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**Why has Plan Implementation been ineffective in Ghana? A Case Study of Planning in the
Kwabre East District Assembly and Offinso Municipal Assembly**

BY: GABRIEL APPIAH

**Thesis Submitted in Partial Fulfillment of the
Requirements for the Degree of
Master of Arts
in**

Urban and Regional Studies

**Minnesota State University, Mankato
Mankato, Minnesota
November 2016**

Why has Plan Implementation been ineffective in Ghana? A Case Study of Planning in the Kwabre East District Assembly and Offinso Municipal Assembly.

GABRIEL APPIAH

This thesis has been examined and approved by the following members of the student's committee.

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ABSTRACT

Plan implementation is crucial to the success of any society. For a community to feel the impact of planning, planners should implement plans efficiently. In the light of the importance of plan implementation to our community, the study evaluated the various factors (institutional capacity, and citizen participation) that affected the implementation of the DMTDP (2006-2013) in Offinso Municipal Assembly (OMA) and Kwabre East District Assembly (KEDA) in Ghana. The Study used desk study and institutional survey to evaluate plan implementation in both districts. The study found that the challenges causing the poor performance in plan implementation in both District Assemblies and Ghana as a whole are multifaceted. These findings imply that a single solution is not going to cut it, and as such integrated approach should be adopted to improve plan implementation in OMA and KEDA and Ghana as a whole.

Some of the challenges of plan implementation identified by the study include over dependency on external funding or central government, low internally generated revenue, political interference, lack of political will, low citizen's involvement in planning, weak institutional capacity and others. The study recommended strategies such as improvement of staff capacities and competencies, enhancing the availability of physical resources, effective management of financial resources, encouraging citizen participation, adopting public-private partnership in plan implementation and others. The study recommends that these strategies are implemented simultaneously and integrated into the existing systems in both District Assemblies and Ghana as a whole.

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TABLE OF CONTENTS

ABSTRACT	i
ACKNOWLEDGEMENT.....	ii
TABLE OF CONTENTS	iii
LIST OF FIGURES	vii
LIST OF TABLES	viii
CHAPTER ONE	1
GENERAL INTRODUCTION	1
1.1 Background	1
1.2 Problem Statement	6
1.3 Scope of the Study.....	7
CHAPTER TWO.....	8
PLANNING AS A TOOL FOR GUIDING DEVELOPMENT.....	8
2.1 Introduction	8
2.2 Plan Preparation	8
2.2.1 Plan Preparation Process.....	9
1. Identify Issues and Options.....	10
2. State Goals, Objectives, and Priorities.....	11
3. Collect and interpret Data	11
4. Prepare Plans	11
5. Review and Adopt Plans	11
2.3 Plan Implementation	12
2.3.1 Factors Affecting Plan Implementation.....	13
1. Plan Quality	14
2. Commitment and capacity of the planning agency	14
3. Public Participation	15
4. Enforcement style	15
6. Complexities of the Local Political Context.....	16

7. Uncertainties.....	16
8. Economic Downturn	17
2.3.3 Plan Implementation Process.....	17
2.4 Planning in Ghana	20
2.4.1 History of Planning in Ghana	20
1. Pre-Independence Era	20
2. Post-Independence Era.....	22
3. Planning in the Contemporary Times	24
2.4.2 Institutions and Legislation supporting Planning in Ghana.....	29
2.4.4 Plan Implementation in Ghana.....	33
2.5 Cases on Effective Plan Implementation and Management	36
2.5.1 Plan Implementation at the Municipal level in the United States	36
1. Challenges of Plan Implementation in the United States.....	37
2.5.2 Plan Implementation in Tanzania.....	39
1. Challenges of Plan Implementation in Tanzania.....	42
2.6 Comparison of Plan Implementation between Ghana, Tanzania and U.S. A	43
2.7 Conceptualization of Plan Implementation	44
2.8 Summary and Lessons Learned	47
 CHAPTER THREE	 49
RESEARCH METHODOLOGY	49
3.1 Introduction	49
3.2 Research Process.....	49
3.3 Research Design	50
3.4 Data type and source.....	51
3.4.1 Method of Data Collection	52
3.5 Selection of Study Area	52
3.6 Data Analysis.....	53
3.7 Limitation to the Study.....	53

CHAPTER FOUR.....	54
THE STATE OF PLAN IMPLEMENTATION IN GHANA	54
4.1 Introduction	54
4.2 Factors affecting Plan Implementation in KEDA and OMA	54
4.2.1 Institutional Capacity of both District Assemblies	54
1. Staff Capacity, Competencies, and Qualification	55
2. Training Opportunities for Staff in both District Assemblies.....	57
3. Physical Resource Capacity for Plan Implementation	58
4. Financial Resources Capacity	59
4.3 Participation Level of Citizens in Plan Implementation at both Districts.....	73
4.3 Challenges of Plan Implementation at both Districts	74
4.4 Summary.....	76
 CHAPTER FIVE.....	 77
FINDINGS, DISCUSSION, AND RECOMMENDATIONS.....	77
5.1 Introduction	77
5.2 Findings and Discussions.....	77
5.2.1 Factors affecting Plan Implementation in both District Assemblies	77
1. Staffing Capacity	77
2. Training Opportunities for Staff.....	78
3. Physical Resource for Plan Implementation	78
4. Financial Performance	78
5. Public Participation in Plan Implementation	79
5.3.1 Challenges of Plan Implementation in both District Assemblies	80
5.4 Recommendations	81
5.4.1 Staffing Capacity and Competencies	81
1. Setting and Monitoring District Assemblies’ Targets	81
2. Performance Measure	82
3. Staff Training	82
4. Partnership with Department of Planning – Kwame Nkrumah University of Science and Tech.....	83

5.4.2 Enhancing Physical Resource.....	83
5.4.3 Management of Financial Resource	84
1. Transparency and Accountability in the management of revenue	84
2. Effective Data Management	84
3. Updating and enforcing by-laws regarding tax collection	85
4. Sensitizing and Encouraging the Citizen to pay tax	85
5. Adopting new technology in Cash Management.....	85
6. Establishing Efficient Internal Control	86
7. Adequate Salary and remuneration for Revenue Staff	86
8. Staffing of Tax Collectors	86
5.4.4 Actual Plan Implementation	87
1. Encourage Citizen Participation in Plan Implementation	87
2. Ensure Efficient Coordination among Departments.....	87
3. Monitoring and Evaluation of Plan Implementation	87
4. Public-Private Partnership	88
5. Enforcement of Contractual Agreements with Developers	88
6. Publicizing and Communication of the Plan and the Implementation Process	88
5.5 Summary and General Conclusion	89
REFERENCE.....	90
APPENDICES	101

LIST OF FIGURES

Figure 1.1: Map of the Study Area	3
Figure 1.2: Population Trends 1970 to 2010.....	4
Figure 2.1 Plan Preparation Process	10
Figure 2.2 Implementation Process	18
Figure 2.3 Structure of Planning in Ghana	33
Figure 2.4: Conceptualization of Plan Implementation	46
Figure 3.1: Research Process.....	49
Figure 4.1 Total Revenue, Estimate and Actuals of KEDA, 2007 to 2013	60
Figure 4.2: Total Revenue, Estimated and Actuals of OMA, 2010-2013.....	61
Figure 4.3 Comparison of Revenue Per Capita between OMA and KEDA	62
Figure 4.4 Variations between Estimate and Actuals, KEDA, 2007 to 2013	64
Figure 4.5: Source of Funding for KEDA 2007to 2013.....	65
Figure 4.6: Source of Funding for OMA, 2010 to 2013	66
Figure 4.7: Contribution of the Various Components of IGF for KEDA, 2012 and 2013	71
Figure 4.8: Comparison between Expenditure and Revenue for KEDA, 2012 and 2013	72
Figure 4.9: Comparison between Expenditure and Revenue for OMA, 2010 to 2013 ..	73
Figure 4.10: Challenges Facing KEDA in the Implementation of Plans	75

LIST OF TABLES

Table 1.1: Industry Composition for 2000 and 2010.....	5
Table 2.1: Major Planning Initiatives in Ghana.....	28
Table 2.2: Legislations that support Planning in Ghana.....	30
Table 2.3: Comparison of Plan Implementation between Ghana, Tanzania, and U.S. A	44
Table 3.1: Data Type and Sources	51
Table 4.1: Staffing Capacity, Competencies, and Qualifications in KEDA	56
Table 4.2: Staffing Capacity, Competencies, and Qualifications in OMA.....	57
Table 4.3: Estimated and actual revenue of OMA	63
Table 4.4: DACF of KEDA.....	67
Table 4.5: DACF for OMA.....	68
Table 4.6: IGF for KEDA.....	69
Table 4.7: IGF for OMA	70
Table 4.8: Contribution of various component of IGF for OMA, 2010-2013	71

CHAPTER ONE

GENERAL INTRODUCTION

1.1 Background

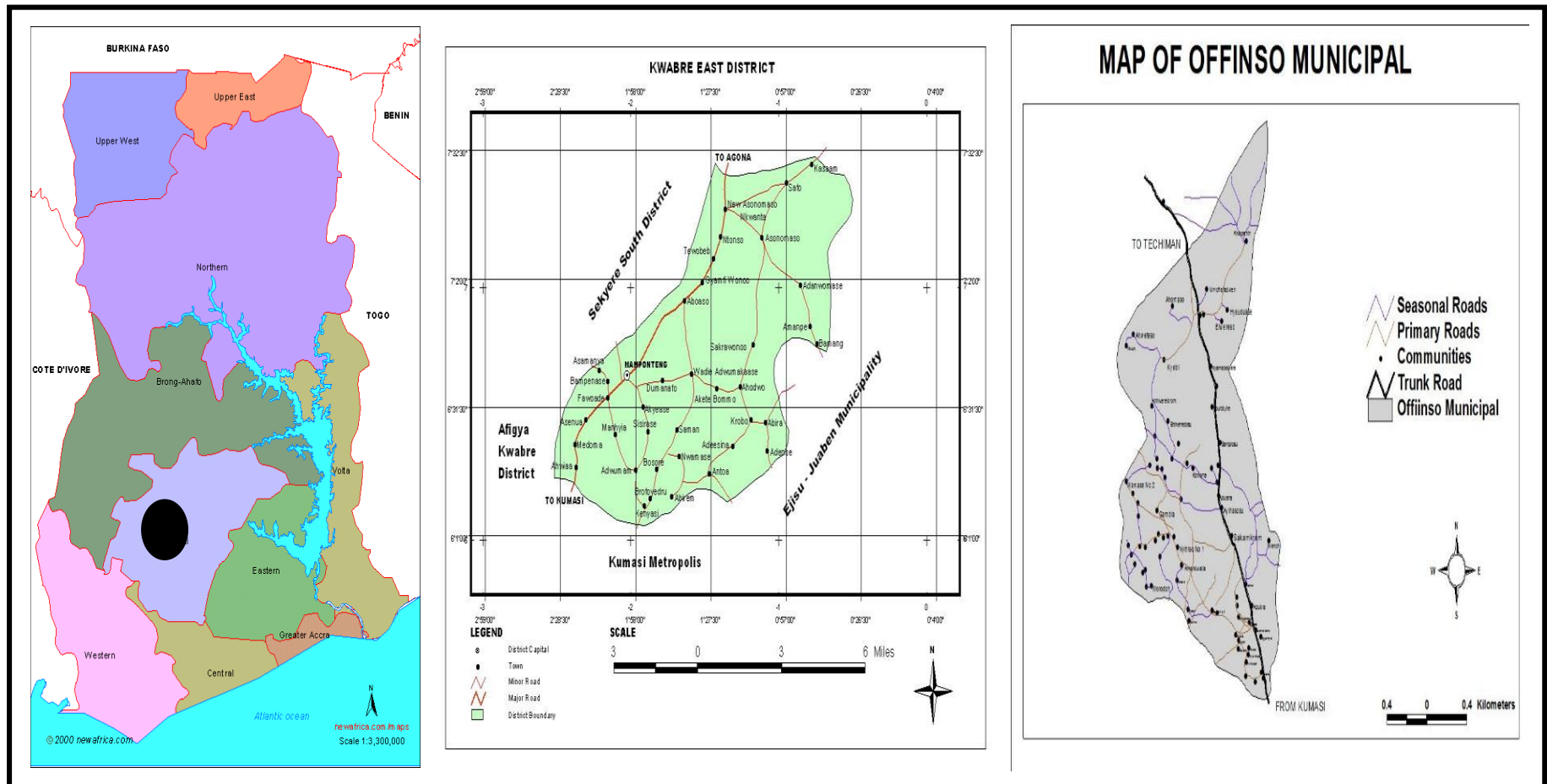
Planning is the process of working from the present to create a better future. Planning is an activity based on human thought and actions geared towards creating the desired society (Chadwick, 1971). It is the process of decision making about the distribution of public resources (Alexander, 1981) and foreseeing future actions through choice making (Davidoff and Reiner, 1962). It is “what planners do (preparation of plans, implementing plans and advising policymakers in decision making and others)” (Vickers, 1962); and plans are usually the product of what they do (Wildavsky, 1973). These plans contain goals, objectives, policies, and strategies designed to address societal problems.

