at the provincial level commenced in 1995, when the *Organic Law on Provincial Governments and Local-level Governments* (OLPG&LLG) was enacted. The OLPG&LLG imposed a mandate on each province to formulate and implement a 'rolling five-year development plan and rolling annual budget'. However, this constitutional requirement has not been satisfactorily complied with, more than a decade after its enactment, with only a handful of the provinces having produced two development plans, while some have not completed even one. Many of the plans seem to be grossly deficient in several respects. The prime objective of this study is to analyse the conduct of development planning at the provincial level and make appropriate recommendations for improving the planning practices. It is hoped that improvements in plan formulation and implementation would in turn contribute to achieving the development goals and objectives of the provinces.

The study was funded by a research grant from AusAID, for which we are grateful. We are also grateful to the provincial administrators, planners, policy advisors and other key-informants for the interviews and information (particularly the planning documents and their experiences) provided during the fieldwork in sixteen provinces. Thanks are also due to Lindsay Kutan and Ronald Sofe, Economic Studies Division (ESD), NRI, for assistance with the tabulation of the data. Last, but not the least, we thank an anonymous reviewer and Peter Johnson, ESD, NRI, for their helpful comments and suggestions on an earlier draft of this report. However, the views expressed and any shortcomings of the study rest with the authors alone.

Agogo Mawuli and Osborne Ogis Sanida

ABBREVIATIONS

AAP	Annual Activity Plan
ARB	Autonomous Region of Bougainville (or North Solomons Province)
CCP	Cross-Cutting Plan
CP	Corporate Plan
DDP	District Development Plan (five-year, rolling)
DNPM	Department of National Planning and Monitoring
ESD	Economic Studies Division
DSG	District Support Grant
DSP	District Sector Plan
EHP	Eastern High Highlands Province
EHPA	Eastern Highlands Provincial Administration
ENBP	East New Britain Province
EP	Enga Province
ESP	East Sepik Province
FLRPA	Fly River (Western) Provincial Administration
GP	Gulf Province
JPP&BPC	Joint Provincial Planning and Budget Priorities Committee
LLG	Local Level Government
LTP	Long Term Plan
M&E	Monitoring and Evaluation
MaP	Madang Province
MBP	Milne Bay Province
MEF	Monitoring, evaluation and feedback
MIS	Management Information System
MnP	Manus Province
MoP	Morobe Province
MTDP	Medium Term Development Plan
MTDS	Medium Term Development Strategy
MTRF	Medium Term Resources Framework
NDP	National Development Plan
NEFC	National Economic and Fiscal Commission
NIP	New Ireland Province
NLTP	National Long Term Plan
NMA	National Monitoring Authority
NRI	The National Research Institute
NSP	National Sector Plan
OLPG&LLG	Organic Law on Provincial Governments and Local-Level Governments
OP	Oro Province
PDP	Provincial Development Plan (five-year, rolling)
PIP	Public Investments Program
PLTP	Provincial Long Term Plan
PNG	Papua New Guinea Vision 2050
PPT	Project Planning Team
PSP	Provincial Sector Plan
SHP	Southern Highlands Province
SP	Sandaun Province
WHP	Western Highlands Province
WNBP	West New Britain Province
WP	Western Province

EXECUTIVE SUMMARY

Despite the long history of development planning in Papua New Guinea (PNG), it appears that the plans have several short-comings in their formulation, implementation, and monitoring and evaluation. The development planning dates back to 1963 at the national level, and to the early 1980s at the provincial level (Mawuli *et al*, 2006).

In tune with its major tasks of conducting applied research and advising the national government, the lower-level Governments and the line Departments and Agencies, the NRI decided to review the development planning at the provincial level in order to throw light on the level of planning; appropriateness of the planning practices and issues relating to implementation and monitoring.

Study Objectives

The study has three key objectives:

- to determine the extent of planning for the different types of plans;
- to analyse the contents of the plans in order to determine the soundness of planning; and
- to throw light on the constraints that have impeded the planning, implementation and monitoring of the plans.

Methodology

In order to achieve the study objectives, two types of data were gathered. Firstly, the researchers collected the various (available) planning documents and related materials during visits to 16 provinces. The analysis of the plan documents (namely numbers and contents) was used to answer the first two study objectives. Secondly, during the provincial visits, the researchers held consultative meetings/interviews with key-informants; that is, the planners and other relevant officers of the Divisions and Programs. The meetings/interviews were aimed at gathering the key-informants' experiences, views, and perceptions on the key aspects of planning and implementation. The views of the key informants formed the basis for addressing the third study objective.

Analysis, Results and Conclusions

The analysis, results and conclusions for each study objective are as follows. In terms of the first study objective, the researchers counted the number of each type of plan against the expected numbers, as a measure of determining the extent of planning. The conclusion was that there was a low level of planning in the provinces for all the six types of plans: provincial long term plans (PLTPs), provincial development plans (PDPs), provincial sector plans (PSPs), cross-cutting plans (CCPs), corporate plans (CPs) and annual activity plans (AAPs).

In relation to the second study objective, the authors analysed the contents of two types of plans (namely PDPs and PSPs) using an appropriate analytical framework, which is based on a conventional planning framework. The overall results suggest that the plans were not soundly formulated. This was evident by the:

- poor documentation of the planning process;
- inadequate documentation of the provincial and sector profiles;
- inadequate specification of the mission, vision and values;

- inadequate specification of the plan objectives;
- poor formulation of the implementation plans; and
- poor specification of the monitoring, evaluation and feedback protocols.

Finally, for the third objective, the authors analysed the views and comments of the key-informants and the authors' general observations about the planning, implementation and monitoring constraints. The key constraints that emanated from the views were:

- lack of a formal planning process;
- lack of data collection and weak information management;
- lack of resources;
- poor monitoring and evaluation;
- poor intra-plan linkages;
- poor inter-plan linkages;
- lack of synergy in the plan life-cycles;
- lack of networking and coordination; and
- lack of political and administrative support.

Recommendations

Based on the analysis, results and conclusions, the authors make the following recommendations:

- Increase the level of planning by actively encouraging and supporting the planning entities to conduct planning.
- Improve the formulation of the plan documents by:
 - adequate documentation/discussion of the planning process;
 - discussing the provincial and sector profiles;
 - proper specification of the plan objectives;
 - proper formulation of the implementation plan; and
 - improving the formulation of the monitoring, evaluation and feedback protocols.
- Address the planning, implementation and monitoring constraints by:
 - having a strong and effective planning process;
 - improving data collection and information management;
 - strengthening capacity building;
 - increasing the level of development finance and improving its management;
 - increasing logistical support;
 - improving the monitoring and evaluation;
 - strengthening the intra-linkages of the plan components;
 - strengthening the inter-linkages of the plans;
 - synchronising the life-cycle of the plans;
 - improving networking and coordination; and
 - strengthening the political and administrative support.

Areas for Further Research

The study highlighted certain areas for further research, which could provide further knowledge and understanding of the planning issues in order to improve future plan formulation and implementation. These areas include:

- focussed case studies for the planning and implementation constraints;

- review of the provincial long term plans' contents;
- review of the cross-cutting plans' contents;
- review of the corporate plans' contents;
- review of the annual activity plans' contents; and
- review of the district development plans.

INTRODUCTION

The Review Objectives

The main objective is to appraise the development planning at the provincial level in Papua New Guinea (PNG). The development planning is employed as an instrument of the enhancement of the provincial welfare; that is, improving economic growth, provincial development and the standard of living. The *Organic Law on Provincial Governments and Local-level Governments* (OLPG&LLG), which was enacted in 1995, has imposed a mandate on each province to formulate and implement a 'rolling five-year development plan and rolling annual budget'. This constitutional requirement has not been satisfactorily complied with. More than ten years on, a handful of the provinces have produced two development plans and some have not completed even one. Many of the plans seem to be grossly deficient in several respects.

This appraisal has three key objectives:

- First, to determine the extent of planning for the different types of plans.
- Second, to analyse the contents of the plans in order to determine the soundness of planning. This done by analysing the key components of a plan such as:
 - plan formulation process;
 - profile of the province and sectors;
 - mission, vision and values;
 - goals and objectives;
 - implementation plan, including the strategies, implementing entities, timelines, resource needs and success measures; and
 - monitoring, evaluation and feedback protocols.
- Third, to throw light on the constraints which have impeded the planning, implementation and monitoring of the plans.

A development plan basically comprises development policies that are meant to create an enabling economic and social environment that promotes growth and development. Its ultimate goal is to improve the welfare and lifestyle of the citizens of the province.

In order to achieve the above three objectives; the study addresses the following key questions:

- For objective 1:
 - What is the extent of planning for the various types of plans at the provincial level: Provincial Long Term Plan (PLTP), Provincial Development Plan (PDP), Provincial Sector Plan (PSP), Cross-Cutting Plan (CCP), Corporate Plan (CP) and Annual Activity Plan (AAP)?
- For objective 2: The authors focus their analysis on the PDPs and PSPs, and ask the following questions.¹
 - Do the plans document their formulation process?
 - Have the plans adequately discussed the provincial and sector profiles?
 - Do the plans have a vision, mission and values, and are they properly stated?
 - Are the goals and objectives of the plans framed properly?

¹ Due to resource constraints, the analysis of the contents of the other types of plans are left for further research (See Section 11)

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- Is the implementation or action plan properly formulated in terms of the specification of its strategic initiatives, implementing entities, timeframes, resource needs and success measures?
- Do the plans have adequate monitoring, evaluation and feedback protocols?
- For objective 3:
 - What are the planning and implementation constraints/problems, according to the views of the key-informants as well as the authors' observations?

Background

Despite the long history of development planning in PNG it appears that the plans have several short-comings in their formulation, implementation and monitoring and evaluation. The development planning dates back to 1963 at the national level, and to the early 1980s at the provincial level.

The Colonial Administration of the Territory of Papua and New Guinea established a Central Planning Office in 1963, with a Project Planning Team, which was charged with the task of identifying development projects that were later known as Public Investment Programs (PIPs).

The first development plan was named the *Project Planning, 1963-1967*, which was subsequently followed by:

- *Economic Development Planning, 1967-1972*;
- *Eight Point Improvement Plan, 1973-1975*;
- *National Development Strategy, 1976-1985*, which for the first time was accompanied by a resources framework known as the *1976-1985 National Public Expenditure Plan*;
- *National Development Plan, 1986-1990*, with a Medium Term Development Program;
- *Development Plan, 1989-1997*, with the *1989-1997 Public Investment Program*;
- *Medium Term Development Strategy (MTDS), 1997-2002*, which incorporates the Medium Term Resources Framework (MTRF);
- *MTDS, 2003-2007*, with MTRF, which was abandoned; and
- *MTDS, 2005-2010*, with 2005-2007 MTRF, which is meant to be a three-year rolling plan (Mawuli *et al* 2006).

More than 40 years have passed (since the first development plan in 1963) and the national development planning has produced uncertainties. The trends have exhibited frequent name changes of the plans and the planning authority. Likewise, the plans' formulation, implementation and timeframes have changed. The latest MTDS, which is a third in the series of MTDSs, has been highly commended.

However, a group of researchers at the National Research Institute (NRI) have reviewed it and found some significant flaws in its formulation and implementation and monitoring and evaluation protocols (Mawuli *et al* 2006).

The *Review of the MTDS, 2005-2010*, by the NRI in 2005 was the first in the series on the Development Planning Program that the NRI has put in place since 2005. The appraisal of the Provincial Development Planning is the third in the series, which follows from a *Review of the National Transport Development Planning, 2005 to 2010*. It is time that the Provincial

Development Planning should also be appraised, like the other two reviews, in order to recommend ways of improving it.

The Review Scope

In tune with its major tasks of conducting applied research and advising the national government, the lower-level Governments and the line Departments and Agencies, the NRI decided to review the development planning at the provincial level. Four main issues of scope concern the study.

First, in terms of the number of provinces to be visited/covered, the original intention was to visit and gather information from all the twenty provinces, comprising 19 provinces² and the National Capital District (NCD).³ However, due to circumstances beyond the authors' control, only 16 provinces were covered. The 16 provinces were: Autonomous Region of Bougainville (ARB), Eastern Highlands Province (EHP), East New Britain Province (ENBP), East Sepik Province (ESP), Enga Province (EP), Gulf Province (GP), Oro Province (OP), Madang Province (MaP), Manus (MnP), Milne Bay Province (MBP), Morobe Province (MoP), New Ireland Province (NIP), Sandaun Province (SP), Western Province (WP), Western Highlands Province (WHP) and West New Britain Province (WNBP). Despite not covering all the provinces, in the authors' opinion, a sample of 16 provinces (which is 80 percent of the total number of provinces) is an adequate sample to undertake the study.