A plan is not an end in itself rather it is a means to an end. Without implementation, plans will collect dust and its intended purpose will never be realized. Plan implementation guarantees the attainment of intended goals and objectives. It is much easier to assume that implementation is just putting plans to actions, but there is more to it which makes it an unhappy business for organizations. As such it is no surprise that local governments around the world are struggling to achieve smooth plan implementation. Since implementation can be complicated, most plans are doomed to fail upon arrival. The question is how can we effectively translate our plans into action? The study answers this question by explaining plan implementation and

factors/challenges affecting plan implementation in Kwabre East District and Offinso Municipality in Ghana.

Kwabre East District and Offinso Municipality are located in the Ashanti Region. The Kwabre East District Assembly (KEDA) is located almost at the central portion of the Ashanti Region. The Offinso Municipal Assembly (OMA) on the other hand is found in the northwestern part of Ashanti Region (see Figure 1.1).

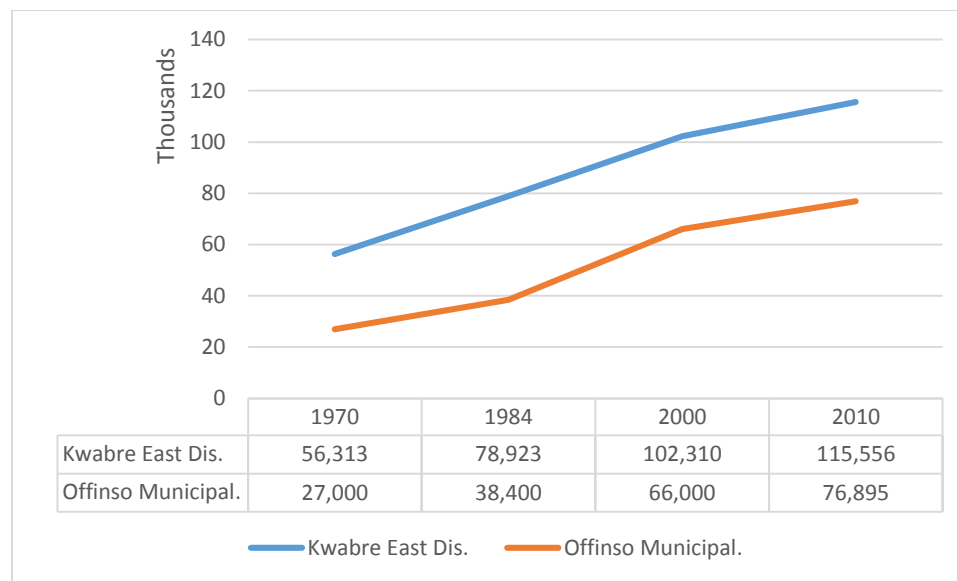
Figure 1.1: Map of the Study Area



Source: Kwabre East District and Offinso Municipality DMTDP, 2014 to 2017

The population of both districts has been increasing steadily since 1970. The average population growth of KEDA is 28 percent while that of the OMA is 44 percent since 1970. The average population growth of both districts since 1970 is less than that of the Ashanti Region (49%).

Figure 1.2: Population Trends 1970 to 2010



Source: Ghana Statistical Service, 2010

According to the GSS (2014), 90.6 percent of the economically active population in KEDA are employed while OMA, on the other hand, has 96 percent of the labour force employed. The unemployment rate in KEDA is higher than that of the region (4.6%). However, the level of unemployment in the OMA is lower than that of the region.

More than half of the economically active people in OMA are employed by the agricultural sector, followed by the wholesale and retail sector which employ 16.3 percent of the economically active people. KEDA, on the other hand, has the majority of its economically active people employed by the wholesale and retail industries, followed by the manufacturing industries which employ 14.3 percent of the economically active people in the district.

Comparison of the 2000 and 2010 industry composition indicates that the number of employment provided by the agricultural sector is gradually declining. KEDA experienced the highest decline (26%) in employment provided by agricultural sector between 2000 and 2010. This trend is due to the fast urbanization of the district, which has resulted in the conversion of agricultural lands into residential areas (see Table 1.1).

Table 1.1: Industry Composition for 2000 and 2010

Years	Ashanti Region		Offinso Municipality		Kwabre East Dist.	
	2000	2010	2000	2010	2000	2010
Agriculture forestry, fishing and mining	48%	33%	74%	51%	36%	10%
Manufacturing	12%	11%	6%	8%	18%	14%
Construction	4%	4%	1%	3%	5%	7%
Wholesale and retail	18%	26%	8%	16%	21%	36%
Accommodation and food service	3%	6%	2%	6%	4%	7%
Education and health services	N/A	6%	3%	5%	3%	7%
SOURCE: Ghana Statistical Services, 2003 & 2014						

The literacy rate of the population 11 years and above of OMA is 72.7 percent while that of KEDA is 86.7 percent (GSS, 2014). Approximately 24.7 percent of the population of OMA who are three years and older have never been to school before while that of KEDA is 10.9 percent respectively. The population of OMA who are currently in school is less than that of KEDA. This trend is due to the urbanized nature of KED, as the majority in the urban areas in Ghana tend to attend school than in the rural areas.

Nearly, all the people in both districts are enrolled in the National Health Insurance program. The OMA is served by eight hospitals while the KEDA is served by 14 hospitals (Offinso Municipality and Kwabre East District, 2009). According to GSS (2014), slightly above 81 percent of the population of KEDA have access to electricity and as low as six percent of the population 12 years

and above have access to the internet. The population of OMA (57.9%) who have access to electricity is extremely low as compared to that of KEDA. Interestingly, only three percent of the population of OMA who are 12 years and above have access to the internet.

1.2 Problem Statement

Plan implementation in Ghana has received little scholarly attention. Few of the available research works focus on assessing plan quality and institutional capacity for the implementation of plans (Frimpong, 2012; & Goel, 2003). To some degree, it exemplifies the extent to which plan implementation is given less attention in the country. The study attempts to fill the scholarly gap on plan implementation in Ghana.

OMA and KEDA have prepared four medium term development plans since 1996. These plans were based on the four National Development Frameworks (Ghana Vision 2020, GPRS I, GPRS II, and GSGDA – see Chapter 2 for details) released by National Development Planning Commission (NDPC). The evaluation done by KEDA and OMA on their performance regarding the implementation of these plans shows that they implemented at least 75 percent (Regarding the number of projects outlined in the plan) of each of these plans (OMA & KEDA DMTDP, 2014-2017). However, the background information presented above indicates that the implementation of these plans has not had a significant impact on citizens of both District Assemblies. Since OMA and KEDA continue to struggle in sectors such as Education, Local Economy, Health, Infrastructure, and others. This situation begs many questions: Is it that their approach to the evaluation of plan implementation is wrong? Why is it that they are not able to

implement 95 to 99 percent of their plans? Is it that the strategies in these plans do not align with the needs of the people? And if so what was the cause of this problem?

The study attempts to address the factors that inhibit both District Assemblies from implementing 95 to 99 percent of their plans. The study answers these questions by attaining these objectives:

1. To identify the factors that affect the implementation of Medium Term Development Plan in both District Assemblies.
2. To examine appropriate measures to improve plan implementation in both District Assemblies.

The attainment of the objectives above would answer these research questions:

1. What are the challenges of plan implementation in both District Assemblies?
2. How can the challenges of plan implementation in both District Assemblies be improved?

1.3 Scope of the Study

The study focuses on two MMDAs located in the Ashanti Region of Ghana. These MMDAs include Kwabre East District Assembly and Offinso Municipal Assembly. These MMDAs were selected as they have the highest rate of peri-urbanization in the region. The study will move further to identify the challenges of plan implementation in these MMDAs and recommend some best practices from the developed countries to ameliorate the failure of plan implementation in Ghana.

CHAPTER TWO

PLANNING AS A TOOL FOR GUIDING DEVELOPMENT

2.1 Introduction

“The reasonable man plans ahead. He seeks to avoid future evils by anticipating them. Nothing seems more reasonable than planning. And that is where the problem begins; for if planning is reason, then reasonable people must be for it” (Wildavsky 1973).

This chapter explores concepts in plan preparation and implementation. The chapter also presents the history of planning in Ghana and elaborates on plan implementation in the U.S.A and Tanzania.

2.2 Plan Preparation

Planning aims at creating the desired future by controlling or working in the present. It is a goal-directed behavior (Widavsky, 1973). Alexander (1981) sees planning as an activity that involves designing appropriate strategies to attain the desired community goal through an effective implementation. The desired goals or future aspirations, the means to achieve them, who is to do what, and when will it be done, are compiled in a meaningful form often know as plans.

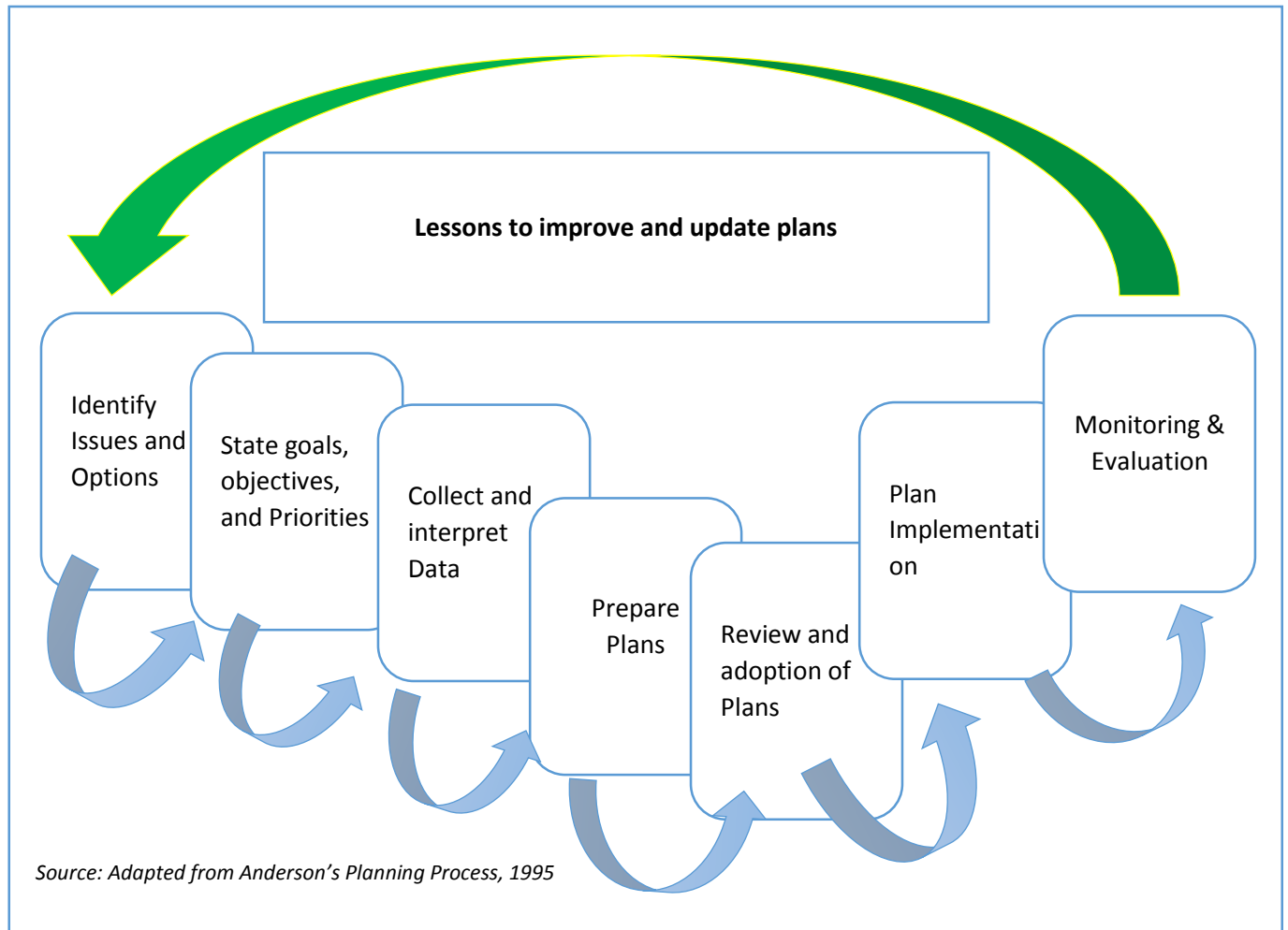
Plans are guidelines or blueprints depending on the organization who defines or prepares it. Li (2010) defines plans as a guide to the spatial development of cities. This definition is very narrow as it only recognizes plans as a guide to physical development, but it is worth noting that the idea behind plans transcends the boundaries of economic, social, environment, political, and as such

could be spatial (physical) or aspatial or both. According to Conyers and Hills (1984), plans provide the means of expressing the way in which goals or objectivities will be achieved. Thus, plans may contain where society wants to be in the future and how they would get there. This means that plans detail out procedures or processes (means) that should be followed to achieve the desired goal (end).

2.2.1 Plan Preparation Process

The plan preparation process differs from one country to the other. However, certain things related to plan preparation are common to each country. This section presents a generic plan preparation process adapted from the planning process outlined by Anderson (1995) in his book “Guidelines for Preparing Urban Plans.” The various steps for plan preparation (see Figure 2.1) are elaborated as follows:

Figure 2.1 Plan Preparation Process



1. Identify Issues and Options

This first step in the process is basically about the identification of current or existing issues in the community. This stage is the problem identification part of the process it is about identifying where the community is; this can also be known as situational analysis.

2. State Goals, Objectives, and Priorities

After identifying the existing and emerging issues in the community, the next stage is to formulate goals, objectives, and priorities. These goals and objectives are formulated based on the available problems or challenges facing the community.

3. Collect and interpret Data

At this stage, data is collected and interpreted to validate the issues as well as the prioritized goals and objectives of the people. The quantity of data that is usually collected at this stage depends on the identified issues, available time, available funds, available data, and resources.

4. Prepare Plans

All the information identified in the previous stages of the process is compiled into a document at this stage. The plan delineates the planning area and captures issues that are relevant to the community for which the plan is being prepared. Elements of the plan usually include land use, housing, environmental resources, community facilities and services, open space and recreation, economic development and urban design.

5. Review and Adopt Plans

Planners plan with people, not for people; therefore, it is imperative that the plan is reviewed and adopted by the public. Activities that may unfold at this stage may include public hearings and adoption of the plan. The planning agency at this stage reviews the plan, after which public hearing or any other means of getting the public involved in the planning process are conducted. After this, the plan is then adopted by the planning agency usually through a legislation process.

The planning process is not completed after producing the plan. The plan needs to be implemented to for the community to feel the impacts of planning. The generic process for plan implementation has been elaborated in the subsequent sections below. It is worth noting that the generic planning process is the combination of the plan preparation and implementation processes. Since planning is a continuous process, it is necessary to update the plan to keep the plan current and relevant to the community. This is made possible by the feedback loop in the implementation process.

2.3 Plan Implementation

*“Just because something does not do what you planned it to do does not mean it is useless”
(Thomas, Edison cited by Velotta, 2008).*

Pressman and Wildavsky (1973) in their book (implementation) recognize implementation as “to carry out, accomplish, fulfill, produce, and complete.” It may also be viewed as a process of interaction between goals setting and actions geared to achieving them (Pressman and Widavsky 1973). These definitions recognize implementation as an action-oriented process. It provides the means to move from abstract to reality. Conyers and Hills (1984) share similar ideas regarding plan implementation. They defined plan implementation as the translation of broad policy goals or objectives into visible results in the form of specific projects or program of action. Bryson and Bromiles (1993) also define plan implementation as a set of activities geared toward solving a particular problem.

The above definitions indicate that plan implementation is about taking action. Taking action in the right direction can be problematic sometimes due to future uncertainties. However, being intentional about each step and closely monitoring each action can be pivotal in the quest to ensure smooth plan implementation. This process is term as plan implementation management. Conyers and Hills (1984) recognize plan implementation management as an attempt to combine measures to control or coordinate the various individuals or agencies involved in the implementation process. Plan implementation management is eminent at all levels and branches of planning as it sought to identify deviations in the implementation process, rectify them and ensure that such deviations are not repeated. For instance, national resources must be directed toward an end, and not diverted away from plan purposes. This means that, if the plan is to be meaningful, it must be reflected in the budget; if the plan goes one way and the budget another the plan is ignored.

2.3.1 Factors Affecting Plan Implementation

Effective plan implementation requires skills and knowledge on what to do, how to do it and when to do it. It involves mobilizing, organizing and managing resources needed to undertake the action preached by the plan. Plan implementation can be affected by a myriad of factors. For instance, Barrett and Fugde (1981) report that plan implementation can be affected by the following factors: knowing what to do; having the required resources, having the ability to assemble, ability to control and manage resources to achieve the desired outcome, effective communication and knowing who does what.

Talen (1995) grouped the factors that affect the success or failure of plan implementation into two categories, namely internal and external. She explicates that the internal factors of plan implementation focus on the weakness of plans, the complexity and comprehensiveness, planning practices, and planners' biases and roles. (Laurian et al., 2004). Dalton and Burby (1994) also identifies plan quality as an internal factor that influence plan implementation. The external factors, on the other hand, include complexities of local political contexts; the degree of local societal consensus about planning issues; uncertainty and available knowledge about the issues at hand and the support (or lack thereof) for planning regarding funding or political support (Laurian et al., 2004). Some of these factors are explained as follow:

1. Plan Quality

As elaborated above high-quality plans contain relevant community issues, enhance understanding and communication and provide a useful guide for implementing decisions (Berke et al. 2006). Evidence of a high-quality plan includes an explicit identification of relevant community issues, a strong fact base, internal consistency of issues, goals, objectives and policies, the monitoring provisions, public participation and clarity (Berke et al. 2002). A plan dictates the direction of implementation and as such its quality can influence the success of implementation.

2. Commitment and capacity of the planning agency

The commitment of planning agency as well as its capacity has a huge influence on the success of plan implementation. Most plans are doomed to fail upon their arrival due to limited political will to implement them. In a study conducted by Dalton and Burby (1994) on the local

implementation of state planning mandates concerning the management of environmental hazards, they found out that agency commitment had a significant and positive effect on the implementation of local development management programs. Berke et al. (2004) reported that commitment of planning agency directly affects implementation than the availability of resources.

3. Public Participation

Dalton (1989) reports that the absence of community-wide support for a plan and the degree of pro-growth attitudes in a community can adversely affect implementation. Berke et al. (2006) found a direct correlation between the attitudes of the political elite towards plans and its implementation. This finding indicates that any disjuncture between the community aspirations and underlying goals of a plan can thwart the whole process of implementation. Awareness building is critical for smooth implementation of the plan. Burby (2003) contends that knowledge and awareness of target groups help address most public-policy issues relating to land use. Enhancing local awareness through educational programs can help educate the citizens on the likely roles that they can play to ensure that projects in their communities are implemented. It can also represent an opportunity to understand community problems better.

4. Enforcement style

The enforcement method can determine the success or failure of plan implementation. Some of the enforcement styles for effective plan implementation include deterrence, facilitation, and the use of incentives and informational techniques (Balch 1980; Burby et al., 1998; Kagan, 1994;

Scholz, 1994). The enforcement style mostly determines how the plan is interpreted. This, in the long run, determines the “how” and success or failure of plan implementation. For instance, a deterrent enforcement style, emphasizes a “strict interpretation of plan policies, a reliance on legalistic and punitive rules (zoning and subdivision ordinance), a minimal provision of technical information and assistance, and written rather than verbal modes of communication in processing permit application” (Berke et al., 2006).

6. Complexities of the Local Political Context

Political structure and government systems affect the smooth operationalization of plans. In developing countries where planning is mostly top-down, plans at the local government are usually abandoned upon a changed of government (United Nation Public Administration, 2007). For instances, in Ghana, the affordable housing project/plan was discontinued when there was a change in government in 2012. Also, political instability prevents local authorities from implementing their plans. This situation is the number one cause of retarded growth in most of the unstable countries in the world.

7. Uncertainties

Planning focuses on improving the future by working in the present. However, the future is filled with uncertainties (Wildavsky 1973). Some of the unexpected events that could impinge on smooth implementation of plans include natural disasters, unplanned consequences, and other emergencies. The question that comes to mind is; how best can planners manage uncertainties so as to achieve their planned goals?

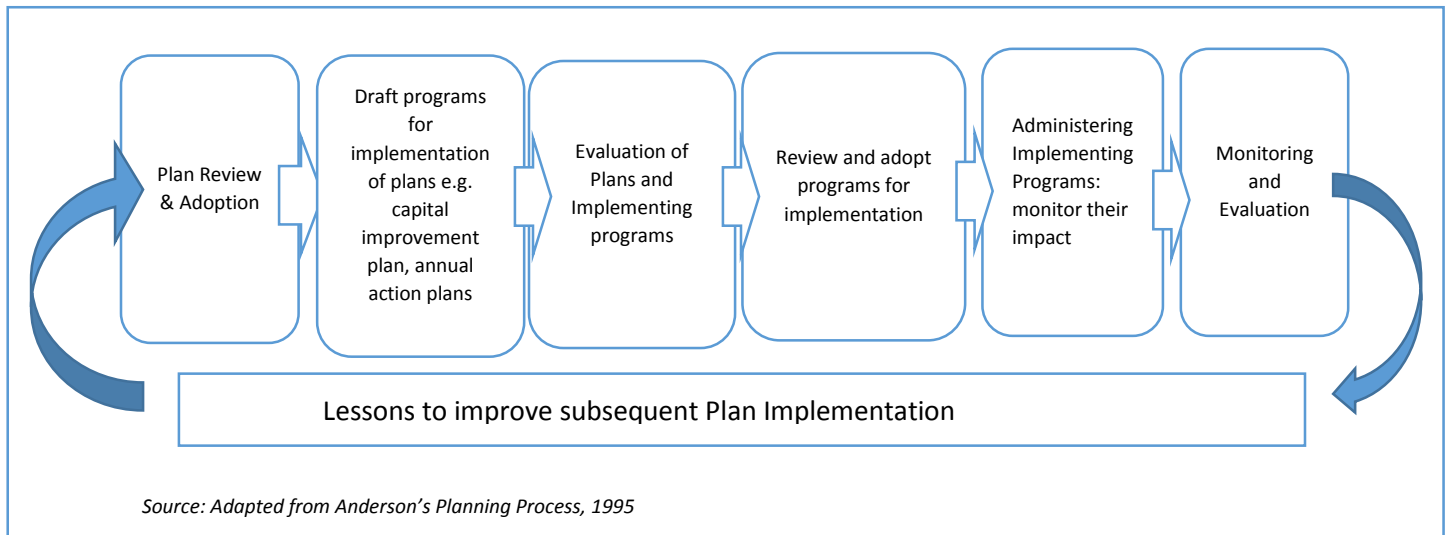
8. Economic Downturn

Smooth plan implementation hinges on the availability of financial resources. Local governments efforts to improve their society through effective planning can never be possible if the economy falls apart (OECD, 2013). For instance, during the recent economic downturn in the U.S.A, most of the local governments could not implement most of their capital intensive projects. This situation affected the ability of most local governments to achieve their planned goals.

2.3.3 Plan Implementation Process

Implementation is an important part of the planning process. Without an effective implementation, a plan will never achieve its intended goals and objectives. Most plan implementation fails because planners do not always plan for implementation and rather, they are obsessed by the end states and assume that the means of implementation will be forthcoming (Christa and Bjokines 1981). The process of plan implementation is not cast in stone and as such varies from one place to the other. However, these implementation processes have some things in common. Figure 2.2 depicts a generic implementation process which is common in most countries. Figure 2.2 indicates that implementation began immediately after the plan is adopted by the local legislatures.