Second, in analysing the presence/absence of the different types of plan documents (see Section 4), the researchers cover all the six different types of plans; that is, Provincial Long Term Plans (PLTPs), Provincial Development Plans (PDPs), Provincial Sector Plans (PSPs), Cross-Cutting Plans (CCPs), Corporate Plans (CPs) and Annual Activity Plans (AAPs). However, in discussing the contents, the authors' focus is just on two of the plan types: PDPs (Section 6) and PSPs (Section 7). Analyses of the *content* of the other types of plans (PLTPs, CCPs, CPs and AAPs) are left for further research (see Section 11: Areas for further research).

Third, when conducting the interviews/meetings, the researchers only covered the key-informants, that is, planners and key officers of the provincial administration and sectors or divisions, but not all personnel involved in the planning and implementation process. The rationale and potential problems associated with this approach are discussed in Section 3.3.

Finally, the authors take a strategic planning approach to development planning; hence the framework (see Section 5.1) applied to analyse the PDP and PSP contents is based on the components of a conventional strategic plan.

² The 19 provinces at the time of research (2006) were: Bougainville, Central, Eastern Highlands, East New Britain, East Sepik, Enga, Gulf, Oro (or Northern), Madang, Manus, Milne Bay, Morobe, New Ireland, Sandaun (or West Sepik), Simbu (or Chimbu), Southern Highlands, Western, Western Highlands, and West New Britain. In 2009, legislation for two new provinces (Hela and Jiwaka) was passed by Parliament, which if implemented (in 2012) would increase the number of provinces by 2.

³ For convenience, in the rest of the document, we use "20 provinces" to mean "the 19 provinces, *per se*, plus NCD."

Presentation of the Review

The balance of the review is organised into ten sections, as follows:

- Section 2 provides the rationale for provincial development planning in PNG, focussing on the legal, governance, historical and economic, and public finance management rationales.
- Section 3 discusses the methodology, focussing on the data types and collection, analysis procedure and limitations of the approach.
- Section 4 analyses the presence/absence of the six different types of plan documents.
- Section 5 crafts a framework which will be used for analysing the content of the two plan types (namely PDPs and PSPs).
- Section 6 investigates the PDPs against the relevant expectations of the framework in Section 5.
- Section 7 analyses the PSPs against the relevant expectations of the framework in Section 5.
- Section 8 discusses the planning, implementation and monitoring constraints, according to the views of the key-informants and/or the authors' general observations.
- Section 9 provides the main results and conclusions.
- Section 10 presents the key recommendations of the study.
- Section 11 concludes the review with suggestions of the areas for further research.

THE RATIONALE FOR PROVINCIAL DEVELOPMENT PLANNING

This section discusses the rationale for development planning at the provincial level. Section 2.1 discusses the legal basis, which is the most direct or explicit rationale for the need to undertake development planning at the provincial level. Section 2.2 discusses the planning rationale from a governance perspective, focusing on the need to avoid duplication of government responsibilities for advancing development aims. Section 2.3 provides the historical and economic rationale for development planning. Finally, Section 2.4 provides the rationale from a public finance management perspective.

Legal Basis

The most direct rationale for development planning at the provincial level is legal, which relates to the requirements under the *Organic Law on Provincial Governments and Local-level Governments* (OLPG&LLG) that was passed in 1995 (Government of Papua New Guinea, 1996). The law imposed legal obligations on the provincial and local-level governments to formulate and implement rolling five-year development plans. The requirement for provincial development planning is contained in Section 25(3) (d) and (e), which requires the Joint Provincial Planning and Budget Priorities Committee (JPP&BPC) to draw up a rolling five-year development plan and annual estimates for the province and to conduct annual reviews of the rolling five-year development plan.

In the context of the study, since the passing of the OLPG&LLG, it would be expected that the level of planning in the provinces should have increased. This expectation is tested in Section 4.

Governance Rationale

In the complex set-up of Papua New Guinea's government and administrative structure, there is need for development planning by the three tiers of Government: the National Government, the Provincial Government and the Lower-level Governments, which comprise Districts, which in turn are composed of a number of Local Level Governments (LLGs).

Wards are the basic settlement units or villages which form a Local Level Government (LLG). It is a constitutional requirement that each tier of Government must formulate and implement 'a rolling five-year development plan and a rolling annual plan', as discussed in Section 2.1 (above). There is no clear demarcation of responsibilities of the three main tiers to provide the development needs — the social and economic infrastructure and programs.

Therefore, development planning may be seen as the mechanism or tool to provide clear demarcations of the roles and responsibilities of the three tiers of government in providing the development needs. This would minimise or eliminate the duplication of the roles and resources that each tier of government has to provide.

The Historical and Economic Rationale

The historical and economic rationales are closely related. PNG's adoption of development planning might have been influenced by a global practice trend that emerged in the 1950s and 1960s (Mawuli *et al* 2006). The origin of the development planning paradigm itself might be rooted in socialist planning and central planning in the Soviet Union. Historically,

development planning can be related to the push for state intervention after the experiences of the *Great Depression*,⁴ and the subsequent influence of Keynesian economics.⁵

The *Great Depression* challenged the orthodox market liberalism view of classical economics. The negative effects of depression gave rise to acceptance of state interventions and budget deficit financing, in the spirit of Keynesian Economics. In addition, experience indicated that the effects of the Depression were less severe in the former Soviet Union, which was a planned economy (Harbeler 1988). These experiences provided the impetus for state interventions and development planning in emerging, independent countries, following the *Great Depression* and after the Second World War.

In a contemporary context, it can be argued that development planning is required to augment grossly inadequate economic and social infrastructure and enhance social and economic programs. Moreover, the 'globalisation wave' has made the world more competitive. Therefore, development planning is required in order to maximise the benefits and minimise the costs of globalisation. However, the development planning should be aimed at complementing the market mechanism, rather than stifling the role of the market, which seemed to be the case with the conventional central planning practices.

Following global practice, state intervention in Papua New Guinea has been deeply rooted and entrenched, and development planning in the country has become a bureaucratic lifestyle in all state institutions. From a provincial perspective, historically, only a few provinces started their development planning in early 1980s. The early starters were Morobe, Milne Bay and North Solomons (Bougainville) provinces.

Public Finance Management Rationale

Planning is required to make the best use of (limited) public development finance in order to achieve economic and social objectives of the province. Public finance is concerned with government receipts that comprise tax revenues, non-tax revenues, grants and borrowings, on the one hand, and public appropriations of funds for government spending, including the government's donations and amortisation of debt and interest services, or savings, on the other.

The primary objective of public finance is to explicitly and implicitly create a social and economic environment that improves the welfare and lifestyle of the citizens and other residents. The development policies, inclusive of the public finance, must necessarily create an enabling social and economic environment that promotes growth, sustainable development and poverty reduction. The (five-year) PDP is an instrument of this objective.

Reference to a provincial five-year development plan strictly implies development budgeting for five years of the social and economic infrastructure and programs. The recurrent expenditures are not incorporated in the development plan.

⁴ The *Great Depression* was a period in history (1929-1933) when there was high unemployment, high inflation, and low output. Market liberalism was blamed for the depression.

⁵ Keynesian economics advocate demand management policies, hence state intervention, including planning, has an important role to play in determining economic progress.

The Provincial and Lower-level Governments receive more than 80 percent of their development funding grants from the National Government, which collects and controls the tax revenues, non-tax revenues and foreign aid. The National Government's total receipts are partly disbursed as grants to the Provincial and the Lower-level Governments for their recurrent and development expenditures. The provincial revenues, that is, total receipts, comprise:

- the grants from the National Government, which are based on pre-arranged formulas that are often not adhered to; and
- internally generated revenues, which are derived from narrowly based sources and constitute about 10 to 15 percent of the total receipts.

Generally, each tier of the Government participates in providing the development needs of the Wards. Provincial planning is undertaken in order to:

- provide for and coordinate the maintenance or sustainability of the economic and social infrastructure, which is grossly inadequate in the provinces;
- rationalise the limited development finances; and
- outsource scarce resources such as technology, management and know-how, that are also in short supply, and for projects and programs that attract donor funding.

METHODOLOGY

This section discusses the methodology employed for the study. Section 3.1 discusses the type of data and their collection. Section 3.2 discusses the analysis procedure. Section 3.3 presents the limitations of the approach.

Data types and collection

The types of data/information and collection are discussed according to the objectives of the study.

- *Objective 1: determining the extent of planning for the six different types of plans.*
For this objective, the researchers require a count of the different types of plan: PLTP, PDP, PSP, CCP, CP and AAP. The researchers collected the various planning documents and related materials (based on availability) during the visits to the 16 provinces,⁶ after obtaining approval from relevant authorities in the respective provinces. The number of each plan type collected is as follows: two PLTPs, four PSPs, thirty core PSPs, four specific PSPs, twenty seven CCPs, six CPs and ten AAPs. Detailed discussion of the samples and population are provided in the respective discussion of the presence/absence of the different plan types in Section 4.
- *Objective 2: analysis of the contents of the plans in order to determine the soundness of planning.*
For this objective, the information required is the qualitative aspects/assessment of the contents of the plans. This qualitative information is determined from analysing the contents of the plans that were actually gathered. In analysing the plan contents the authors' focus was on PDPs and PSPs, as explained in the study scope (Section 1.3).
- *Objective 3: determining and analysing the planning, implementation and monitoring constraints.*
For this objective, the authors used the views of the key-informants from meetings and interviews and the authors' general observations. The views of the key-informants (namely planners and other relevant officers of the Divisions and Programs) were gathered during the researchers' consultative meetings/interviews with key-informants. The meetings/interviews, which were structured, were aimed at gathering the key-informants' experience/views/perceptions on the key aspects of planning and implementation. The key points of the meetings/interviews were recorded (in written form) by the researchers. The authors' general observations of the planning and implementation constraints were based on the meetings and visits and perceptions from analysing the documents.

Analysis Procedure

Consistent with the number of study objectives, the analysis procedure involved three steps. First, the researchers counted and compared the number of documents by type of plan (PLTP, PDP, PSP, CCPs, CPs and AAPs) against the expectations. The results are then used to discuss the presence/absence of the plans in Section 4. The analysis of the

⁶ The reason why only 16 provinces were covered has been explained in Section 1.3 (Study Scope).

presence/absence of the plans provides a picture of the extent of the different types of planning, thus meeting the first objective of the study.

Second, the researchers reviewed or analysed the content of the PDPs and PSPs against the backdrop of the relevant expectations provided by the framework in Section 5. For each plan type, the researchers determined:

- whether or not the planning components (as outlined in Section 5.1.1 to 5.1.6) were incorporated in the plans; and
- the qualitative nature of the presentation of these components, if they were actually incorporated in the plan documents.

The results are discussed in Section 6 and Section 7 for the PDPs and PSPs, respectively. The analysis of the plan contents throws light on how sound the formulation of the plans was, thereby meeting the second study objective.

Finally, to meet the fourth study objective, the researchers analysed the views of the key-informants on some planning and implementation constraints, as well as the researchers' own general observations. The key-informant views and the observations of the researchers shed light on the inherent planning, implementation and monitoring constraints that may have impeded the success of the plans. The results are presented in Section 8.

In presenting and analysing the data and information, the authors have endeavoured to protect the confidentiality of the subjects of the data and information (namely the plan documents and key-informants), since the prime concern was analysing the data and information (rather than the subjects). The protection has been achieved as follows. In terms of the plan documents, the authors do not refer to specific names of the planning documents in the text; only by plan types (namely PLTPs, PDPs, PSPs, CCPs, CPs and AAPs).⁷ For the key-informants, the authors have discussed their views without references to any names. However, the usual acknowledgement applies for the sources of information (as stated in the preface).

Limitations of the Approach

The use of the desktop review and key-informant interviewing approach has certain limitations, which may affect the study findings and conclusions. Therefore, the results and conclusions of the study are made within these limitations or boundaries.

Firstly, the desktop analysis was limited by, or based on, the available sample documents which the researchers were able to gather at the time of research; hence, the results and conclusions are made within this limitation. Therefore, any inferences made from the results should be taken as general, rather than specific, guidelines.