Figure 2.2 Implementation Process



As shown in Figure 2.2 implementation just like any other planning process is continuous. The first stage of the process is plan review and adoption. At this stage, the plan goes through rigorous assessment and reviews to ensure that the content of the plan addresses the needs of the population. In most parts of the world, a public hearing is organized for the plan adoption. This encourages community participation and helps to instill a sense of public ownership of the plan. The second stage of the implementation process focuses on the 'how' of translating plans into action. At this stage, programs and projects are identified and spread out within the planning period.

The plan implementation programs stage may include preparation of zoning and subdivision ordinance and capital improvement program. At this stage, available resources regarding funds, personnel as well as the commitment of the local government are assessed. This is necessary

because, without them, excellent programs can be devised, but the planner may not be able to implement them to ensure that the goals and objectives of the plans are achieved.

The subsequent stage is the evaluation of the potential impact of the plan and the implementation programs. Evaluation of the potential implications of the plan is necessary; this is because it helps to identify appropriate remedies in case the plan would have an adverse impact on the planning area. This mostly focuses on sectors such as environment, local economy, local government finance, and social fabrics. Some of the tools that are used may include Environmental Impact Assessment and Strategic Environmental Assessment. The next stage of the implementation process is the review and adoption of plan implementation program. After the plans have been reviewed and adopted the programs that will be implemented to ensure that the goals and objectives of the plan are achieved, are also reviewed and adopted. The planning agency reviews the plan implementing programs, after which public hearing or any other means of getting the public involved in the planning process is conducted. The officials of the planning agency then adopt the plan implementing programs.

The last stage of the implementation process is the administration of implementation programs. This is the most critical stage of the planning process. This is the stage where the plan is translated into reality or action. This stage may involve awarding of contracts, project management and others. The implementation of the programs is monitored and evaluated against what is planned. This is necessary as it helps identifies and correct deviations in the implementation process. The monitoring of the program also provides vital information which is fed into the re-planning stage

of the process. The monitoring and evaluation stage focus on measuring the progress of implementation against planned goals and objectives. This stage provides vital lessons for the subsequent planning activities.

The aim of planning is to solve societal problems through the preparation of plans and implementation. Plans present a situational analysis and identify measures to improve the condition of a given society. Implementation, on the other hand, involves walking the talk. This process is an iterative endeavor.

2.4 Planning in Ghana

2.4.1 History of Planning in Ghana

“History been read but it also been written by people with imagination” Les Brown

This section presents the history of planning in Ghana. Even though plan implementation in Ghana has not been effective as compared to certain countries in the world, it is always refreshing to note that history can be rewritten.

1. Pre-Independence Era

The history of planning in Ghana is traceable to the British Colonial Governor, Gordon Guggisberg, who introduced a 10-year Development Plan (1920 – 1930) to guide the growth of the then Gold Coast (Leith, 1974). The central focus of the Guggisberg plan was on infrastructural development. Fuseinin and Kemp (2015) report that “Guggisberg appraised spatial planning as integral to economic development.” The plan was said to be the “first of its kind in the world” (Adarkwa,

2012, p.3). The Guggisberg 10-year plan is considered successful on account of its accomplishments in the country. Some of the notable infrastructures that were developed as part of the implementation of the plan include Achimota School, Korle-Bu Hospital, Takoradi harbor and Cocoa Research Centre at Tafo (Adarkwa 2012; Osei-Bonsu, 2012). The Guggisberg plan saw much success due to the involvement of the local chiefs and also the availability of resources to support the projects outlined in the plan.

Another planning effort made by the colonial rulers (British) to guide the development of Gold Coast (Ghana) was the development of the Town and Country Planning Ordinance of 1945 (CAP 84). This emerged as the colony's first comprehensive spatial planning framework featuring some of the essential propositions of the Guggisberg plan. The CAP 84 represents the post-war restructuring planning efforts in metropolitan Britain that were extended to their colonies (Kroboe and Tipple, 1995; Owusu, 2008). According to Fuseinin and Kemp (2015), the goal of CAP 84 was to ensure proper human settlement development. As part of the implementation process of the CAP 84, Town and Country Planning Department was established and vested with the power to develop and execute planning schemes. Within the Town and Country Planning Department, a board was created with the authority to declare a planning area before a scheme was developed in that respect. The CAP 84 ordinance is said to have seen little success since its actual implementation did not produce spatial equity in development in the country (Fuseinin and Kemp, 2015). Interestingly, to a large extent, contemporary land use planning and spatial development in Ghana continue to rest on the CAP 84.

The approaches used to implement most of the planning efforts during the colonial era was top-down and Eurocentric (focusing on European way of doing things) in nature (Adarkwa, 2012; Grant and Yankson, 2003). However, the local chiefs were used as a means to get communities involved in the implementation of the plans. Fuseinin and Kempt (2015) report that this was in keeping with the indirect rule ideology (Colonial Governments ruled the people through the Chiefs) used by the British in governing its colonies. This approach enabled the colonial masters in the management of growth in the then Gold Coast.

2. Post-Independence Era

After Ghana's independence in 1957, it was apparent that the southern part of the country was more developed than the north. This situation was because the colonial governments directed development toward the south where natural resources were abundant and ready to be exploited. The first president of Ghana (Kwame Nkrumah) sought to bridge the gap by launching a 7-year development plan (1964-1970). This plan was based on socialist ideology, to embark upon rapid transformation of the Ghanaian economy through industrialization and modernization of agriculture (Ghanaian Times, 2009; Nkrumah, 1964). Import substitution was the cornerstone of the plan and focused on infrastructure development. Fuseinin and Kempt (2015) report that Nkrumah's plan differed from Guggisberg plan in that, it represented a national development agenda rather than an exploitative behavior; it was a comprehensive national agenda to invest in the nation based on spatial resource potential and comparative advantages. In pursuance of this, the government established industries across the country in the quest to spatially restructure the productive sectors of the economy (Joseph, 2009, Sawyer,

2007). During this same period planning education was started in the newly established Kwame Nkrumah University of Science and Technology (Inkoom, 2009). The Nkrumah's plan also facilitated the planning and construction of 52 new towns including the Tema Township, which demonstrated the nation's strides in planning (Adarkwa, 2012).

Fuseinin and Kempt (2015) report that planning departments were established across the country in the quest to strengthen institutional capacity for successful implementation of the plan. According to Wood (1970), planning for the first time was extended out of the traditional planning areas of Accra, Kumasi, and Sekondi-Takoradi. To extend planning to every corner of the country, the then Director of Town and Country Planning directed all regional and district planning departments to prepare 15-year physical plans for their respective jurisdictions. A National Physical Development Plan (NPDP) was also prepared to span from 1963 to 1970. This was intended to ensure equity in the distribution of government infrastructure throughout the country (Fuseinin and Kempt, 2015).

Even though the Nkrumah government made an effort to disperse development across the nation, investment was still skewed for the south. In this sense, Fuseinin and Kempt, (2015) report that Nkrumah's plan failed in its terms since a large number of the industrial establishments were situated within the "Golden Triangle" –Accra-Kumasi-Sekondi-Takoradi region. Songsore (2009) reports that this region together attracted eighty percent of the industrial development. This indicates that the development imbalances that was evident in the pre-independence planning were never addressed. Most researchers (Adarkwa, 2012; Boamah

et al., 2012; Boamah, 2013) in the country believe that the present day development challenges in the country had their roots in the poor performance in the implementation of the immediate post-independence economic and planning initiatives. Wood (1970) argues that the failure of planning to keep pace with rapid growth was due to the lack of foresight or capacity of planners. Yeboah and Obeng-Odoom (2010) shared a common view as they maintain that “planning in Ghana has been done piecemeal and reactive rather than proactive.”

The overthrow of Kwame Nkrumah in 1966 affected planning in the country. Fuseinin and Kempt (2015) maintain that this was not surprising since planning in Ghana fared better in a stable politico-economic environment. During the intervening military regimes, no substantive planning initiatives were implemented until the onset of the decentralization programs in the late 1980s.

3. Planning in the Contemporary Times

In addressing the economic hardships during the 1980s, the then government of Ghana adopted the International Monetary Fund (IMF) and World Bank sponsored program known as Structural Adjustment Program (SAPs). Fuseinin and Kempt (2015) maintain that the Structural Adjustment Program (SAP) together with the decentralization governance system that immediately followed were intended to change significantly planning in Ghana. The SAP was initiated by the IMF and World Bank to lay economic development to the third world countries. The initial stages of the SAPs saw a decreased in urban population due to its adverse effects on the urban formal sector workers (Obeng-Odoom, 2013). The program impacted positively on urban growth especially in

small towns (Owusu, 2004). For instance, there was increased in private-sector participation in the provision of housing after the structuring of the economy. Other achievements of the SAPs program include improvement in the transportation sector, construction of roads and extension of electricity to northern part of Ghana (Bawumia, 1998).

This infrastructure was intended to lay the foundation for Municipal and District capitals to discharge their administrative and development functions in the decentralized governance system (Owusu, 2004). Obeng-Odoom (2013) argues the increased investment in the district capitals and small towns was intended to improve the perceived urban 'bias' development at the time. The liberalization of the economy engendered a healthy climate for private retail business, and this led to the growth of a large informal sector in the Ghanaian economy. This fed urban growth and stimulated the rural-urban migration that was addressed by the de-urbanization of the bigger towns in the country through the SAPs program (Barwa, 1995; Songsore 2009).

A new model of planning was devised in the early part of the 1990s to address the challenges and respond to the emergent opportunities from the liberalization and decentralization processes (Fuseinin and Kempt, 2015). While the enactment of the 1992 Constitution established the foundation for this model; it was the following acts (Local Government Act (Act 462 of 1993), the National Development Planning Commission (NDPC) Act (Act 479 of 1994), the National Development Planning System (NDPS) Act (Act 480 of 1994), and Environmental Protection Agency (EPA) Act (Act 490 of 1994) which concretized the new model of planning in the country. The new paradigm of planning was based on the concept of decentralization.

These legislations established the legal framework within which planning should operate. According to Owusu (2004), the local government units (Metropolitan, Municipal, and District Assemblies –MMDAs) were empowered to lead planning activities of all kinds within their areas of jurisdiction. The NDPC was established to supervise the planning role of the MMDAs to ensure that local level development plans reflect broader national development goals. The decentralization system was implemented with the intention to increase the participation of the citizen in planning. According to Owusu (2004) “local communities working in concert with their representatives at the Assemblies (the Assembly members) identify their needs and priorities which are harmonized at the assembly level for onward submission to the NDPC for approval.” In strengthening planning at the local government level act 462 established the Development Planning Co-ordinating Unit (DPCU) with the function of coordinating planning in the MMDAs (Fuseinin and Kemp, 2015).

Following the establishment of NDPC, the then ruling NDC government authorized planners to prepare a Long-Term National Development Policy Framework (Ghana Vision 2020) for the development of the country. The underlying objective of this framework was to “achieve a balanced economy and a middle-income country status and a high standard of living” (Osei-Bonsu, 2012). This undoubtedly was an ambitious goal because the country was recovering from the structural socio-economic problems. Osei-Bonsu (2012) observed that even though the Ghana Vision 2020 had ambitious goals, they were achievable, but the difference was the lack of

political will. The Ghana Vision 2020 national development policy framework has been shelved and forgotten followed poor implementation effort displayed by the government.

Currently, the government of Ghana is preoccupied with macroeconomic stability management of the economy and the implementation of short-term poverty reduction programs as the primary focus of the country's development trajectory. The first poverty document was the Ghana Poverty Reduction Strategies (2002 to 2005) which was intended to lay the foundation for growth. The subsequent poverty document was the Growth and Poverty Reduction Strategies (GPRS II 2006-2009) - this framework provided strategies to build on the foundation laid by the first program. With the change of government in 2008, a new development framework was issued in 2010: Ghana Shared Growth and Development Agenda (GSGDA- 2010-2013). This policy framework mimics the poverty reduction documents that were introduced in the early part of the twenty-first century. The current policy framework is the GSGDA II spanning from 2014 to 2017. This framework has a vision of building a new Ghana where:

1. There will be increased access to quality education and health services at all levels;
2. Science and technology will drive education and national development;
3. The application of technology in agriculture and manufacturing is high;
4. Export earnings no longer depend almost entirely on primary products and extractives;
5. The imports regime is streamlined to meet only critical needs of the society; and
6. The formalization of the informal sector will lead to the expansion of opportunities for decent work

From the above planning history, it is interesting that a lot of efforts have been made to enhance the operationalization of planning in Ghana. However, the country continues to face challenges ranging from uncompleted projects, poor sanitation, poor infrastructure, haphazard development and others. The only reason behind this situation is a poor implementation of plans and policies. From the above planning history, some of the challenges affecting plan implementation include political instability, lack of political will, inadequate funds and others. This demonstrates that Ghanaians are good at policy formulation but poor at implementation. This study sought to identify measures that can be implemented in the Ghanaian context to improve plan implementation.

Table 2.1: Major Planning Initiatives in Ghana

Planning Initiatives	Planning Period	Underlying Vision
Guggisbery Plan	1920 - 1930	Enhance infrastructure development
Town and Country Planning Ordinance	1945	Ensure proper human settlement development
Seven Year Development Plan of Nkrumah	1964-1970	Rapid transformation of the Ghanaian economy through industrialization and modernization
Structural Adjustment Programs	1980 - 1990	Liberalization of the economy to encourage private sector involvement
Decentralization Program	1992	To enhance the participation of citizens in the governance
Ghana Vision 2020	1996	To achieve a balanced economy and a middle-income country status and high standard of living
Ghana Poverty Reduction Strategies	2002-2005	Strengthen the private sector to act as an engine of growth and prosperity
Growth and Poverty Reduction Strategies	2006-2009	Accelerate economic growth and poverty reduction by supporting the private sector to create wealth
Ghana Shared Growth and development Agenda	2010-2013	Putting the economy on the path to achieving medium per capita income country
Ghana Growth Shared and Development Agenda 2	2014-2017	To create a new Ghana

2.4.2 Institutions and Legislation supporting Planning in Ghana

The introduction of the decentralization policies in Ghana in the 1980s transformed the traditional top-down approach to planning in the country to a bottom-up approach. The traditional approach to planning in the country sought to define national goals and objectives and formulated national development plans based on the knowledge of technocrats without the involvement of people who were the ultimate beneficiaries of the plan. This system had some drawbacks. According to Inkoom (2009) some of the apparent disadvantages include:

1. Policies formulated based on the traditional approach to planning in the country was insensitive to the aspirations of the local people
2. Difficult to integrate analysis, synthesis, and action and represents a limited and partial approach to solving development problem
3. Difficulties in exploring interactive nature of development
4. The process was technocentric

The decentralized program restructured the political and public administration in the country. This reform of public administration sought to integrate local government and central government at the regional and district levels. Thus decentralized but integrated the development planning process and its supporting budgetary system; and provided adequate transfers of financial, human and other resources from central government to local authorities (Inkoom, 2009).

To ensure that the new planning system is enforced in the country, various legislations were enacted. These legal frameworks are depicted in Table 2.2 below:

Table 2.2: Legislations that support Planning in Ghana

LEGAL FRAMEWORK	Purpose
Civil Service Law, 1993 (PNDCL 327)	The object of the Service is to assist the Government in the formulation and implementation of government policies for the development of the country.
Constitution of the Republic of Ghana, 1992	Established the decentralization system of governance in the country.
Local Government ACT 1993 (ACT 462)	Established the Metropolitan, Municipal and District Assemblies in the County
National Development Planning Commission ACT, 1994 (ACT 479)	Established the National Development Planning Commission
National Development Planning (systems) ACT, 1994 (ACT 480)	Provides for a National Development Planning System, defines and regulates planning procedure and provides for related matters.
Local Government Service ACT, 2003 (ACT 655)	Established a Local Government Service and provides for the objectives, functions, administration and management of service and connected purposes
The District Assemblies Common Fund ACT 1993 (ACT 455)	Provide for the DACF, the appointment of the DACF Administrator provides for the functions of the Administrator and other related purposes
L.I. 1589 of 1994	Provides for the establishment of the sub-district structures
Public Procurement ACT, 2003 (ACT, 663)	The Act applies to procurement financed from public funds - wholly or partially, procurement of goods, works and services and contract administration and procurement financed by funds/loans taken by the government of Ghana, including foreign aid funds

These legal frameworks established various institutions that are actively involved in the planning of the country's development. According to Inkoom (2009), these laws provided the core elements or structure of the new planning system. These elements comprise district planning authorities, regional coordinating councils, sector agencies, ministries and a National Development Planning Commission.

The National Development Planning (systems) Act establishes the Metropolitan, Municipal, and District Assemblies (MMDAs) as the planning authorities with the power to ensure participation, coordination and integration in the preparation and implementation of district plans. The MMDAs have executive, deliberative and legislative powers, design with administrative and

technical support services, to articulate the views of the people at the local level. The District Planning Officer and the Town and Country Planning Department are mandated to carry out planning activities at the districts through the District Planning and Coordinating Unit. The function of the MMDAs as stipulated by the Local Government Act include:

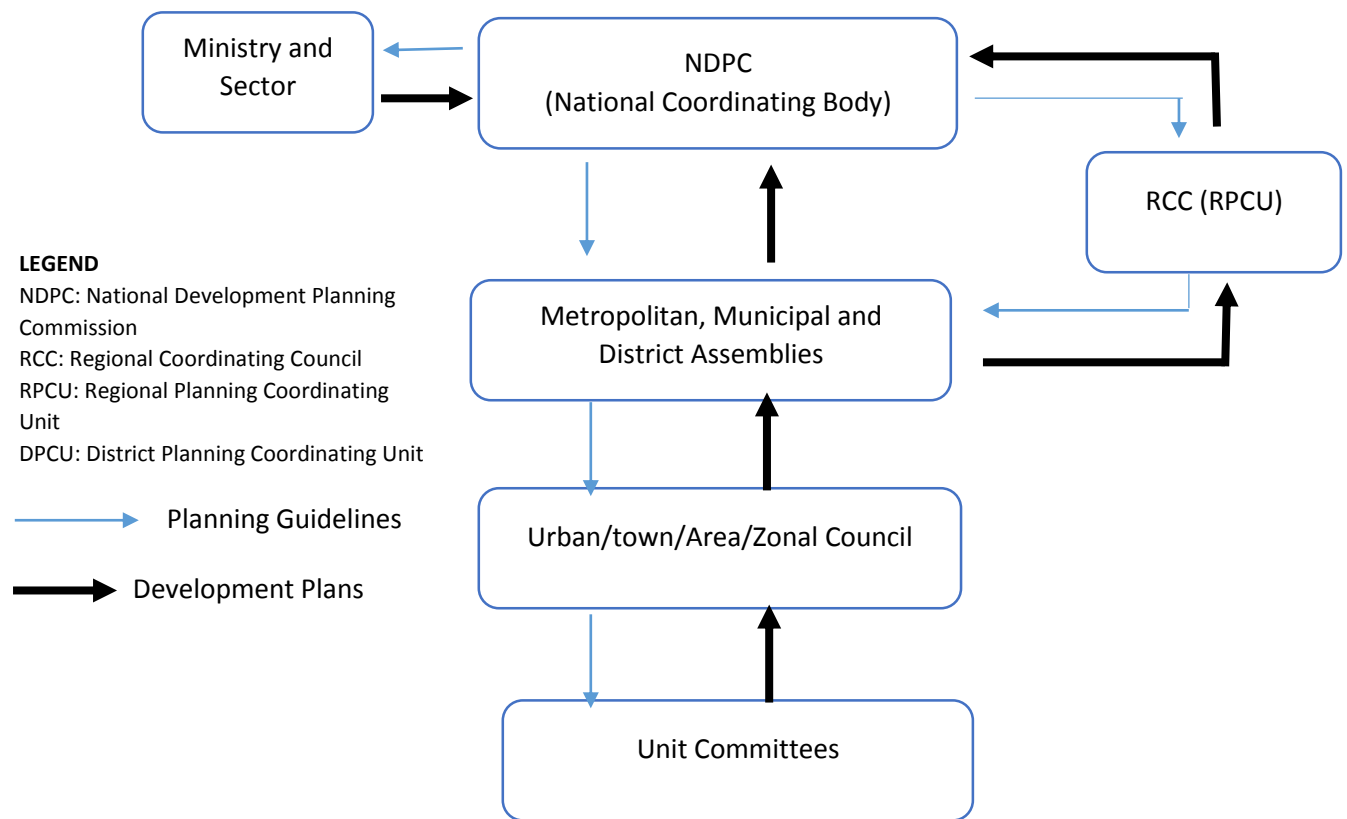
1. responsible for the overall development of the district
2. ensure the preparation and submission, of development plans through the Regional Coordinating Council to the National Development Planning Commission for approval.
3. Shall formulate and execute plans, programs, and strategies for the effective mobilization of the resources necessary for the overall development of the district
4. Shall promote and support productive activity and social development in the district and remove any obstacles to initiative and development
5. Shall initiate programs for the development of basic infrastructure and provide municipal works and services in the district
6. responsible for the development, improvement, and management of human settlements and the environment in the district

The Regional Coordinating Councils is mandated to execute planning activities at the regional level. The PNDC Law 207 established the Regional Coordinating Councils and mandated the councils to integrate, coordinate, monitor and evaluate the development decisions and actions of the District Assemblies. The regional offices of the Town and Country Planning Department are responsible to the Regional Coordinating Councils. They are expected to support and assist those District Assemblies that have no Town and Country Planning establishments or capacity.

The 1992 Constitution of the Republic of Ghana established Ministry of Local Government and Rural Development and National Development Planning Commission. The Ministry of Local Government and Rural Development focuses on proposing and coordinating national policies for local government. The National Development Planning Commission (NDPC) is the highest planning institution in the country. This institution is responsible for ensuring consistency and continuity in the framing and execution of development policy for the entire country. The Commission provides guidance and assistance to District Assemblies in producing district development plans. NDPC also guide the MMDAs in planning for the utilization of discretionary funds (including locally generated funds) and also approves the District Medium Term Plans.

The Figure 2.3 below depicts the planning structure in Ghana. The Ministry and NDPC are at the central level of government while the Regional Coordinating Council, MMDAs, and Urban/Town/Zoning Council and the Unit Committee are at the local government level. The Urban/Town/zoning council and Unit Committee represent the sub-district structures that represent the local people at the districts.

Figure 2.3 Structure of Planning in Ghana



Source: Adapted from NDPC, 2002

2.4.4 Plan Implementation in Ghana

Plan implementation in Ghana mirrors the generic implementation process presented above. Because most of the previous medium development frameworks issued by National Development Planning Commission (NDPC) often does not include a detailed procedure for implementation, most of the plans prepared in the country often end up on the shelves and collect dust. It is interesting to note, that most of the district assemblies in the country use almost half of the planning period to prepare plans. This limits the period for implementation. It is therefore not surprising that most projects are uncompleted in the country and often end up

being abandoned. For Ghana to develop, the MMDAs should strictly adhere to these implementation steps as stipulated by the NDPC.

According to NDPC, plan implementation begins right after the adoption and approval of the District Medium Term Development Plan (DMTDP). At the district level, plans are approved and adopted by a public hearing and the general assembly meeting. Before the plan is adopted at the general assembly meeting, the district assembly organizes a public hearing in the form of workshops to get the citizens involved in the planning process. This is necessary to verify whether the goals and objectives of the plan reflect the needs of the people. The district then prepares a report on the public hearing including written submissions by individuals, groups, communities and organization which must be attached to the proposed DMTDP and subsequently sent to the NDPC. The NDPC reviews the consolidated MMDAs district medium term plans submitted by the Regional Coordinating Council (RCC). The implementation of the plan follows shortly after the approval by the NDPC.

In implementing the plan, annual action plans are prepared from the composite DMTDP. The annual action plan developed by the departments and the implementation team phase out (year by year) the programs and projects to be implemented. According to the NDPC, an annual action plan should include the district goal, objectives, activities, indicators, schedule, indicative budgets, implementing agencies (lead/collaborators and their expected roles), monitoring and evaluation arrangements and remarks.