In terms of the key-informant approach, the authors acknowledge that by focusing on just the key-informants, the views of other personnel who may also be directly involved in the planning and monitoring/evaluation process, are not taken into account. However, due to timing and financing constraints, not all people involved in the planning and implementation process could be interviewed. For the purposes of this research, however, in the authors' opinion, the views of the key-informants do provide useful insights on the planning and

⁷By implication, we have also not included the plan documents in the list of references.

implementation issues. Perhaps future research – probably a case study of a few provinces – could focus on more extensive interviews of people involved in the process from plan formulation to implementation.

Overall, despite these perceived limitations of desktop reviews and key-informant interviewing, the information gathered using such an approach is sufficient for achieving the objectives of the study.

ANALYSIS OF THE PRESENCE/ABSENCE OF THE PLANS

This section addresses the first study objective by discussing the presence/absence (in other words the extent of planning) for each of the six types of plans: PLTPs (Section 4.1), PDPs (Section 4.2), PSPs (Section 4.3), CCPs (Section 4.4), CPs (Section 4.5) and AAPs (Section 4.6). For each plan type, the authors describe/define the plan and the expected number and then analyse the actual presence/absence of the plan against the expectations.

Provincial long Term Plans (PLTPs)

The provincial long term plan (PLTP) is a strategic or visionary plan for the province, which would contain broad statements regarding where the province wanted to be in ten to fifteen or twenty years time. The PLTP is broad in nature and does not cover specific issues in relation to objectives, resources and implementation protocols. It is expected that each province would have one PLTP; hence for the sixteen-province sample investigated, all 16 provinces were expected to have a PLTP.

However, from the survey, only two provinces out of the 16 expected (12.5 percent) had some form of a long term plan. This low incidence of planning for PLTPs is a concern because it implies that most provinces do not have long term direction of where they want to be, at least in explicit ('black and white') terms. In the authors' opinion, one of the key reasons for this lack of long term planning could be the absence of a legal requirement for it. The *OLLP&GLLG* only provides an obligation for a rolling five-year development plans (namely PDPs) but not a long term plan.

In October 2009, a national long term plan, the *Papua New Guinea Vision 2050 (PNGV2050)* was launched. Future PLTPs should be based on the *PNGV2050*. However, in cases where the *PNGV2050* does not adequately meet the specific aspirations or vision of a particular province, the PLTP should incorporate those specific aspirations or visions.

Provincial Development Plans (PDPs)

As alluded to in Section 2.1, according to the *OLPG&LLG*, each province is required to formulate and implement a rolling five-year provincial development plan (PDP).⁸ Based on this requirement, the researchers expected 16 PDPs for the 16 provinces surveyed.

Empirically, of the 16 provinces surveyed and expected to have a PDP, only one quarter (or 4) of them had a PDP, although it has been over a decade since the *OLPG&LLG* was passed by Parliament. A few provinces have not yet produced one PDP, and many of them have not produced two in the ten years since the mandate.

Overall, the actual situation of the five-year development planning lags behind the legal requirements. Therefore, more needs to be done by the concerned government instrumentalities, both at the national and provincial level, to ensure that the five-year development planning in the provinces is carried out successfully. This would not only meet the legal requirements, but also more importantly, would meet the ultimate

⁸ The use of the term PDP strictly refers to the rolling five-year planning for the province.

development goals, which are to improve the economic and social welfare and reduce poverty in the provinces.

Provincial Sector Plans (PSPs)

Provincial sector plans (PSPs) are concerned with the planning of all public undertakings in order to provide social and economic infrastructure and programs, which will create an enabling environment for income creation, employment generation, social development and poverty reduction. PSPs should be consistent with the PDP and PLTP. It is expected that there will more than one PSP for each province. The actual number would be subject to the number of core and specific sectors that are appropriate for each province. The PSPs (both core and specific) are named according to the Provincial Divisions or Programs for administrative convenience.

Expectations

Core PSPs are those sector plans that every province is expected to (or should) have. Based on current practice, it is expected that all 16 provinces surveyed should have the following 12 (alphabetically listed) core sectors:⁹

- administration and governance;
- agriculture and livestock;
- commerce and industry;
- community development;
- education;
- employment;
- environment;
- forestry;
- health;
- lands and physical planning;
- law and justice; and
- policy and planning.

So in total the researchers expected 192 core PSPs for the 16 provinces surveyed (that is, 12 core PSPs multiplied by 16 provinces).

Specific PSPs are those sector plans that may only be applicable to some provinces, due to special circumstances; for example geographical or natural endowment reasons. The main sectors in this category are fisheries and mining and energy. For the 16 provinces that were surveyed, three provinces (WHP, EHP and Enga) were not expected to have a fisheries sector plan, for obvious geographical reasons. The remaining 13 provinces (ARB, ENBP, ESP, GP, OP, MaP, MnP, MBP, MoP, NIP, SP, WP and WNBP) were expected to have a fisheries sector plan.

For the mining and energy sector, the authors base the expected number of provinces on the current (ongoing) or recent operation of such activities for a province, at the time of survey. Projects that are not operational yet (namely those still in the prospecting stage) are excluded, since the authors' concern was on planning for projects that have a high

⁹ To the best of the authors' knowledge, there is no legal requirement for each province to have this number (12) of core PSPs; we have arrived at this list purely based on the current general practice.

certainty. Planning for future (prospecting stage) mining and energy projects involves a high level of uncertainty. At the time of the survey (2006), the following four provinces (in the sample of 16) had either ongoing or recent mining and energy projects: Enga (Porgera Gold Mine, ongoing), Milne Bay (Misima Gold Mine, ceased recently), New Ireland (Lihir Gold Mine, ongoing) and Western (Ok Tedi Mine, ongoing).¹⁰ Hence, these 4 provinces were expected to have a mining/energy sector plan.

Planning for mining projects should focus on the expected financial benefits that would accrue to the province (such as Tax Credit Schemes), business spin-offs and environmental concerns. Provinces should not plan for issues that are the domain of the national government, for example, the corporate tax revenues.

All in all, the authors expected 17 specific PSPs in total (13 fisheries sector plans plus 4 mining sector plans).

Empirics

Table 1 provides a summary of the presence/absence of the PSPs from the survey. Column 1 lists the types of PSPs under the two categories of “core” and “specific”. Column 2 shows the *expected* number of provinces that are supposed to have that particular type of plan, as explained above. Column 3 shows the number (occurrence) of provinces possessing the particular type of PSP document at the time of survey.

Table 1: The Presence/absence of the PSPs

PSP Type/Name	Expected Number	Actual Number
Core PSPs:		
Administration/governance	16	2
Agriculture and livestock	16	4
Commerce and industry	16	2
Community development	16	4
Education	16	5
Employment	16	1
Environment	16	0
Forestry	16	4
Health	16	5
Lands and physical planning	16	1
Law and justice	16	2
Policy and planning	16	1
Sub-total	192	31
Specific PSPs:		
Fisheries	13	1
Mining and energy	4	3
Sub-total	17	4

In terms of the core PSPs, the following can be observed. Out of the expected 192 total core PSPs (see Column 2, Table 1) for the 16 provinces (surveyed), the researchers found

¹⁰ We excluded Bougainville from the list because the Bougainville Copper Mine has been closed since 1989, and we did not expect any planning for the sector at the time of writing, given the sensitive nature of the issue for the province.

only 31 (see Column 3, Table 1), which is an occurrence rate of about 16 percent. The most common ones were Health and Education Plans, where 31 percent of the 16 (expected) provinces had these plans. The next group includes agriculture and livestock; community development; forestry; and mining and energy; where about a quarter (25%) of the provinces had them. Overall, social-related PSPs seemed to be more common than economic/commerce-related PSPs. In the authors' opinion, the neglect of planning for economic activities has an adverse impact on income creation, employment generation, economic growth and poverty reduction. Future planning needs to address this shortcoming.

Another important issue is the neglect of planning for the environment sector, which is a cause for concern given the current importance of environmental issues such as pollution and global warming. The importance of environmental planning (and forestry) is also important for the economic potential/gains which could be harnessed from carbon trading. In this time of concerns for environmental degradation and the potential for income generation from environmentally-friendly economic activities, such as carbon trading, proper planning for the environment sector is needed.

With respect to the specific PSPs, the following can be said. Out of the 13 provinces that were expected to have a fisheries sector plan only one province (7.7%) had a fisheries sector plan. The low level of planning for the sector is a cause for concern since fisheries play an important role for the maritime provinces, both in terms of income creation and food (protein) sustainability. In terms of mining and energy, 3 (out of 4 expected) provinces had a sector plan, which seems encouraging because planning is required to translate the windfalls from mining activities into economic growth and social development of the province. Overall, out of the expected total of 17 specific PSPs, the researchers found only 4 (23.5%).

Overall, although all provinces do attempt to formulate sectoral plans, the results show that the actual occurrence of plan formulation is very low. This could imply that most sectoral planning is done on an ad-hoc basis. This is a major cause for concern because without a high level and sound planning for the sectors, the sectors would remain stagnant and hence adversely affect the overall development or progress of the province.

Cross-cutting Plans (CCPs)

Cross-cutting plans (CCPs), as the name suggests, are plans that cut across all the other type of plans. Strictly speaking, CCPs are forms of sector plans but they have been grouped separately to emphasise their cross-cutting nature. The other key feature of the CCPs is that they are mainly concerned with the supply of vital services.

The importance of the CCPs lies in their effect on the success or failure of the other types of plans. For example, all sector plans require good communications and transportation to succeed. Fifteen types of cross-cutting plans may be identified. These are listed (in alphabetical order) as follows:

- ambulance services;
- banking services;
- communication services;
- disaster management;
- emergency services;

- energy (electricity supply);
- financial services;
- fire services;
- food security;
- HIV/AIDS management;
- population management;
- postal services;
- tourism and culture;
- transport infrastructure; and
- water supply.

Given their cross-cutting nature and importance for other plans, the authors expected that all the 16 provinces (surveyed) should have everyone one of the 15 types of CCPs listed above. In total, for the 16 provinces surveyed, the authors expected an aggregate of 240 CCPs (that is, 16 multiplied by 15).

Table 2 presents the CCPs (Column 1), their expected number (Column 2), actual number collected (Column 3) and the equivalent percentage (Column 4).¹¹

Table 2: Presence/absence of the CCPs

CCP Type	Expected number	Actual number (collected)	Percentage (%)
Ambulance services	16	1	6
Banking services	16	2	13
Communication services	16	3	19
Disaster management	16	1	6
Emergency services	16	1	6
Energy (electricity)	16	1	6
Financial services	16	1	6
Fire services	16	1	6
Food security	16	1	6
HIV/AIDS management	16	1	6
Infrastructure	16	5	31
Population management	16	2	13
Postal services	16	2	13
Tourism and culture	16	3	19
Water supply	16	2	13
Total	240	27	11.25

As with the other types of plans surveyed above, the incidence of planning for CCPs is low, as evidenced by the low presence of all types of CCPs (Table 2). In general, there were only 27 CCPs out of the 240 expected (or 11.25%) for the 16 provinces surveyed. The

¹¹ See Annex 3 for a summary of the CCP contents

most common one is transport infrastructure, which 31 percent of the provinces had. The next were tourism and culture, and communications, with 19 percent of the provinces having the plans. The rest of the cross-cutting areas have generally been neglected as far as planning is concerned, with just 1 or 2 provinces having a plan for each of those CCPs. Tourism has a good potential for social and economic development, and planning for the area should be encouraged.

Corporate Plans (CPs)

Corporate plans (CPs) are organisational plans aimed at strengthening the capacity of the planning and implementing entities or institutions to plan and implement various development plans. At the provincial administration level, one corporate plan for each province is expected.¹² Hence, for the sixteen provinces surveyed, the authors expected 16 corporate plans.

However, in the survey, only 6 percent of the provinces had a corporate plan. A key and somewhat odd observation was that some provinces were using the corporate plans as development plans. This seems odd because corporate plans should be focussed on strengthening the Provincial Administrations/Governments as implementing and monitoring entities of the various development plans. The development programs/projects should be the domain of the PSPs, which are linked to the PDPs and PLTPs.