The next stage of the implementation processes is resource mobilization and management. This phase involves activities such as budgeting, procurement plan and process and preparation of memorandum. The departments and agencies in the district prepare a comprehensive budget to implement the annual action plan using the Medium Term Expenditure Framework (MTEF) process. The MTEF links expenditure to goals, objectives, activities and output. The District/Municipality Chief Executives and the Regional Coordinating Councils (RCC) prepare a memorandum which specifies the various activities, resource requirements and costing, funding institutions, agencies for implementation, monitoring and evaluation as well as remarks on funding for a successful implementation of the projects stipulated in the annual action plans. As part of the management of resources to ensure effective implementation of the annual action plans, district assemblies are required by law to prepare a procurement plan. This is necessary to ensure that resources are used for public purpose. In Ghana, any purchase that involves the use of public money must go through a process specified by the Procurement Act 2003 (Act 663). The procurement plan is prepared and submitted to the procurement entity before the beginning of a new financial year to ensure that enough provisions are made to procure all the needed goods.

The stages of implementation outlined above lay the foundation for the actual manifestation of the plan on the ground. The subsequent stages involve writing and awarding of contracts based on the procurement plan prepared. It is worth noting that, the procurement plan is not just for the purchase of goods, but it also provides a guideline for bidding and awarding of contracts to developers. Depending on the financial agreement (e.g. pre-financing or others) between the

district assembly and the contractors/ developers who win the projects outlined in the annual action plan; the actual implementation of the plan then begins.

The last stage of the implementation process is monitoring and evaluation. The NDPC mandates all the MMDAs to monitor and evaluate the progress of implementation. In Ghana, the RCC is responsible for monitoring the MMDAs while the DPCU at the district level is charged with monitoring and evaluation of specific projects stipulated in the annual action plan. The DPCU submits quarterly updates (progress report) to the RCC on the levels of implementation of each project in the district. This enables the RCC to monitor the activities of the MMDAs.

2.5 Cases on Effective Plan Implementation and Management

This section of the literature review presents cases on plan implementation in the United States of America (USA) and Tanzania. The study selected Tanzania because it has similar governmental set up as Ghana. Also, the study selected U.S. A since the local government set-up is analogous to that of Ghana. The approaches to implementing plans are common to most countries in the world. This section contrasts plan implementation in Tanzania and USA and outlines some of the lessons that can be learned to improve plan implementation in Ghana.

2.5.1 Plan Implementation at the Municipal level in the United States

The implementation of the comprehensive plan is mostly through the enforcement of the zoning and subdivision ordinance. Other regulations that help operationalize the master plans at the municipal level in the USA include Capital Improvement Program (CIP) and Budgeting. The zoning

ordinance rigidly segregates land uses and specifies a limit or maximum standards that the developer or owner cannot exceed (Schmidt and Buehler, 2007). The zoning and subdivision ordinance stipulate the procedure for the issuance of development permits. Before the approval of land use permits, municipalities organize public hearing. This process gives cities greater control over development in their jurisdiction. Also, it enables cities to allow only a land use that promotes the attainment of the goals stipulated in their comprehensive plan.

Other strategies in the comprehensive plans are put into action through the preparation and implementation of the CIP. The CIP presents specific projects that should be put in place to ensure that the municipalities achieve their goals stipulated in the comprehensive plan. The CIP outlines the sources of funding and the institutions responsible for the implementation of the program. The CIP also requires legislative approval (approval by city council) through a public hearing.

1. Challenges of Plan Implementation in the United States

Brody et al. (2006) measured the conformity of the original adopted comprehensive plans in all the municipalities/cities and counties in the State of Florida to the degree of wetlands development over a ten-year period. They identified 75% nonconformity between the original adopted comprehensive plans and the extent of the development of wetland in the state. They found out that the major challenge that contributed to this nonconformity was the increase rate of sprawling. According to them because of the sprawling pattern of growth, wetlands in the outskirts of urban cores were likely to be developed into residential areas. Also, Saha (2008) reported that San Francisco abandoned a sustainability plan after adoption in 1996 due to

challenges such as lack of political support from the Mayor and Board of Supervisors and lack of funding for the Department of Environment to carry out the sustainability mandates (quoted in Portney 2003:212).

Other notable challenges relating to plan quality include the lack of monitoring and evaluation arrangements, poorly defined goals, policies, and objectives and lack of indicators to measure progress. Some of the external factors that constrain effective implementation in the United States include cut-down of local government aid, economic downturn (collapse of the housing market), the unwillingness of developers to invest in social programs (like affordable housing) over-reliance on property taxes, and low level of collaboration between municipalities.

In spite of these challenges facing plan implementation in the United States, some lessons could be learned to improve the planning in Ghana.

1. Preparation of zoning ordinance to ensure orderly physical development. This code would enable MMDAs in Ghana to effectively manage physical development. Zoning and subdivision ordinance and building codes can be enacted to conform to the DMTDP.
2. Enforcement of regulations to govern the issuance of land use permits. This strategy is necessary as it can serve as a means to implement most of the policies stipulated in the District Medium Term Development Plans (DMTDP).
3. Consolidation of planning departments at the MMDAs. It would be highly beneficial to consolidate the Town and Country Department and the Development Planning Office at the MMDAs level in Ghana. Consolidating of both departments can have a positive impact

on plan implementation because this can encourage the share of resources and promote effective collaboration.

4. Involvement of citizens in the planning process in Ghana. Citizens are not engaged in approval of land use permits (if any) and adoption of by-laws. Although, the assemblypersons are responsible for representing the citizens at the assembly level they hardly inform them of the statutes enacted at the general assembly meetings. Because of this, the MMDAs should organize community engagement sections or public hearing to get the people involved in the planning process of the district.

2.5.2 Plan Implementation in Tanzania

The President's Office Planning Commission (POPC) is the "think tank" for planning issues in the country. The commission directs the country's economic development and guides national planning by working close with the Ministry of Finance (MoF). The commission issues a long-term national development plan to guide planning in the country. The current national development plan in the country is the Tanzania's Development Vision 2025. This scheme is designed and put into action through a five-year development plan. Thus, the twenty-five-year national development plan is phased out every five-year for implementation.

In every five years, the POPC receives evaluation report on implementation from the various Ministries, Department and Agencies(MDA), Regional Secretaries (RS), and Local Government Authorities (LGAs) in the country (POPC, 2012). This report informs the commission how the country is performing towards achieving its goals outlined in the national plan. The commission then issues a five-year development framework, to guide planning activities at the local

government level. The local governments prepare a plan of five years based on the framework. The local government implements the five-year development framework through the following steps.

The first phase of the implementation of the five-year development plan is the preparation of an annual plan and approval. Each MDA/LGA prepares annual plans which clearly delineate requirements for general administration, operational expenses, and capital projects. The POPC issues criteria that determine the projects in the annual plans. The local government submits the proposed annual plans to the MoF for evaluation and funding. Before the submission, the annual plans are endorsed by the relevant committees in the MDAs, RS, and LGAs (POPC, 2012). Also, all strategic national investment projects are subjected to POPC scrutiny and endorsement before they become part of the annual plans.

The second phase of the implementation process is the preparation of budgets and approval. The POPC and MoF jointly issue a guideline to ensure that the annual plans are consistent with the annual budget of the various local government. The MoF and POPC scrutinize the budget together with the annual plans and submit a consolidated budget for government approval and subsequently to the parliamentary sectoral committees for scrutiny. After the adoption of the annual plans and the budgets the MDA, RS and LGAs implement the projects. However, monitoring and evaluation of project implementation remain the responsibility of POPC.

The follow-up and assessment of the implementation of the annual plans are carried out in two phases:

- (i) the operational stage, where POPC will have a coordination role with the view to iron out operational constraints, gathering all stakeholders to discuss and deliberate on the way forward; and
- (ii) decision-making stage, where the POPC will have to report to the Economic Committee of the Cabinet, on a quarterly basis, on the status of the national strategic projects to inform them and receive directives.

To this effect, a well-coordinated government-wide system for tracking, evaluating and getting feedback on the implementation of the Plan and its results is established. Capacity building for Monitoring and Evaluation is carried out in all MDAs, LGAs and all implementing agencies beyond the public service system. It is important that all implementing agencies are competent in tracking, evaluating and reporting the progress made adequately and timely. Consequently, a participatory approach, which entails the involvement of all key stakeholders, is adopted. This process enables all actors to internalize fully and own the system as well as use the results to guide further actions.

1. Challenges of Plan Implementation in Tanzania

According to Parliamentary Center (2011), some of the factors that affect plan implementation in Tanzania include:

1. Communication breakdown (especially those who understand the issues do not clarify it to those in the villages)
2. Diversion of funds from one sector to another (for example, from water to say roads)
3. Weak enforcement of finance acts at the LGA
4. Political interference in the LGAs activities
5. Poor participation of stakeholders to project implementation

Despite these challenges facing plan implementation some lessons could be learned to improve implementation in Ghana. Some of the lessons include:

1. Preparation and Implementation of long-term national plan. Having a long-term national plan is important because in Ghana newly elected governments usually have to reinvent the wheel in defining the goals and objectives of the country. Also, due to lack of continuity as a result of changes in government, having a long-term national plan will bind newly elected governments to steer the country towards achieving the vision stipulated in the national agenda rather than relentlessly pursuing to fulfill party manifesto.
2. Monitoring and evaluation: The follow-up and assessment of the effectiveness of plan implementation are an important component of the planning process. How will we know that we have achieved the goals and objectives of a plan if we do not monitor and

evaluate our activities? Even though monitoring and evaluation are necessary, they are often relegated to the lowest level due to lack of political will.

2.6 Comparison of Plan Implementation between Ghana, Tanzania and U.S. A

Table 2.3 presents the similarities and difference of plan implementation of Ghana, Tanzania, and U. S. A. Planning in Ghana and Tanzania is centralized than that of the U.S.A. In Ghana and Tanzania, a centralized planning body prepares a National Development Framework that provides guidelines for the preparation of local government plans. It is mandatory for the local governments in Ghana and Tanzania to ensure that their plans are consistent with the National Development Framework. The national planning body in Tanzania prepares a long-time (20 years) National Development Framework while that of Ghana issues a medium-term framework to guide plan preparation and implementation at the local government level. In the U.S. A, local governments are more autonomous, and the central government can only control planning through indirect means such as environmental regulation, management of nationally owned lands, investments in transportation infrastructure, providing of financial assistances, and others. The plan preparation and implementation process of the three countries mirror the generic planning process coined by Anderson (1995). Each country pays critical attention to stakeholder participation and has in place financial arrangements, institutional set-up, and legislations to support planning.

Table 2.3: Comparison of Plan Implementation between Ghana, Tanzania, and U.S. A

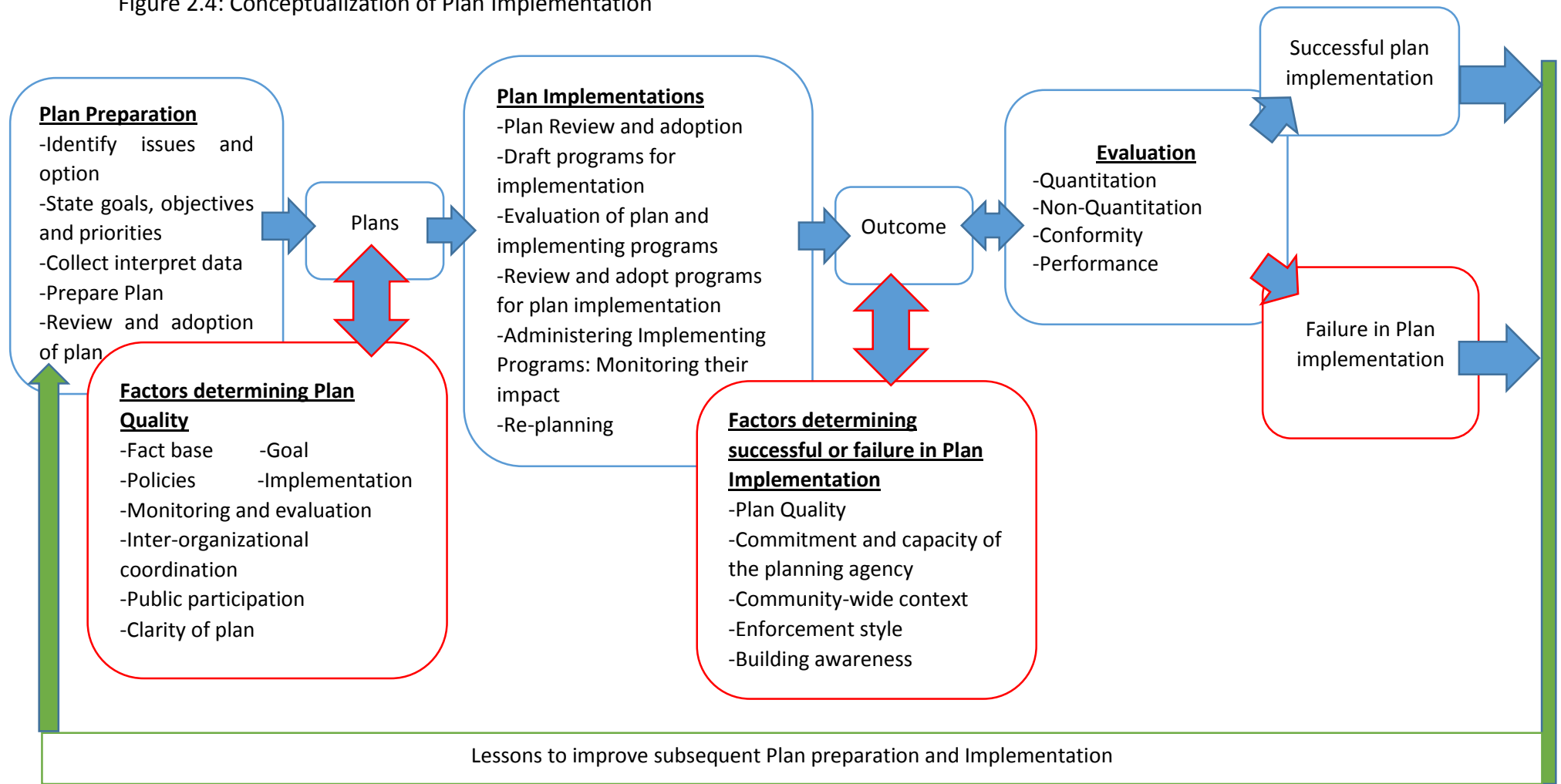
Key Issues	Ghana	Tanzania	U.S. A
Stakeholder Participation	<ul style="list-style-type: none"> -Citizens are involved in plan preparation through community engagement sessions and public hearings -Citizens passively participate in the plan implementation process. Citizens are represented by the assemblypersons at general assembly meetings. 	<ul style="list-style-type: none"> -Citizens are involved in plan preparation through data collection and focus group discussion. -Citizens are less involved in plan implementation. 	<ul style="list-style-type: none"> -Citizens are involved in plan preparation through a public hearing and civic engagement. -Citizens are involved in plan implementation through public hearing
Financial Arrangement	<ul style="list-style-type: none"> -MTEF -Public Procurement Act 2003 (Act 663) -DACF -DDF (in some MMDAs) -Auditing by external and internal auditors 	<ul style="list-style-type: none"> -Guidelines issued by POPC and MoF for the preparation of budget for implementation of plans -Funds from Central Government -Auditing by external and internal auditors 	<ul style="list-style-type: none"> -Budgeting (Fund Accounting) -Local government aid -Grants -Auditing by external and internal auditors
Legal Framework	<ul style="list-style-type: none"> -Local Government Act, 1993 (Act 479) -National Dev't Planning Commission Act 1994 (479) -National Dev't Planning System Act 1994 (Act 480) -Public Procurement Act 2003 (Act 663) 	<ul style="list-style-type: none"> -Government (Urban Authorities) Act 1982 -Local Government Finance Act 1982 -Urban Authorities (Rating) Act 1983 -Regional Administration Act 1997 -Local Government Laws (Miscellaneous Amendments) Act 1999 	<ul style="list-style-type: none"> -City Charters -Standard State Zoning Enabling Act (SSZEA) -Standard City Planning Enabling Act (SCPEA) -Ruling from court cases
Institutional Arrangement	<ul style="list-style-type: none"> -NDPC -MDAs -RCC -MMDAs -More centralized 	<ul style="list-style-type: none"> -POPC -MoF -MDA -RS -LGA -More centralized 	<ul style="list-style-type: none"> -Federal -State -Regional -Municipality -Special Districts -Less Centralized

2.7 Conceptualization of Plan Implementation

The Figure 2.4 below conceptualizes plan implementation. The diagram tries to piece together the various components of the literature review. Plans are prepared to lay down the means to achieving a goal that is anticipated to improve a situation. The step by step approach followed in

developing the plan is known as plan preparation process. The quality of the scheme produced depends on factors such as the level of public participation, fact base and others as presented in Figure 2.4. The plan is abstract and meaningless unless the planning agency implements it. The process followed to put the plan into action is best captioned as implementation process. This process includes plan review and adoption, a draft of program and others as schematized in Figure 2.4. The implementation of the plan produces outcomes which serve as a litmus paper for testing plan implementation. The success or failure of plan implementation depends on a myriad of factors. Some of the factors as illustrated in the Figure 2.4 below include plan quality, commitment and capacity of the planning agency, community-wide context, enforcement style and building awareness. The lessons learned from the evaluation of the entire implementation process, and the outcome fed into the preparation of subsequent plans as illustrated in the diagram. In summary, the figure below indicates that plan preparation is the first phase of the planning process followed by plan implementation and ends with an evaluation. The evaluation component is necessary to provide feedback loops to help improve the whole system.

Figure 2.4: Conceptualization of Plan Implementation



2.8 Summary and Lessons Learned

The underlying theme of any discipline is problem-solving, and planning is no exception. In planning, plan preparation is the first step in addressing societal problems. Once these plans are drawn, they ought to be implemented effectively to achieve the goals and objectives stipulated in the plan. We assume that by so doing, societal problems could be addressed. This explanation makes plan implementation looks simple. The literature indicates that there are scores of cities and countries who are struggling with plan implementation.

Even though Ghana has a rich history of planning, plan implementation has always been a challenge in the country. Plans are neatly drafted and are goals and objectively driven but most of these plans end up on shelves and collect dust. This situation could be nothing but poor implementation. From the literature review, it was apparent that commitment and capacity of the planning agency, enforcement style, community –wide context (acceptability), public participation, and unforeseen external factors (uncertainties, natural disasters, and others) were the notable factors that could affect plan implementation. Plan implementation in the Ghanaian context is weak because of the failure to improve these factors.

The majority of plans also fail upon arrival because of the inability of the planning agency to plan for implementation. From the literature review, a generic implementation process is presented in Figure 2.2. Following this process diligently can help improve plan implementation and also ensure that plans conform to reality. Other notable measures to improve plan implementation as identified from the cases presented in the review include long-term plan preparation, enforcement of development permit ordinances, and political will.

Finally, it is worth clarifying the misconception of people that planning at best produces only plans which remain unimplemented and as such collect dust on the shelves. It is evident from the literature review that, there are a lot of measures in place to help translate plans into action. And it all boil down to our level of commitment to diligently carry out all the instruction stipulated in the plan to positively affect reality.

CHAPTER THREE

RESEARCH METHODOLOGY

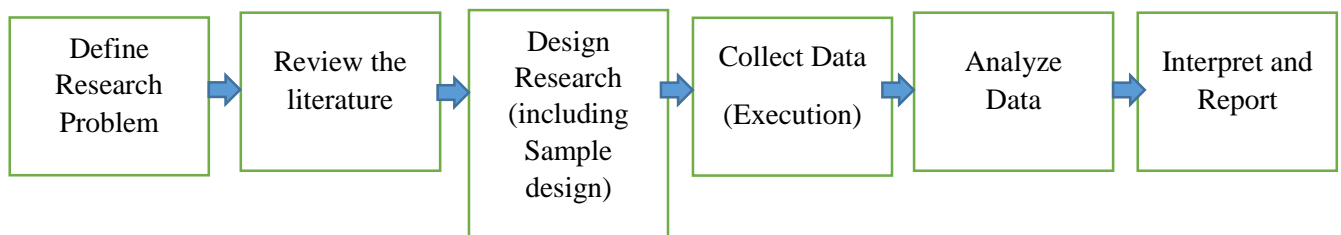
3.1 Introduction

The previous chapter explains the concepts of plan implementation, which lit the path for the subsequent chapters. This chapter presents the methodology for the study. These methods outlined in this chapter, provide the means to answer the research questions appropriately. The method for the study has been elaborated in the following sections.

3.2 Research Process

Research process subsumes the series of steps or actions that are carried out to conduct the study efficiently. The step-by-step process that was followed for this study includes a definition of research problems, review of the literature, research design, data collection, data analysis, interpretation, and reporting. This step-by-step process is depicted in the diagram below.

Figure 3.1: Research Process



3.3 Research Design

The research design is the conceptual structure within which research is conducted. This is the blueprint for the collection, verification, and analysis of data. The unit of observation and the unit of analysis determine the type of research design that might be used to conduct a study.

The study adopted a case study research design. The case study research design was utilized in this study because of the contemporary nature of the phenomenon under study. Thus, evaluating the success or failure of plan implementation falls within a real life context. Also, case study research design is useful when the boundaries between the phenomena and their contexts are not clearly evident (Yin 1994). This perfectly fit the phenomenon under investigation. This is because the success or failure of plan implementation can be context specific. Thus, what might get implemented in one jurisdiction might fail in another area.

The case study research design was also useful for this study because of the complexity and dynamism of the phenomenon being studied. The case study research design helps lay down a solid pattern that enhanced the understanding of special and peculiar circumstances surrounding the case investigated (Kumekpor 2002).

The major disadvantage of case study research design is the difficulties concerning generalization of findings. Soy (1997) reports that case study research design does not provide enough grounds for generalization. This can be because situations in a particular case may be different from another. As such, it would not be valid to use the results in one particular case to predict the situation in another case. To be able to generalize, it is necessary to obtain evidence from multiple sources.

3.4 Data type and source

The study used both primary and secondary data. The sources for the secondary data included published and unpublished reports on topics related to preparation of plans, plan implementation management, methods for evaluation of plan implementation, history of planning in Ghana, institutions responsible for planning in Ghana, and others. These sources provided an excellent understanding of the concepts under study.

The primary data, on the other hand, was gathered through observation and institutional survey using questionnaires. The sources of the primary data included, Planning Department in both district (Kwabre East District and Offinso Municipality), Town and Country Department, the Office of the Mayor, the office of the Coordinating Director, and sub-district structure. The various types of data and sources that aided in answering the specific research questions have been depicted in the table below:

Table 3.1: Data Type and Sources

ISSUES	Data type	Data Source	Method of Data Collection
Factors affecting plan implementation	Primary Data	Planning Department Town & Country Department, Coordinating Directors Office, the Office of the Mayor, sub-district units	Institutional Survey using questionnaires
Measures to improve plan implementation in both districts	Primary Data	Planning Department Town & Country Department, Coordinating Directors Office, the Office of the Mayor, Sub-district units	Institutional Survey using questionnaires
	Secondary Data	Published and unpublished documents	Review some of the best practices in other parts of the world

3.4.1 Method of Data Collection

Table 3, above depicts the types of data needed, sources of the data, and the method for collection. The secondary data was gathered by reviewing journals, books, conference papers and unpublished articles on plan preparation, implementation, method of evaluating plan implementation, and others. Both structured and unstructured questionnaires were designed to collect primary data from institutions. The various departments (Planning Department, Town, and Country Planning Department, Coordinating Directors Office, Sub-district structures) in both districts deemed relevant for the study was also surveyed using questionnaires. Through the institutional survey, some of the challenges of plan implementation were identified in the Kwabre East District and Offinso Municipality.

3.5 Selection of Study Area

The study area for this research is Kwabre East District and Offinso Municipal Assembly. Kwabre East District and Offinso Municipal Assembly were purposively selected because they are among the districts in the Ashanti Region that have a wider tax coverage. This puts both districts in an advantageous spot to implement most of the programs/projects outlined in its District Medium Term Development Plan (DMTDP). The study opted to evaluate the DMTDP of both districts because it is intended to guide the spatial and aspatial of their development. Outside the DMTDP, there exist no plans that are meant to guide the development decisions of Kwabre East District and Offinso Municipal Assembly (see Figure 1.1).