Annual Activity Plans (AAPs)

An annual activity plan (AAP) is an operational plan which focuses on the specific activities and how they will be carried out within a given year. The AAP can be done at the divisional and/or individual levels. The AAPs are vital in the implementation of development plans, because only by (divisions/individuals) carrying out the specific activities the plans can the objectives of the other plans be achieved or realised. The number of AAPs for each province or division would depend on the number of personnel employed for the duration of the plan.

All the 16 provinces surveyed claimed to have annual activity plans of some sort, which are usually formulated and implemented by the provincial divisions. However, despite these claims, the authors did not find adequate formulation of AAPs.

Summary

In summary, the analysis above seemed to show that there was a low level of planning for each type of plan. Hence, it is recommended that each provincial government/administration should take appropriate steps to improve the extent of planning. The required number of each type of plan for each province and their timeframes¹³ can be summarised as follows:¹⁴

¹² Note that in some cases, provinces may choose to have a corporate plan for each sector/division as well as one at the provincial administration level. The approach we have taken is to have just one corporate plan at the provincial level which also incorporates the sectoral needs.

¹³ Except for the timeframe of the PDP (which is legally required under the OLPG&LLG) and the AAP (for obvious reasons), the other suggested timeframes are the authors' suggestions/opinions.

¹⁴ Note that the consistency in terms of the timeframes between any two plan types does not necessarily mean consistency in terms of contents. In cases where specific issues for one plan type (eg. province-specific issue in a PLTP), that are not covered by the other plan (eg. NLTP), these specific should be included for that particular plan.

- Provincial Long Term Plan (PLTP): one per province, with a timeframe of 10 to 20 years. The PLTP should be consistent, in terms of timeframe, with the national long term plan (NLTP) at that time; for example, at the time of writing the relevant NLTP was the Vision2050 or the National Strategic Plan.
- Provincial Development Plan (PDP): one per province, with a 5-year rolling timeframe, as required by the *OLPG&LLG*. It should be consistent with the duration of the 5-year national Medium Term Plan (MTDP).
- Provincial Sector Plan (PSP): 12 core and other relevant specific ones (as discussed in Section 4.3). The duration of the PSP should preferably be 5-years, consistent with the PDP. This would aid in terms of implementation and budgeting.
- Cross-cutting Plan (CCP): the researchers have identified 15 types of CCPs that each province could have (see Section 4.4). However, the actual number for each province would depend on their resource constraints. Given the resource constraints, some of the CCPs could be combined; for example, disaster, emergency and fire services. Since CCPs are forms of PSPs, their timeframes would preferably be 5-years.
- Corporate Plan (CP): one corporate plan per province, which should also have a five-year timeframe in order to spell out the organisational capacity for implementing the other 5-year plans.
- Annual Activity Plan (AAP): the number of these yearly (as the name suggests) plans would depend on the number of divisions and human resources for each province.

FRAMEWORK FOR ANALYSING THE PLAN CONTENTS

This section presents the analytical framework that will be used in analysing the contents of the two plan types: PDPs and PSPs. Section 5.1 discusses the components of the framework, while Section 5.2 discusses the scope for applying the framework for the PDPs and PSPs.

Components of the Framework

The analytical framework is based on the components of a conventional strategic plan (as highlighted in the study scope in Section 1.3). Examples of studies discussing the components of a strategic plan include Bryson 1988; Community College of Allegheny County 2005; Applied Geographics Inc 2006; Friel 2009; and Museum Management Consultants Inc. 2009). The key aspects of the framework the authors have adopted and the relevant sections are:

- the plan formulation process (Section 5.1.1);
- statement of the profile (Section 5.1.2);
- mission, vision and values (Section 5.1.3);
- goals and objectives (Section 5.1.4);
- implementation plan (Section 5.1.5); and
- monitoring and evaluation protocols (5.1.6).

For each component the authors discuss what should be the expected key contents/issues that the planners should include in the plan document. Note that the authors discuss the framework from an organisational perspective in the sense that provinces and sectors are seen as organisations which exist to achieve a certain purpose.

The Plan Formulation Process

The introductory chapter or section should describe the process or methodology involved in formulating the plan. 'Ultimately, this section should indicate to the reader that the plan and its recommendations are based on a solid and appropriate approach which has included all necessary stakeholders to the extent possible' (Applied Geographics Inc 2006). The key aspects that could be covered would include the:

- key stakeholders involved in the planning;
- specific steps involved in completing the plan;
- time it took to complete the planning document;
- data and information used; and
- key assumptions.

Documenting the key aspects of the planning process is vital for determining the appropriateness of the planning process and the actions required to improve the plan, if the need arises. Moreover, documenting the planning process would serve as a benchmark for future planning.

Statement of the Profile

What is to be planned will depend on the knowledge of what is available and what is needed in order to improve the welfare and the lifestyle of the people. This can be

determined by having a section or chapter in the development plan which discusses the current state of the organisation (province or sector).

The analysis of the profile should detail the current state and the needs of the organisation, using a SWOT analysis (Bryson 1988; Bedford and Stimming 2009; Friel 2009). This involves discussing the (internal) strengths (S) and weaknesses (W) of the sector and the external opportunities (O) and threats (T). Opportunities and threats are factors that are external to the sector, but which have the potential to impact the performance of the sector. Opportunities enable the sector to use its strengths, while threats would impede it or exacerbate the sector's weaknesses.

Essentially, a SWOT analysis for the sector would reveal what is lacking and what needs to be done in order for the organisation to develop. The identification of the needs would then become the basis for deriving the mission, vision, goals, objectives and strategies of the sector plan.

Mission, Vision and Values

Based on the analysis of the profile, short statements should then be crafted to describe the plan's mission, vision and the values or principles upon which it is based (Bedford and Stimming 2009; Community College of Allegheny County 2005; and Friel 2009). The mission states the purpose of the organisation while the vision should state the ultimate situation or condition in which the organisation aspires to be by the end of the plan period. The values are short statements of the principles upon which the organisation operates or exists.

Goals and Objectives

The analysis of the organisation's profile (its current status) and the vision (where it wants to be by the end of the plan period) will reveal a gap (namely the difference between "what is" and "what ought to be"). Goals and objectives should then be framed with the aim of closing the 'gap'. In other words, goals and objectives answer the question: how can the vision be realised?

The statement of the goals should be broad, not directly measurable and not time bound (Museum Management Consultants Inc 2009). Each goal may have one or more objectives. Objectives are statements of how the goals will be realised. Therefore, they need to be specific and measurable and time bound (Museum Management Consultants Inc 2009). They need to be specific or unambiguous so that implementing entities know exactly what courses of action (strategies) to take. Being measurable is important as it allows for the determination of success or otherwise. The 'time bound' requirement is vital in inducing action and the need to avoid delays (procrastination). The timelines should be realistic and reflect the availability of resources required to achieve the particular objective.

The Implementation Plan

The implementation or action plan answers the question: how does one get to where one wants to be? In other words, how can the goals and objectives of a plan be achieved so that the vision can be realised? The 'Implementation Plan' section of a plan should

document the following implementation components for each goal and the related objectives (College of Allegheny County, 2005):

- **Strategic initiatives:** state the strategic initiatives (actions/means) that will be employed to achieve each objective. The initiatives should be succinct, simple, realistic, actionable and time bound.
- **Entity responsible:** state who (institution or individual) is responsible for carrying out a particular initiative. The discussion should incorporate the quantity and competence of the entity and potential problems and how they could or need to be overcome.
- **Timelines:** state the timelines with clear deadlines for each strategic initiative. Without specifying the timelines, there is a high chance that the strategic initiative could be unduly delayed or worse still, not acted upon at all.
- **Resource needs:** specify the types and sources of resources that are required to carry out each strategic initiative. Resources may be broadly categorised into two categories: financial and non-financial. Financial resources refer to the development finance provided by the budget process. Non-financial resources refer to manpower (human resources) and logistics, such as communication and transportation.
- **Success measures:** specify the success measures by stating the qualitative and/or quantitative parameters or performance indicators, and targets for each strategic initiative. Performance indicators are measures or signals, agreed to beforehand, that help determine whether or not the strategies employed are resulting in the achievement of the targets, and hence the objectives of the plans. Targets are the desired end results for each objective. Target *values* need to be specified in the case of *quantitative* measures and target *qualitative conditions* in the case of *qualitative* measures.

Monitoring, Evaluation and Feedback Protocols

The monitoring, evaluation and feedback (MEF) protocols specify the process and actions to be undertaken in order to keep track of, review and provide feedback on the success or otherwise of the implementation plan (Applied Geographics Inc 2006; Friel 2009). This will determine whether or not the implementation of a plan is proceeding on the right track. The MEF process makes a plan dynamic, in that problems or issues discovered by the MEF process could be addressed and/or used to improve or adjust the plan and/or its implementation. In the absence of an efficient MEF process, the problems cannot be determined, which would, in turn, impede the successful implementation of the plan. Conceivably, a 'Monitoring, Evaluation and Feedback Protocols' section should state the following aspects:

- **Monitoring and evaluation process**, which outlines the process by which monitoring and evaluation will be carried out by specifying who will do the monitoring and evaluation, by when and with what resources.
 - *Monitoring and evaluation entity:* specify who is responsible for monitoring and evaluating the implementation of each objective and strategy.
 - *Timelines:* specify the number of times and the proposed dates when monitoring and evaluation should take place.
 - *Resource requirements:* specify the financial and logistical resources needed by the monitoring and evaluation entities to perform their job.

- **Measurement**, which outlines the measures of success, or otherwise, of the implementation plan. To achieve this, the plan must outline a framework for measuring the actual performance situation against the expectations, for each aspect of the Implementation Plan. The planners should develop a measurement framework that is appropriate for the particular needs of the plan.
- **Feedback process**, which should specify the feedback process for communicating the results of the performance measures (above). That is, who should tell whom about the success or failure of the implementation of a particular goal/objective/strategy? Feedback should be both ‘upstream’ and ‘downstream’. Upstream feedback would generally involve communication to the planners or overseers of implementation while downward feedback would entail communications to the implementing entities.

What is to be communicated (for both upstream and downstream feedback) would depend on the results of the previous two steps; that is monitoring and evaluation, and measurement. If the results/findings are generally negative, then the communication would entail advice about the need for improvements and how that may be accomplished. Penalties for poor performance (on the implementing entities) may also be communicated (if this was part of the work conditions). Penalties should be aimed at making the implementing entities more accountable, improving their performance. On the other hand, if the findings are generally positive, then feedback would involve commendations for success and relevant rewards if they are part of the worker performance conditions. The commendations and rewards provide the incentive for higher performance.

Scope of the Framework’s Application

In Section 5.1, a general plan framework was presented. This section provides the guideline or scope for applying the framework to the two types of plans (PDPs and PSPs) that will be analysed in the empirical sections. In applying the framework to the analysis of the PDPs and PSPs, the authors are guided by the need for cooperation and a strong link between the two plan types while also discouraging duplication and subsequent wastage of resources. This is based on the rationale that the success of the PDP depends on the success of the PSPs. Given this, the relevant aspects of the framework that will apply to each plan type are as stated in Table 3. A tick indicates the inclusion of the plan component (in Colum 1) for the particular plan. These are detailed in the subsequent sections (5.2.1 and 5.2.2).

Table 3: Scope of the framework’s application

Plan Aspect	PDP	PSP
Plan formulation process	√	√
Profile statement	√	√
Mission, vision, values	√	√
Goals and objectives	√	√
Implementation plan		√
Monitoring and evaluation		√

In the empirical sections (Section 6 and 7), for each applicable plan aspect/component, the analysis addresses two key questions/issues: (1) do the plans contain the particular

aspect? and (2) if it does contain it, how do the contents measure up against the relevant expectations of the framework?

Scope for a Provincial Development Plan (PDP)

The PDP is a medium term plan of 5 years duration, as required by the *OLPG&LLG*. As indicated in Table 3, a PDP should document the following four components: plan formulation process; provincial profile; medium-term provincial mission, vision and values; and the medium-term goals. The four components may be stated or documented as follows:

- **plan formulation process:** the process by which the PDP was formulated in the context of the expectation in Section 5.1.1.
- **profile of the province:** discuss the profile of the province. There is no 'rule of thumb' about the contents. Conceivably, the state of the provincial profile report should cover the following broad spectrum, strictly adhering to their relevance to the (five-year) PDP:
 - The overview of the environment:
 - ✓ physical or geographic features;
 - ✓ natural resources;
 - ✓ settlements and demography; and
 - ✓ political and administrative structure.
 - Economic and social programs:
 - ✓ economic/business programs;
 - ✓ social programs; and
 - ✓ infrastructure programs.
 - A public policy framework:
 - ✓ the macroeconomic policy framework;
 - ✓ the provincial policies; and
 - ✓ provincial gross domestic product (GDP).¹⁵
- **provincial (medium-term) mission, vision, values:** make a statement of the mission (purpose of the province), vision (ultimate end result the province aspires to achieve by the end of the 5-year plan period) and the values (the principles upon which the province exists). Note that the (five-year) PDP vision should be consistent with the long term (10-15 year) vision contained in the PLTP.
- **provincial (medium-term) goals:** state the goals for the province for the five-year period, which are needed to move towards its medium-term provincial vision. These goals should be broad in nature, probably stating what the different sectors of the province should achieve in order to realise the 5-year provincial vision. The provincial goals of the PDP should be based on the following:
 - the national plan goals and policies;
 - the current Provincial Government's development orientation, ideals, ideas or paradigms;
 - the provincial goals for growth and development, and poverty reduction;
 - policies for promoting rural income generation, rural industry growth, firms, or encouraging microfinance institutions; and
 - the development strategies.

¹⁵ GDP is the monetary value of all the final goods and services produced within an economy (provincial in this case) for a given period of time, usually a year.

Note that the PDP does not need to state the specific objectives, implementation plan and the MEF protocols, which will be subsequently be dealt with under the respective PSPs. A statement in the PDP should point this out to the reader.

Scope for a Provincial Sector Plan (PSP)

A PSP should contain all aspects of the plan framework (see Table 3). The rationale is that PSPs are the means by which the vision and goals of the PDPs will be realised. Specifically, the planning aspects of a PSP should be stated as follows:

- **plan formulation process:** state the formulation process of the PSP against the expectations in Section 5.1.1.
- **sector profile statement:** conduct a SWOT analysis of the sector guided by the expectations in Section 5.1.2. The SWOT analysis will reveal the internal strengths and weaknesses of the sector and the external opportunities and threats.
- **sector mission, vision and values:** state the mission (purpose of the sector); vision (ultimate situation and condition, which the sector wants to be in at the end of the 5-year plan period); and the values (principles upon which the sector exists). The mission and vision of each PSP should be derived from the SWOT analysis from the sector profile statement. The PSP vision should also be consistent with the vision of the PDP (and the vision of the PLTP, indirectly).
- **sector goals and objectives:** A particular PSP should take the broad goals of the PDP relating to that sector and break them down into various sector goals. These should be consistent with the sector's mission and vision. For each sector goal, the objectives will then be stated, which need to be specific, quantifiable, measurable and time bound (as stated in Section 5.1.4).
- **implementation plan:** under this section, the PSP should state the various components of an implementation plan: strategic initiatives, entity responsible, timelines, resource needs and success measures (as discussed in Section 5.1.5) for the sector.
- **Monitoring, evaluation and feedback (MEF) protocols:** under this section, the PSP should detail the monitoring and evaluation process, measurement issues and feedback processes (as discussed in Section 5.1.6) for the sector.

ANALYSIS OF THE PROVINCIAL DEVELOPMENT PLANS

This section uses the relevant aspects of the framework in Section 5 to analyse the PDPs. The analysis uses the sample of 4 provinces, which actually had a PDP out of the 16 provinces surveyed (see Section 4.2). Note that since the sample of PDPs analysed is low, the findings or conclusions should be interpreted with caution. The emphasis is on providing useful lessons from the experiences of the four provinces in order to improve future formulation of the PDPs.

The components of the framework that are included in a PDP are guided by the scope in Section 5.2.1. The following discusses the four components of the framework which are applicable to the PDPs: documentation of the PDP formulation process (Section 6.1); statement of the provincial profile (Section 6.2); PDP mission, vision and values (Section 6.3); and PDP goals (Section 6.4).

Documentation of the PDP Formulation Process

Out of the 4 provinces that had PDPs, none of them adequately discussed the key aspects of the plan formulation process, outlined in Section 5.1.1. In particular, the following was evident:

- the key stakeholders involved in the planning of the PDP were not outlined;
- there was a lack of discussion of the steps involved in completing the plans;
- the time horizon for formulation of the document was not specified;
- the data used in the planning was not adequately discussed; and
- the assumptions of the plans were not specified.

In the authors' opinion, the lack of effort in documenting the plan formulation process is due to the lack of adequate knowledge of the planning requirements.

Statement of the Provincial Profile

This section analyses the provincial profile against the general expectations in Section 5.1.2 and the expectations specific to PDPs discussed in Section 5.2.1. Table 4 shows the results of the analysis of the different aspects of a provincial profile, using the 4-province sample. Column 1 lists the expected profile areas, which a PDP should cover (as rationalised in Section 5.2.1). Column 2 presents the number of provinces that actually discussed a particular aspect (out of the 4 provinces that had a PDP). The last column provides the remarks about the contents of each aspect.

In terms of the 'Overview of the environment', all the sample (4) provinces did discuss their provincial geographic features with a satisfactory coverage of issues such as location, weather and topography. The four provinces also discussed settlement and demographic issues with a focus on population matters. The political and administrative structure was discussed by 3 provinces. The natural resources were a neglected feature, which could be detrimental for economic programming where information on the characteristics and amount of natural resources is required to guide resource-related programs such as agriculture, fisheries and mining.

Table 4: Profile of the provincial economy

Profile Areas	Occurrence (out of 4)	Features of the contents
<i>Overview of the Environment:</i>		
• Geography	4	Topography; boundaries; climatic conditions; location/land area; vegetation; land use; people and culture; ecological zones.
• Natural resources	0	Not applicable
• Demography and settlements	4	National Census; population and planning; demographic status and its bearing on development; population and human development profiles
• Political and admin. structure	3	Administrative structure; Organic Law on Provincial Government and Administration
<i>Economic & social programs:</i>		
• Economic/business programs	0	Not applicable
• Social programs	1	Social objectives outlined
• Infrastructure programs	1	Objectives of infrastructure and communication
<i>Public policy framework:</i>		
• Macroeconomic policy framework	0	Not applicable
• Provincial policies	2	Policy statements/intentions
• Provincial GDP	1	Domestic factor incomes, per capita

The profiling of the economic and social programs was a neglected feature of the sector profiles. Only one province each (out of four) discussed the social and infrastructure programs, while no province profiled any economic/business programs. Adequate attention to the economic, social and infrastructure programs is a key requirement for economic growth and/or social development. Although such programs will ultimately be addressed in the sector plans, it is important to at least summarise the key features of the programs in the PDPs. This would provide the link between the PDPs and PSPs, thus avoiding disjointed planning (see relevant discussion on the 'weak inter-plan linkages' in Section 8.6).

The public policy framework suffers similar neglect to the economic and social programs, in that there was a lack of attention paid to it. In particular, the macroeconomic policy issues are neglected by all the 4 sample plans. Without proper account of the macroeconomic

policies, the economic objectives of the province, such as employment and income creation, can hardly be met. Only one province mentioned anything about the provincial GDP and only two provinces discussed their provincial policies (that is, other social and other policies).

Overall, the data suggests that the profile of the provincial economy is not adequately discussed in the PDPs.

PDP Mission, Vision and Values

The four PDP documents were perused to find out the nature of the vision, mission and values. The features were measured against the general expectations in Section 5.1.3 and the specific expectations in Section 5.2.1. All the (4) PDPs did state their vision and mission, which is as expected. However, these visions and missions were unclear, in general. Unfortunately, the 'values' was a neglected feature. Future planning needs to account for such shortcomings.

PDP Goals

All the four provinces that had a PDP did state their goals, which were generally broad. This is satisfactory as it is consistent with the general expectation of what a goal is (see Section 5.1.4) and the specific expectation of a PDP goal (see Section 5.2.1), where PDP goals were expected to be broad in nature. However, some goals were ambitious and ambiguous.

Two of the provinces stated their objectives in their PDPs, which is contrary to the authors' expectations and rationale that the specific objectives should be left to the PSPs in order to prevent the duplication of objectives and wastage of resources. The other two provinces left the objectives for the PSPs to deal with, which is consistent with the authors' expectations.

ANALYSIS OF THE PROVINCIAL SECTOR PLANS

This section presents an analysis of the PSPs against the backdrop of expectations from the framework (Section 5.1) and guided by the scope in Section 5.2.2. According to the application scope (for the PSPs), all the six components of the framework are applicable to PSPs; hence, in this section, the authors discuss all the components of the framework: documentation of the PSP formulation process (Section 7.1); statement of the sector profile (Section 7.2); PSP mission, vision and values (Section 7.3); PSP goals and objectives (Section 7.4); PSP implementation plan (Section 7.5); and PSP monitoring and evaluation protocols (Section 7.6).

Documentation of the PSP Formulation Process

Table 5 shows the extent of the coverage of the plan formulation process of the PSPs. Columns 1 and 2, respectively, present the PSP type and the number of provinces having such a PSP. These two columns are derived from Table 1 (see Section 4.3). Column 3 provides the authors' assessment of the quality of the coverage of the 'plan formulation process' for each PSP type. Satisfactory (S) implies that, in general, the sample for that particular PSP type did cover the following expected plan formulation aspects (derived from Section 5.1.1):

- key stakeholders involved in the planning;
- steps involved in completing the plan;
- time it took to complete the planning document;
- data used; and
- key assumptions.

On the other hand, if these aspects are not covered, then they are deemed to be neglected (N). Note that assessments are views on the "general or average" feature of the sample plans, rather than "for every single member" of the sample. For example, under "Community Development", the "Neglected" comment (Column 3) should be interpreted as: "in general, the 4 Community Development Sector Plans neglected/failed to discuss the plan formulation process", rather than that "every one of those 4 Community Development Sector Plans failed to discuss the plan formulation process." The other remarks should be interpreted in a similar manner.

Table 5: Documentation of the plan formulation process

PSPs	Sample	Plan formulation process coverage
Core PSPs:		
Administration/governance	2	Neglected
Agriculture and livestock	4	Satisfactory
Commerce and industry	2	Neglected
Community development	4	Neglected
Education	5	Satisfactory
Employment	1	Neglected
Environment	0	Not applicable
Forestry	4	Neglected
Health	5	Satisfactory

Table 5 (cont'd)

PSPs	Sample	Plan formulation process coverage
Lands and physical planning	1	Neglected
Law and justice	2	Neglected
Policy and planning	1	Satisfactory
Specific PSPs		
Fisheries	1	Satisfactory
Mining/petroleum/gas	3	Neglected

Except for five PSP types (namely fisheries, policy and planning, education, agriculture and livestock, and health), the rest of the (8) PSP types, for which there was a sample, failed to incorporate a discussion of the plan formulation process.¹⁶ This neglect of the documentation of the formulation process in the PSPs seems to follow the practice for PDPs (as discussed in Section 6.1).

Statement of the Sectoral Profile

Table 6 shows the information regarding the contents of the sector profiles. Columns 1 and 2 are as defined previously (see Table 5). Column 3 provides the main features of what the authors *perceived* as features of sector profiles covered by each type of PSP, when analysing the plan documents.¹⁷ These features were not provided under a “Sector Profile” section, *per se*, but the authors have ‘fished’ them out from various parts of the documents. A formal section discussing the “Sector Profile” was generally neglected.

Measuring the contents of the PSPs against the expectations in Section 5.1.2, it appears that most of the PSPs did not adequately conduct a SWOT analysis of the sector. Instead, most of the PSPs focussed on the internal features of the sector, such as the current status and future direction. The analysis of the current status covered some of the strengths (S) and weaknesses (W) of the sector, which is commendable. However, the analysis of future direction seems to be made without taking into account the external opportunities (O) and threats (T), which will affect the sector’s performance.

Table 6: The Profile Contents of the PSPs

PSPs	Sample	Profile contents
Core PSPs:		
Administration/governance	2	Overview of organisational structure
Agriculture and livestock	4	Overview of cash crops and livestock
Commerce and industry	2	Current status of the industry
Community development	4	Current status of youth, women, sports, religion
Education	5	Overview of present status and future direction

¹⁶ Note that we only comment on 8 of the 9 remaining PSP types because there was no sample for the 9th PSP (environment).

¹⁷ The profile features (in Column 3) are derived from the first bullet point for each PSP type in Column 3 of Annex 1

Table 6 (cont'd)

PSPs	Sample	Profile contents
Employment	1	Overview of present status and future direction
Environment	0	Not applicable
Forestry	4	Current status of forests and future direction
Health	5	Current status and future direction
Lands and physical planning	1	Status of land administration and physical planning
Law and justice	2	List of law enforcement bodies
Policy and planning	1	Profile of policies
Specific PSPs		
Fisheries	1	Overview of the industry and strategies
Mining/petroleum/gas	3	Current status and future outlook

PSP Mission, Vision and Values

The results of the analysis on the PSP mission, vision and values are presented in Table 7. Columns 1 and 2 are as per Table 5. Columns 3, 4 and 5, respectively present comments on the coverage of the mission, vision and values for each type of PSP. These features (mission, vision and values) are summarised from the second bullet point for each PSP type in Column 3 of Annex 1.

Table 7: The mission, vision and principles of the PSPs

PSPs	Sample	Mission	Vision	Values
Core PSPs:				
Administration/governance	2	Satisfactory	Satisfactory	Neglected
Agriculture and livestock	4	Satisfactory	Satisfactory	Neglected
Commerce and industry	2	Satisfactory	Satisfactory	Neglected
Community development	4	Satisfactory	Satisfactory	Neglected
Education	5	Satisfactory	Satisfactory	Satisfactory
Employment	1	Satisfactory	Satisfactory	Neglected
Environment	0	NA	NA	NA
Forestry	4	Satisfactory	Satisfactory	Neglected
Health	5	Satisfactory	Satisfactory	Satisfactory
Lands and physical planning	1	Satisfactory	Satisfactory	Neglected
Law and justice	2	Satisfactory	Satisfactory	Satisfactory
Policy and planning	1	Satisfactory	Satisfactory	Neglected
Specific PSPs				
Fisheries	1	Satisfactory	Satisfactory	Neglected
Mining/petroleum/gas	3	Satisfactory	Satisfactory	Neglected

The general observation is that the mission and vision seem to be framed satisfactorily according to the expectations of what a mission and vision of a PSP should be (as outlined in Section 5.2.2). However, the sector 'values' are neglected in general. Given the lack of adequate presentation of the sector profiles based on a SWOT framework, highlighted in Section 7.2, it may be argued that although the mission, vision and values may be written,

they may not necessarily reflect the needs of the sector (due to a poor SWOT analysis). In other words, the vision, mission and values may have been based on what the planners 'think', rather than been based on the needs of the sector (which is determined by a SWOT analysis).

PSP Goals and Objectives

Table 8 shows the coverage of the goals and objectives in the PSPs. Columns 1 and 2 are as per Table 5. Column 3 provides an assessment of the goals while Column 4 provides an assessment of the objectives. The comments on the goals and objectives are derived from the third bullet point for each PSP type in Column 3 of Annex 1.

Table 8: The goals and objectives of the PSPs

PSPs	Sample	Goals	Objectives
Core PSPs:			
Administration/governance	2	Unsatisfactory	Unsatisfactory
Agriculture and livestock	4	Satisfactory	Unsatisfactory
Commerce and industry	2	Satisfactory	Unsatisfactory
Community development	4	Satisfactory	Unsatisfactory
Education	5	Satisfactory	Satisfactory
Employment	1	Unsatisfactory	Unsatisfactory
Environment	0	NA	NA
Forestry	4	Satisfactory	Satisfactory
Health	5	Satisfactory	Satisfactory
Lands and physical planning	1	Unsatisfactory	Unsatisfactory
Law and justice	2	Satisfactory	Unsatisfactory
Policy and planning	1	Satisfactory	Satisfactory
Specific PSPs			
Fisheries	1	Unsatisfactory	Unsatisfactory
Mining/petroleum/gas	3	Unsatisfactory	Unsatisfactory

In general, most PSPs stated their goals satisfactorily in the sense that they were mainly broad in nature, which is consistent with the expectations (see Section 5.1.4). The objectives, however, were not satisfactory overall, in that many were not specific enough, not measurable and not time bound. This could present problems when devising the implementation plan and monitoring and evaluation protocols.

PSP Implementation Plan

Table 9 presents an assessment of the implementation plan aspects for each type of PSP. Column 1 and 2 are as per Table 5. Columns 3, 4, 5, 6 and 7, present an assessment of the Strategic Initiatives (SI), Implementing Entities (IE), Timeline (T), Resource Needs (RN) and Success Measures (SM), respectively. Each of these aspects was assessed qualitatively using the following criteria: satisfactory (S) if the PSP adequately specifies the particular implementation aspect; unsatisfactory (U) if the coverage was inadequate or poor; and not applicable (NA) if the sample size for the PSP type is zero. For detail description of the implementation plan aspects see Annex 2.

Table 9: The implementation plans of the PSPs

PSP Type	Sample	SI	IE	T	RN	SM
Core PSPs:						
Administration/governance	2	U	U	U	U	U
Agriculture and livestock	4	U	U	U	U	U
Commerce and industry	2	U	U	U	U	U
Community development	4	U	U	U	U	U
Education	5	S	S	U	S	S
Employment	1	U	U	U	U	U
Environment	0	NA	NA	NA	NA	NA
Forestry	4	S	U	U	S	U
Health	5	S	S	S	S	S
Lands and physical planning	1	U	U	U	U	U
Law and justice	2	S	U	U	U	S
Policy and planning	1	S	U	U	U	U
Specific PSPs:						
Fisheries	1	S	S	S	U	U
Mining/petroleum/gas	3	U	U	U	U	U

From Table 9, the following can be observed for each aspect of the implementation plan:

- **Strategic initiatives:** overall, there is poor specification of the strategic initiatives. Only six PSP types (education, forestry, health, law and justice, policy and planning, and fisheries) seemed to have satisfactorily specified some form of strategic initiative. The overall lack of specification of strategies is a major cause for concern, because, without the strategies (that is, the means), the objectives of the plans cannot be implemented.
- **Implementing entities:** the implementing entities have not been adequately incorporated into the implementation plans of the PSPs, in general. Only three PSP types (health, education and fisheries) provided sufficient coverage of the implementing entities. This lack of specification of the implementing entities implies that the plans are hardly acted on.
- **Timelines:** most PSPs do not adequately provide timelines for the strategic initiatives/activities, although they attempt to. Most of the timelines are general in nature; that is, only general times about the total duration of the projects/programs were given, but not specification of the timelines for the different phases of a plan's implementation. Only two PSP types (health and fisheries) seem to have adequately specified the timelines for their implementation.
- **Resource needs:** In general, the PSPs have not specified the resources needs. Only three PSP types (education, forestry and health) gave a satisfactory account of the resource needs. However, these resource needs seemed to focus on the financial resources but not the non-financial resources such as logistics and personnel.

Success measures: The success measures suffer from poor specification. That is, most performance indicators are mainly descriptive in nature, rather than quantifiable. This may be sufficient for the objectives that are qualitative in nature. However, for the objectives that are quantitative, quantifiable measurements need to be specified. Only three PSP types

(education, health, and law and justice) provided a satisfactory account of the success measures.

PSP Monitoring, Evaluation and Feedback Protocols

In general, the PSPs do not contain clear guidelines on the monitoring, evaluation and feedback (MEF) protocols. The main monitoring and evaluation tool seemed to be the quarterly budget reviews, which is mainly relevant for tracking the financial resources, but not the whole implementation of the plan. Moreover, guidelines for feedback mechanisms are lacking in the plans. An analysis of the PSP contents with regards to their MEF protocols against the general expectations in Section 5.1.6 and the specific ones in Section 5.2.2 has revealed the following:

- **Lack of a clear monitoring and evaluation (M&E) process:** The monitoring and evaluation process has not been specified, which is evident by the poor specification or non-specification of the M&E entities, timelines and resource needs.
- **Measurement:** The PSPs lack clear guidelines or frameworks for measuring the success or otherwise of the implementation plan.
- **Feedback process:** The feedback process (both upstream and downstream) are lacking in the PSPs.

PLANNING, IMPLEMENTATION AND MONITORING CONSTRAINTS

This section presents some of the key constraints relating to planning, implementation and monitoring (evaluation and feedback) that emanated from the interviews and meetings with the key-informants and also the general observations of the authors.¹⁸ These constraints (and the sections) are as follows:

- lack of a formal planning process (Section 8.1);
- lack of data collection and information management (Section 8.2);
- lack of resources (Section 8.3);
- lack of monitoring and evaluation (Section 8.4);
- weak intra-plan linkages (Section 8.5);
- weak inter-plan linkages (Section 8.6);
- lack of synchronisation of the plan life-cycles (Section 8.7);
- lack of networking and coordination (Section 8.8); and
- lack of political and administrative support (Section 8.9).

Lack of a Formal Planning Process

Most provinces reported that they do not follow a formal planning process; instead, two main informal approaches have been used. First, in the absence of the (five-year) PDPs, some provinces (a total of 12 of the 16 provinces visited) have based their sector plans on the respective national sector plans (NSPs). For example, in the case of health, some provinces' health sector plan has been based on the National Health Plan. Second, in the absence of both a PDP and a NSP, provincial sector planning has been conducted on an ad-hoc basis. Such plans are usually guidelines for project management, rather than formal plans, *per se*. Overall, from the interviews and meetings, it seems that most planning at the sectoral level is done in isolation and usually on an ad-hoc basis.

Lack of Data Collection and Information Management

Data and information about the province or sectors are the basis of planning. Before planners embark on planning (for the future), they need to know the current status of the province, which can only be provided by good data and information. Without data and information, planning will be ad-hoc, which effectively weakens the chances of the plans being implemented.

Both the collection and management of data and information were cited by the key-informants as being a major constraint that has hindered the planning. Vital logistics, such as efficient transportation and communication, which are required for data gathering, are grossly lacking. The problem is worsened by the lack of information sharing between divisions, even when information was available. In particular, in terms of the PDP, the planning divisions need information from other divisions in order for them to formulate the plan, but this seems to be lacking.

An effective information management system to manage the data collection, collation, storage and analysis, which are vital for the success of the planning process, is also lacking. However, there were a few cases of successful data management, two of which are presented here, as lessons for others to follow. The first case is that of the Health

¹⁸ Any specific issues concerning a particular plan type are discussed accordingly.

Division in New Ireland Province, where there is a successful data and information management system. The Health Division has strong links with the District/rural areas, whereby forms are distributed and information is filled and returned monthly to the Provincial health office. The office then collates and inputs data into its information system for use. This information and data is regularly updated. The other example is that of Milne Bay Province which has an established Management Information System (MIS), which provides the data and information required for good planning.

Lack of Resources

The meetings and interviews revealed that the lack of key resources such as skilled manpower/personnel, development finance and logistics has hindered sound planning as well as the implementation of the plans:

- **Lack of skilled manpower:** Proper planning requires adequate expertise in planning. However, this is lacking in most of the provinces surveyed. As a result, the formulation of the plans has suffered from a lack of proper technical input, which would have been provided by professional planners. Another main concern was that those who do not have a qualification or general awareness in planning may not (or tend not to) buy new ideas about planning. This affects the willingness and ability to plan and could lead to low staff morale and poor performance.

A related concern is that in practice, the sectors/divisions seem to depend on a 'Policy and Planning Division' to do planning for all divisions. However, the planning divisions are poorly staffed, both in quantitative and qualitative terms, thus hindering the ability of the planning divisions.

- **Lack of financial resources:** The lack of financial resources reduces the capacity of the implementing entities to implement the plans (PSPs). The lack of financial resources was claimed by all provinces surveyed to be the major factor impeding the implementation of the development plans. The financial constraint may be seen from two perspectives. First, there is the common problem of inadequate allocation of finance for development by the budgetary process. Over time, evidence has shown that most funding is generally taken up by recurrent expenditure, which leaves little for funding development projects/programs. This has forced some sectors to look elsewhere, particularly to external donors, for funding, rather than the provincial budgets. For example, one planning officer retorted that "some divisions do their planning based on their respective national plans,¹⁹ which have adequate funding from donors, rather than through the provincial planning system, which is poorly funded." This was particularly prevalent in the social sectors, particularly health and education. Such a tendency may also be driven by the focus of most foreign aid, which is directed towards social services and infrastructure.

The second problem relates to a lack of proper financial management. That is, the manner in which the budgeted development funds are managed and used has a big bearing on whether or not the plans are implemented. When the funds earmarked for development are diverted elsewhere, it is a recipe for the failure of development plans. This has been a problem for many provinces.

Lack of logistics: The key-informants have reported that logistical constraints have been a "thorn in the side" in terms of the poor implementation of development plans. Logistics such

¹⁹ Mainly the National Health Plan and National Education Plan

as transportation and communication are vital for the successful implementation of the programs and projects (and therefore a development plan). In the absence of such logistics, the failure of plans is imminent²⁰. The rugged terrain and sparse location of islands already provides a logistical nightmare. The lack of adequate logistical support only exacerbates the problem.

Poor Monitoring and Evaluation

Two main relevant points regarding monitoring and evaluation (M&E) emanated from the interviews/meeting with the key informants. First, there is a perception that monitoring and evaluation is '*legally a national function, to be undertaken by the Department of National Planning and Monitoring (DNPM) and the National Monitoring Authority (NMA)*'. However, it is felt that in practice, this has been absent and hence, the provinces have been left to 'fend for themselves'. In the authors' opinion, this argument may be relevant in terms of the overall planning advice on M&E, which the national institutions such as DNPM are mandated to provide. However, in terms of M&E for the specific plans and projects/programs, the onus is on the authorities and relevant personnel at the provincial level who are in a better position to coordinate M&E activities.

The other issue that emanated from the meetings/interviews, is that currently, M&E is more project-based (through quarterly budget reviews), with little focus on the actual monitoring and evaluation of plans. The monitoring and evaluation of projects is just one aspect of the overall monitoring and evaluation of plans. The effective monitoring and evaluation of the plans should encompass the whole formulation and implementation process of the development planning.

Finally, just like implementation, effective M&E is constrained by the lack of financial and human resources and logistics.

Weak Intra-plan Linkages

Intra-plan linkages refer to the link or relationship between the different components within (or of) a plan (see Section 5.1.1 to Section 5.1.6). That is, there needs to be strong links between the following:

- profile statement;
- vision, mission and values;
- goals and objectives;
- implementation plan; and
- monitoring and evaluation protocols.

A strong link between the different components makes the plan sound and aid would enhance the implementation and evaluation of the plan. However, the authors' observations of the plan documents showed that there was poor or weak linkage between and amongst the different parts of a plan. Such weak linkages have undermined the usefulness of the development plans and may have hindered successful implementation of the plans.

²⁰ The lack of logistics emphasises the importance of having good cross-cutting plans.

Weak Inter-plan Linkages

Inter-plan linkages refer to the linkages between the different types of plans. The success of a particular plan is not only dependent on its own successful implementation, *per se*, but also on the successful implementation of other related plans. In other words, each plan should be seen as part of a system of relevant plans and not as an isolated plan.

In general, inter-plan linkages seem to be weak. For instance, during the interviews/meetings, the planners expressed concerns about the lack of a strong link between PSPs and the PDPs and the respective National Sector Plans (NSPs).

Lack of Synchronisation of the Plan Life-cycles

The authors' observation of the plan documents was that there was a lack of synergy in terms of the life-cycle of the various plans. For example, the life-cycle of the PDPs are not synchronised with the life-cycle of the national development plan (MTDS) and the PSPs.

The lack of synergy in the plan life-cycles makes it difficult to coordinate resources for the plans, particularly the budgetary appropriations, which are the main development finance, from the national government. Another concern with the disjointed planning life-cycles is that it could lead to a lack of a 'united ownership' (both political and administrative) of the plans by the national, provincial and local level governments/administrations. When a united ownership is lacking or non-existent, the plans would hardly get implemented.

Lack of Networking and Coordination

Poor coordination and networking has been a major constraint that has hindered the efficacy of planning. The provincial government/administration needs to have strong links with the National Government and its agencies, the LLGs, and its sectors/divisions. This networking is important to ensure that all stakeholders are adequately and effectively involved in planning. Good networking would assist in sound planning and successful implementation of the development plans. However, the interviews and meetings indicated that there is poor networking and coordination amongst the stakeholders, which has hampered the effective planning as well as implementation of the plans.

The other issue was that there seemed to be an ongoing lack of coordination/cooperation amongst the sectors/divisions within the provincial administration. Strong linkage between sectors is important because the successful implementation of one sector's plan also depends on the successful implementation of other related (relevant) sector plans (as stressed in Section 8.6). For example, the successful delivery of health and education services depends on efficient transportation and communication services. Therefore, cooperation amongst the concerned sectors is very crucial for the success of the plans. Failure to work in collaboration is a recipe for the failure of the plans. Unfortunately, this seems to be the norm in practice, because sectoral planning seems disjointed.

Lack of Political and Administrative Support

Ultimately the success of the plan would rest with the political direction and administrative support from the provincial government and administration. These two key institutions provide the 'captaincy role' for the plans. However, the interviews/meetings have revealed

that there is a general lack of political will and direction as far as planning is concerned. At other times, the political influence has been negative, especially when there is interference in the administrative arm of the provinces. This stifles the overall drive for planning.

Administrative support by the provincial administrations has also been weak in general. A particular issue is that some administrations seem to be just comfortable with ad-hoc management of development projects/programs, rather than employing planning as a tool for implementing the development projects/programs. However, anecdotal evidence suggests that things that are done on ad-hoc basis have very low success rates.

MAIN RESULTS AND CONCLUSIONS

This section summarises the main results and conclusions of the study. Section 9.1 summarises the results and conclusions of the analysis on the presence/absence of the plans, which answers the first study objective. Section 9.2 summarises the results and conclusions of the analysis on the content of the plans, thus addressing the second study objective. Finally, Section 9.3 summarises the results and conclusions of the analysis on the planning, implementation and monitoring constraints, which addresses the third study objective.

Low level of Planning

The overall result from the analysis in Section 4 (presence/absence of the plans) is that there is a low level of planning for all the six types of plans. This was evidenced by the low presence of the six types of plan documents, as summarised below:

- Only 2 out of 16 (or 12.5%) surveyed provinces had a PLTP.
- Only 4 out of 16 (or 12.5%) surveyed provinces had a (five-year) PDP.
- Only 35 (that is, 31 core PSPs *plus* 4 specific PSPs) out of the 209 (or 16.7%) total expected PSPs (that is, 192 core PSPs *plus* 17 specific PSPs) were found for the 16 provinces.
- Only 27 out of 240 (or 11.25%) total expected number of CCPs were found for the 16 provinces.
- Only 1 out of 16 (or 6%) of the provinces surveyed had a CP.
- There was minimal evidence of the presence of AAPs.

Unsound Planning Practices

The analysis of the contents of the PDPs (Section 6) and PSPs (Section 7) revealed that the plans have not been soundly formulated, in general. This was evident by the:

- *Poor documentation of the planning process* for both the PDPs and PSPs. This could impact negatively on sound planning practices in two main ways. First, if problems relating to the planning process were to arise, then they could not be determined if the process was not documented. By documenting the planning process, its appropriateness or soundness may be more easily ascertained. Second, by not documenting the planning process, future improvements cannot be made.
- *Inadequate documentation of the provincial and sector profiles* which could result in the planners falling into the trap of 'wishful planning', whereby the plan vision, goals and objectives are based on what the planners 'think' rather than being derived from, or determined, by the current state of the provincial economy or sectors.
- *Inadequate specification of the mission, vision and values* which could lead to unclear or ambitious goals and objectives.
- *Inadequate specification of the plan objectives* which makes it difficult to formulate the implementation plan and the monitoring and evaluation protocols.
- *Poor formulation of the implementation plans* (of the PSPs) which was evident from the poor specification or documentation of the strategic initiatives; implementing entities; timelines; resource needs and success measures. The poor specification of

these aspects of the implementation plan could lead to undue delays in implementation or total failure of the plans.

- *Poor specification of the monitoring, evaluation and feedback protocols* as shown by the poor specification/discussion of the monitoring and evaluation process; measurement framework and feedback process.

Planning, Implementation and Monitoring Constraints

Discussions with the key-informants and general observations by the researchers (see Section 9) revealed the following as the main constraints to sound planning, implementation and monitoring of the plans.

- *Lack of a formal planning process*, which has resulted in a practice of ad-hoc planning.
- *Lack of data collection and weak information management* has hindered sound planning.
- *Lack of resources*, such as skilled manpower, financial resources and logistics, has hindered sound planning, implementation and monitoring of the plans.
- *Poor monitoring and evaluation* has hindered the successful implementation of plans.
- *Poor intra-plan linkages* which have undermined the usefulness of the development plans.
- *Poor inter-plan linkages*, which have resulted in disjointed planning, lack of cooperation and duplication of resources.
- *Lack of synergy in the plan life-cycles*, which makes it difficult to coordinate resources and discourages a 'united ownership' of the plans.
- *Lack of networking and coordination* between and amongst the various stakeholders has hampered sound planning and implementation of the plans.
- *Lack of political and administrative support* has hindered the proper use of development planning as tool for achieving the development objectives of the provinces.

RECOMMENDATIONS

Based on the main results and conclusions in Section 9, the authors make the following key recommendations. It is hoped that these actions may lead to improvements in sound planning and effective implementation of development plans at the provincial level. Section 10.1 discusses recommendations for increasing the level of planning. Section 10.2 presents the recommendations for improving the plan contents. Section 10.3 presents the recommendations for addressing the planning, implementation and monitoring constraints.

Increase the Level of Planning

Given the low incidence of planning for all plan types, the relevant authorities should be more proactive in encouraging and driving the formulation of the different types of plans. This may be accomplished as follows:

- The provincial government and administration should be more proactive in driving the formulation of the PLTPs and PDPs.
- The respective divisional/sectoral heads in cooperation with the policy and planning division head should provide the drive and leadership for formulation of the PSPs and CCPs.
- The provincial administration should provide the drive and leadership for formulating the provincial administration corporate plans.
- Each individual involved in the planning, implementation and monitoring of the plans should be encouraged to develop their AAPs.

In order for the above to work, the planning constraints (as discussed in Section 10.3) must be adequately addressed.

Improve the Formulation of the Plan Documents

Given the poor formulation of the plans analysed (PDPs and PSPs), there is a need to improve them by:

- *Adequate documentation/discussion of the planning process* in an introductory chapter or section of the PDP or PSP.
- *Discussing the provincial and sector profiles* in order to provide a strong basis for the plans' vision, goals and objectives.
- *Proper specification of the plan objectives*, which need to be unambiguous, measurable and time bound.
- *Proper formulation of the implementation plan* by incorporating the key aspects in a template such as Table 10 below. This applies mainly to the PSP, consistent with the planning framework (see Section 5). For each goal, state the number of objectives (for example in Table 10, the goal has 2 objectives). For each objective, state the number of strategies required (for example in Table 10, Objective 1 has 2 strategic initiatives while Objective 2 has 3 initiatives). For each strategic initiative (Column 1), state the required implementing entity (Column 2), timeframe (Column 3), resource needs (Column 4) and success measures (Column 5).

Table 10: An implementation plan template

Goal #. 1: (State the PSP goal) ²¹				
Objective #. 1: (State the objective)				
Strategic initiative	Implementing entity	Timeframe	Resource needs	Success measures
1.	Name it/them	State duration	Specify quantity and quality	Specify them (quantitative/qualitative)
2.	As above	As above	As above	As above
Objective #. 2: (State objective 2)				
Strategic initiative	Implementing entity	Timeframe	Resource needs	Success measures
1.	Name it/them	State duration	Specify quantity and quality	Specify them (quantitative/qualitative)
2.	As above	As above	As above	As above
3.	As above	As above	As above	As above

Source: Authors' formulation based on Community College of Allegheny County, 2005

- *Improve the formulation of the monitoring, evaluation and feedback protocols* by specifying the monitoring and evaluation (M&E) process, success measures and feedback process. Note that the authors discuss this in the context of the PSPs, consistent with the framework (see Section 5.2). Given the link between the PDP and PSP goals, as discussed in the application framework (Section 5.2), the authors take the view that the monitoring and evaluation of the PSPs should also, indirectly, be a monitoring and evaluation of the PDPs.

In terms of the *M&E process*, specify the M&E entities, timelines and resource requirements as follows:

- *M&E entity:* specify who is responsible for monitoring the implementation of each objective and strategy. Essentially, the relevant head of the division/sector should have the oversight over the M&E process, with inputs from relevant project/program leaders responsible for each project or program contained in the sector plan.
- *Timelines:* specify the number of times and the proposed dates when M&E should take place.
- *Resource requirements:* specify the financial resources and logistics that would be required by the M&E entities to perform their job.

In terms of *measurement*, specify the measures of success or otherwise, for the implementation plan. To achieve this, the PSP must outline a framework for measuring the actual performance situation against the expectations, for each aspect of the Implementation Plan. The planners should develop a measurement framework that is appropriate for the particular needs of the PSP.

²¹ Note that for a PSP, there will be a number of goals, hence the PSP will have a number of implementation plans (such as Table 11) corresponding to the number of goals.

Table 11 presents a measurement template which could be used to measure the success of each goal/objective/strategic initiative.²² Under the “Strategic Initiative” column, one would simply restate the strategies from the implementation plan (Table 10). For the “Implementing Entity” column, the evaluators should state whether or not the implementers of each strategic initiative have commenced (that is, Yes/No). If ‘No’, the reason should be stated. If the answer is “Yes”, the performance of the implementing entity should be rated using some agreed criteria (for instance, satisfactory or not satisfactory). Under the “Timeframe” column, one would state whether implementation was on track or not and provide the reasons. The “Resource Needs” column should describe whether or not sufficient resources have been provided and the reasons for “no”. Finally, under the “Success Measures” column, the evaluators should state whether or not the targets have been achieved or not, for each strategic initiative. The information gathered from this table would serve as the basis for providing feedback to the relevant authorities/personnel.

Table 11: A monitoring and evaluation template

Goal #. 1: State the first PSP Goal²³				
Objective #. 1: State the Objective 1 for Goal 1				
Strategic Initiative	Implementing Entity	Timeframe	Resource Needs	Success Measures
1.	Started work: Y/N? If yes rate the performance	State whether ‘on time’ or ‘Delayed’ and reason	Provided/not provided? and why?	Achieved/not achieved? and why?
2.	As above	As above	As above	As above
Objective #. 2: State Objective 2 for Goal 1				
Strategic initiative	Implementing entity	Timeframe	Resource needs	Success measures
1.	Started work: Y/N? If yes rate the performance	State whether ‘on time’ or ‘Delayed’ and reason	Provided/not provided? and why?	Achieved/not achieved? and why?
2.	As above	As above	As above	As above
3.	As above	As above	As above	As above

With regards to *feedback*, the plan should specify the feedback process for communicating the results of the performance measurement (in Table 11). That is, who should hear about and act on the success or failure of the implementation of a particular goal/objective/strategy? Feedback should be both ‘upstream’ and ‘downstream feedback’. Upstream feedback would generally involve communication to the planners or overseers of implementation, while downstream feedback would entail communications to the implementing entities.

What is to be communicated (for both upstream and downstream feedback) would depend on the results of the performance measurement. If the results are generally negative, then the communication would entail advice about the need for improvements and how that may

²² Note that Table 11 is similar to Table 10, except that the focus is now on monitoring and evaluation, rather than implementation.

²³ Note that in the PSP, there will be a number of goals, hence the number of monitoring and evaluation tables (such as Table 11) will be equal to the number of goals for the PSP.

be accomplished. Penalties for poor performance by implementers (where applicable) may also be communicated (if this was part of the work conditions).²⁴ On the other hand, if the findings are generally positive, then feedback would involve commendations for success and relevant rewards if they are part of the worker performance conditions.

In specific terms, for a PSP, upstream feedback would run from project leaders to sector/divisional head, and would entail reports of the success or problems faced during implementation. Upstream feedback should also extend to the head of the 'Policy and Planning Division' and/or provincial government and administration in order to ensure that the sector activities are being consistent with the PDPs goals. Downstream feedback would run from the divisional head to project leader which would entail advice/direction on how the problems could be solved or addressed in order to improve implementation. Downstream feedback should also involve advice (down) from the Provincial Government and Administration to the sector heads on resource issues and policy direction.

Address the Planning, Implementation and Monitoring Constraints

In order to encourage effective formulation, implementation and monitoring of the plans, the constraints need to be adequately addressed. In this respect, the authors make the following recommendations for addressing the constraints:

- *Have a strong and effective planning process* by establishing formal planning processes or protocols.
- *Improve data collection and information management* by setting in place strong systems for the collection, management and appropriate use of relevant data and information.
- *Strengthen capacity building* in order to strengthen the ability of the planners to formulate sound plans and the capacity of the implementing and monitoring entities to implement and monitor the plans. Capacity building should involve strengthening both the financial and technical capacity of the planning and implementing entities within the provinces. In cases where technical capacity is not readily available in the provinces, short-term consultancy may be an option to address the technical shortfalls.
- *Increase the level of development finance and its management* in order to ensure that plan formulation, implementation and monitoring activities are adequately financed. The current work undertaken by the National Economic Fiscal Commission (NEFC) to address the funding issues for the provinces is a step in the right direction.
- *Increase logistical support* to the planning, implementing and monitoring entities in order to improve plan formulation, implementation and monitoring/evaluation.
- *Strengthen the intra-linkages of the plan components* in order to make the plans user-friendly during implementation and monitoring.
- *Strengthen the inter-linkages of the plans* in order to encourage cooperation and avoid duplication and wastage of resources (finance, personnel, logistics and time). Strong plan linkages can also aid the implementation of the plans.

²⁴ Penalties should only be given if the poor performance is due to clear neglect on the part of the implementing entities. Penalties should not apply if the non-performance was due to unforeseen circumstances; for example, delays due to bad weather or lack of resources.

- *Synchronise the life-cycle of the plans* with the parliamentary electoral cycle in order to strengthen political ownership of the plans. Increased political ownership of the plans would provide the drive and leadership for successful implementation (Mawuli *et al* 2006).
- *Improve networking and coordination* in order to ensure a coordinated planning process and united effort in terms of the plan implementation and monitoring and evaluation.
- *Strengthen political and administrative support* in order to provide the political will, direction and drive for effective planning and the resources required for implementation and monitoring and evaluation of the plans.

AREAS FOR FURTHER RESEARCH

The study highlights certain areas for further research, which if carried out, could contribute to further knowledge and understanding of the planning issues, in order to improve future planning and implementation of the development plans. These issues include:

- *Focussed case studies:* Future research could focus on a few case studies in order to investigate the specific aspects of the planning and implementation issues or constraints, which have been highlighted in the current study. In particular, the study could focus on more extensive interviews of people involved in the process from plan formulation to implementation of the PSPs. Detailed analysis of development projects/programs could also be undertaken.
- *Review of provincial long term plans (PLTPs):* the PLTPs play an important role in providing the long term vision or direction for the provinces. Future research could review the contents of the PLTPs in relation to the national long term plan (PNGV2050).
- *Review of cross-cutting plans (CCPs) contents:* these plans play an important role in the success or otherwise of the development plans, discussed in the current study. Future research could review the contents of cross-cutting plans and their role impacting the planning and implementation processes.
- *Review of corporate plans (CPs) contents:* these are organisational plans aimed at strengthening the capacity of the planning and implementing entities or institutions to plan and implement various development plans. In the current study the authors have only discussed the presence/absence of the corporate plans. Future research could review the contents of such plans and their linkage with the development plans.
- *Review of annual activity plans (AAPs):* an annual activity plan is an operational plan which focuses on the specific activities and how they will be carried out, a yearly basis. The AAP can be done at the Divisional and/or individual levels. The success of the development plans depends very much on the successful accomplishment of the AAPs. Future research could assess the contents of such plans and their role in the implementation and monitoring of the development plans.
- *Review of the district development plans:* the OLP&GLLG provides a legal obligation for both the provinces and districts to develop 5-year rolling development plans. Future research could be carried out to review the District (or LLG) development plans, using a similar approach to that undertaken in the current study.

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ANNEXES

Annex 1: Contents of the Provincial Sector Plans

PSP type	Number of plans	Analysis of the contents ²⁵
Core PSPs:		
Administration/governance	2	<ul style="list-style-type: none"> • Overview of organisational structure provided • Mission and vision stated but values neglected • No specification of goals and objectives
Agriculture and livestock	4	<ul style="list-style-type: none"> • Overview of cash crops and livestock provided • Mission and vision stated but values neglected • Satisfactory goals but non-specific objectives
Commerce and industry	2	<ul style="list-style-type: none"> • Profile of the current status of the industry provided • Mission and vision stated but values neglected • Satisfactory goals but non-specific objectives
Community development	4	<ul style="list-style-type: none"> • Current status of youth, women, sports and religion provided • Mission and vision stated but values neglected • Satisfactory goals but non-specific objectives
Education	5	<ul style="list-style-type: none"> • Overview of present status and future direction provided • Mission, vision and values stated • Satisfactory statement of goals and objectives
Employment	1	<ul style="list-style-type: none"> • Employment status, current situation, and future direction stated • Mission and vision stated but values neglected • Unsatisfactory statement of goals and objectives

²⁵ The first bullet point talks about the coverage of the 'profile of the sector'; second bullet point analyses the 'mission, vision and values'; and the third bullet point talks about the 'goals and objectives' of the PSP.

PSP type	Number of plans	Analysis of the contents²⁵
Environment	Nil	NA
Forestry	4	<ul style="list-style-type: none"> • Current status of forests and future direction stated • Mission and vision stated but values neglected • Satisfactory statement of goals and objectives
Health	5	<ul style="list-style-type: none"> • Current outlook and future direction stated • Mission, vision and values stated • Satisfactory statement of goals and objectives
Lands and physical planning	1	<ul style="list-style-type: none"> • Current status of land administration and physical planning stated • Mission and vision stated but values neglected • Unsatisfactory statement of goals and objectives
Law and justice (order)	2	<ul style="list-style-type: none"> • Listing of law enforcement bodies • Mission, vision and values stated • Satisfactory statement of goals and objectives not specific
Policy and planning	1	<ul style="list-style-type: none"> • Profile of policies stated • Mission and vision stated but values neglected • Satisfactory statement of goals and objectives
Specific PSPs:		
Fisheries	1	<ul style="list-style-type: none"> • Overview of industry and strategies stated • Mission and vision stated but values neglected • Unsatisfactory statement of goals and objectives
Mining and energy	3	<ul style="list-style-type: none"> • Current status and future outlook stated • Mission and vision stated but values neglected • Unsatisfactory statement of goals and objectives

Annex 2: Quality of the PSP Implementation Plans

Sectors	Number of plans	Quality of coverage of implementation aspects
Core PSPs:		
Administration/governance	2	Poor statement of strategic initiatives (SIs), implementing entities (IEs), timeframes (Ts), resource needs (RNs) and success measures (SMs)
Agriculture and livestock	4	Poor coverage of all components (SIs, IEs, Ts, RNs, and SMs)
Commerce and industry	2	Poor coverage of all components
Community development	4	Poor coverage of all components
Education	5	Satisfactory coverage of the SIs, IEs, RNs and SMs but poor statement of the Ts.
Employment	1	Poor coverage of all components
Environment	Nil	NA
Forestry	4	Satisfactory coverage of the RNs but poor coverage of the SIs, IEs Ts and SMs.
Health	5	Satisfactory coverage of all components
Lands and physical planning	1	Poor coverage of all components
Law and justice	2	Satisfactory coverage of the SIs and SMs but poor coverage of IEs, Ts and RNs
Policy and planning	1	Satisfactory coverage of SIs but poor coverage of IEs, Ts, RNs and SMs
Specific PSPs:		
Fisheries	1	Satisfactory coverage of the SIs, IEs, and Ts but poor coverage of RNs and SMs
Mining and energy	3	Poor coverage of all components

Annex 3: Cross-Cutting Plans

CCP type	Number	Main features of the contents
Ambulance services	1	Highlighted the need for ambulance services
Banking services	2	Highlighted need for banking services in the rural areas
Communication services	3	Stated the need for communication network and logistics such as telephones and VHF Radios
Disaster management	1	Highlighted the need for proper disaster management
Emergency services	1	Highlighted the need for proper management of emergency services
Energy (electricity)	1	Stated the need for wider electricity coverage
Financial services	1	Scope of finance and treasury, budget and revenue
Fire services	1	Status of the fire service
Food security	1	Stated the need for proper food security management
HIV/AIDS management	1	Stated the need for addressing the threat of the disease
Infrastructure	5	Status, constraints and future direction of infrastructure; policy goals and objectives stated; transport, housing and office buildings
Population management	2	List of action plans regarding population management
Postal services	2	Highlighted the need for postal facilities
Tourism and culture	3	Tourism status, the current situation and future direction; and potential Tourism sites and products
Water supply	2	Need for proper water supply and sanitation