The district assemblies in Ghana have implemented DMTDP since 1996. The first medium-term development plan (VISION 2020) lasted for four years, and the poverty reduction papers replaced

it at the beginning of the new millennium. The poverty reduction papers were in two phases, Ghana Poverty Reduction Strategy (GPRS I 2002-2005), and Growth and Poverty Reduction Strategy (GPRS II 2006-2009). This was followed by the Ghana Shared Growth and Development Agenda (GSGDA I 2010-2013) and GSGDA II (2014-2017) – see chapter two for details. The study focused on the DMTDP of Kwabre East District and Offinso Municipal Assembly prepared between 2006 and 2013; since the implementation phase for these plans has elapsed. As such both District Assemblies are currently experiencing the outcomes of the implementation of these plans. Because of this, it was much easier to examine the various challenges that were faced by both districts in their implementation process.

3.6 Data Analysis

The primary data obtained from the field survey was cleaned and coded using the Statistic Package for Social Science (SPSS) software. The SPSS software generated tables and charts that were analyzed to answer the various research questions. The analysis of the different tables helped to identify the challenges confronting both District Assemblies in the plan implementation. The recommendations made by the study was based on these findings.

3.7 Limitation to the Study

The selection of only two district assemblies in the country will not allow for generalization of results for the whole country. In addressing this, the data from the field survey were triangulated with the available secondary data.

CHAPTER FOUR

THE STATE OF PLAN IMPLEMENTATION IN GHANA

4.1 Introduction

Planners prepare plans to improve societal problems. However, without effective implementation, a plan in itself can never improve societal welfare. This assertion is the primary rationale that, there is the need to pay extra attention to plan implementation. The success or failure of plan implementation depends on several factors as identified in chapter two. This section identifies and elaborates the various challenges facing Offinso Municipal Assembly (OMA) and Kwabre East District Assembly (KEDA) in the Ashanti Region (Ghana) concerning plan implementation. The analysis uses the various factors identified in chapter two as influencing the success or failure of plan implementation as a benchmark to assess the situation in both districts. These factors include institutional capacity, financial capacity, political will, and the level of citizens participation.

4.2 Factors affecting Plan Implementation in KEDA and OMA

The following sections elaborate and analyze some of the factors that affect plan implementation in KEDA and OMA.

4.2.1 Institutional Capacity of both District Assemblies

The institutional capacity of both districts was assessed based on the staff capacity, competencies and qualification, physical resource capacity for plan implementation, and financial resources capacity. The result of the institutional survey is analyzed based on these criteria as follows.

1. Staff Capacity, Competencies, and Qualification

The staff capacity, competencies, and qualification of an organization affect the implementation of plans. Thus organizations, which have adequate staffing, and are highly skilled have a potential to achieve a successful implementation. The study assessed the staffing situation in both districts regarding qualifications, staff development policies, incentives, attrition, and working experiences with district assemblies (see Table 4.1).

The institutional survey indicates that qualified personnel occupies the majority of the key positions in KEDA except for the revenue collection department where there were six vacancies existed in the district. Also, KEDA had no estate manager although the district's organizational structure made provision for such a position. The Table 4.1 shows that the staff in the KEDA have an average of 11 years of working experience with district assemblies. The level of skills of staff can prove to be priceless when it comes to the development of an organization, and the result shows that most of the staff in the KEDA are more experienced. The average number of years spent by each of the staff in KEDA is slightly above five years. This result indicates that there is low staff turn-over in the KEDA, and this has the potential to promote stability in the district.

Table 4.1: Staffing Capacity, Competencies, and Qualifications in KEDA

	Required Number	Qualification	Existing Number present	Working Experience with DAs	No. of years with the current district assembly.
District coordinating director (DCD)	1	Masters	1	20yrs	2yrs
Deputy DCD	2	Degree	2	N/A	N/A
Dist. Planning officer (DPO)	1	Masters	1	10	3
Asst. DPO.	1	Masters	1	4	2
Dist. Budget officer	1	1 st Degree	1	12	3
Dist. Finance officer (DFO)	1	Masters	1	12	12
Asst. DFO	1	1 st Degree	1	10	10
Dist. Engineer	1	1 st Degree	1	14	10
Internal auditors	1	1 st Degree	1	8	4
Revenue superintendent	1	N/A	1	15	4
Town & country plg. Officer	1	Masters	1	10	3

Source: Institutional Survey, 2016

The majority of the staff who occupy important positions in the OMA are skilled personnel. Though the level of staffing in the revenue department and public works department is limited, the OMA has enough staff than most district assemblies in the country. The Table 4.2 below indicates that the average years of experience had by the staff in OMA is slightly above 21 years. This result implies that OMA has a potential to improve the level of service rendered to the citizens since the majority of the staff are familiar with the decentralization system of the country.

Table 4.2: Staffing Capacity, Competencies, and Qualifications in OMA

NO	Category of Personnel	Minimum Education Required	Personnel's Level of Education	Minimum Experience Required	Personnel Level of Experience
1.	Works Engineer	CTC Part II	HND Holder	2 years	10 years
2.	Budget Officer	Degree	Degree	After National Service	16 years
3.	Clerical Officer	SSS	SSS	SSS Graduate	6 years
4.	Executive Officer	SSS	Degree	SSS Graduate	27 years
5.	Senior Executive Officer	GCE O'Level	GCE O'Level	GCE Graduate	35 years
6.	Planning Officer	Degree	Degree	After National Service	25 years
7.	Chief Revenue Superintendent	SSS	SSS	SSS Graduate	30 years
8.	Director	Degree	Degree	6 years	20 years

Source: Institutional Survey, 2016

2. Training Opportunities for Staff in both District Assemblies

The investment in training for staff hold real promise for career development, increased earnings and an excellent source of staff motivation. The institutional survey indicated that both district assemblies did not have a policy on staff training and as such did not make budgetary allocation for on the job training for staff. This result indicates that both district assemblies placed less premium on staff training. The Regional Coordinating Council does staff transfers in the regional capitals, and logical inferences suggest that both district assemblies are putting less premium on staff training because staff who receive additional training may be transferred from the district after huge sums of funds have been spent on their training. The institutional survey also identified that both district assemblies did not have Memorandum of Understanding (MoU) with any

training institution including the Institute of Local Government Studies (ILGS) for the regular training of its staff.

3. Physical Resource Capacity for Plan Implementation

The availability of equipment such as computers, vehicles, telephones and others influence the success of the implementation of plans. Without the needed equipment at the district assemblies, most of the activities for plan implementation would not be carried out. The institutional survey shows that KEDA lacks the majority of equipment that is needed to support plan implementation. KEDA did not have a fax machine and other equipment like photocopiers, vehicles, and computers were limited. The two existing copier machines in the KEDA were in bad shape and were far beyond repair. The lack of the necessary equipment in KEDA negatively impact plan implementation.

The physical resource situation in the OMA was not far from what the study identified in the KEDA. OMA lack equipment such as photocopiers, fax machines, and scanners. Computers, chairs and desks, printers, vehicle and other equipment were limited and in bad shape. The limited physical resources negatively affect OMA's ability to ensure smooth plan implementation. The Planning Officer put this in a proper perspective: *"since we have only one vehicle at the OMA we are unable to monitor all the projects the assembly is implementing in the region, and as such it is tough to ensure that the contractors perform all the activities as outlined in the contractual agreement. Sometimes most of them abandon their sites for more than six months without the assembly having no knowledge of it."*

4. Financial Resources Capacity

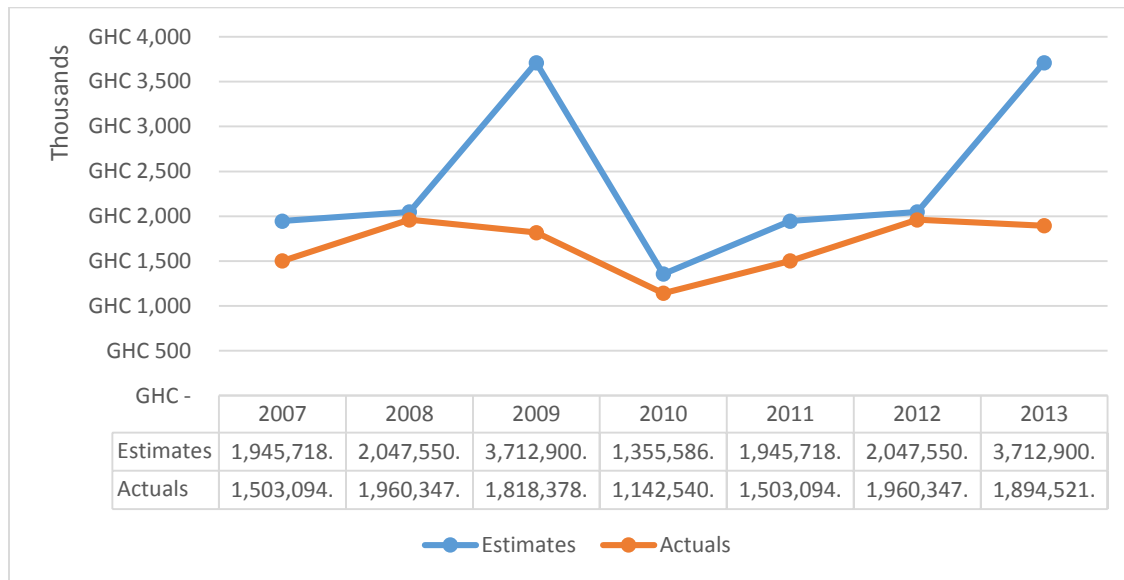
The availability of financial resources affects the ability of an institution to implement plans. It appears to be the life blood of any planning process. Implementation is likely to be abandoned if there are limited financial resources, and therefore effective mobilization of funds is an essential component of any planning process.

The study assessed the financial capacity of KEDA and OMA based on the inflow and outflow of funds within the planning period (2010-2013). This analysis was necessary to determine the fiscal performance of both districts during the implementation of the DMTDP (2006-2013).

TOTAL REVENUE FOR KEDA AND OMA FROM 2007 TO 2013

The Figure 4.1 shows that the total revenue of KEDA from 2007 to 2013 exhibits an irregular trend. The total revenue picked in 2008 but fell sharply in 2010 by 41.7 percent. From 2010 to 2013 the total revenue of KEDA increased steadily by more than 65.9 percent. The total revenue of KEDA has grown at an average rate of 7 percent from 2007 to 2013.

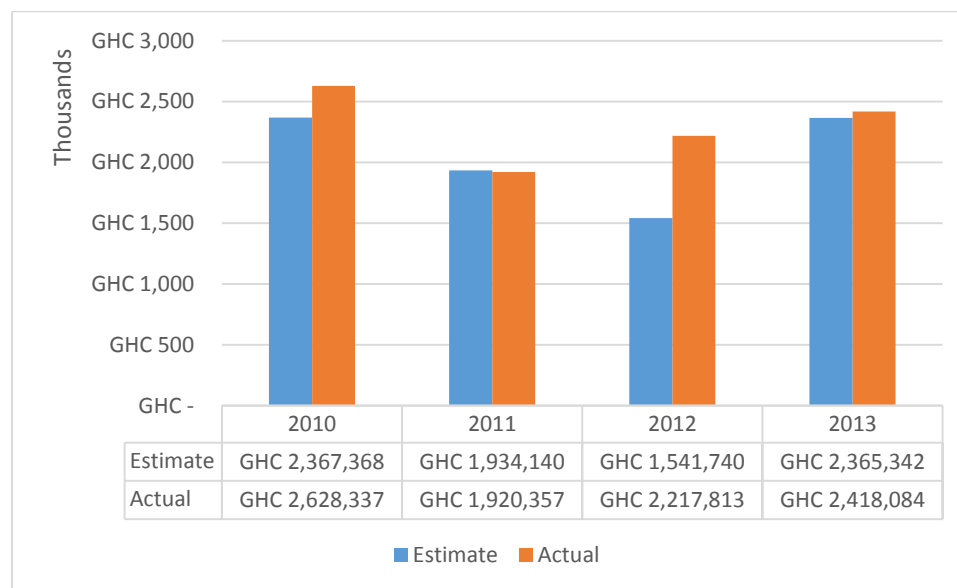
Figure 4.1 Total Revenue, Estimate and Actuals of KEDA, 2007 to 2013



Source: District Medium Term Development Plan, KEDA 2014-2017

Figure 4.2 below shows the estimated and actual total revenue for OMA from 2010 to 2013. The total revenue of OMA increased from 2007 to 2008 and dropped by 9 percent in 2009. In 2010, the total revenue of OMA increased again but fell in 2011. From 2011 to 2013, the total revenue of OMA grew at an average rate of 12.97 percent.

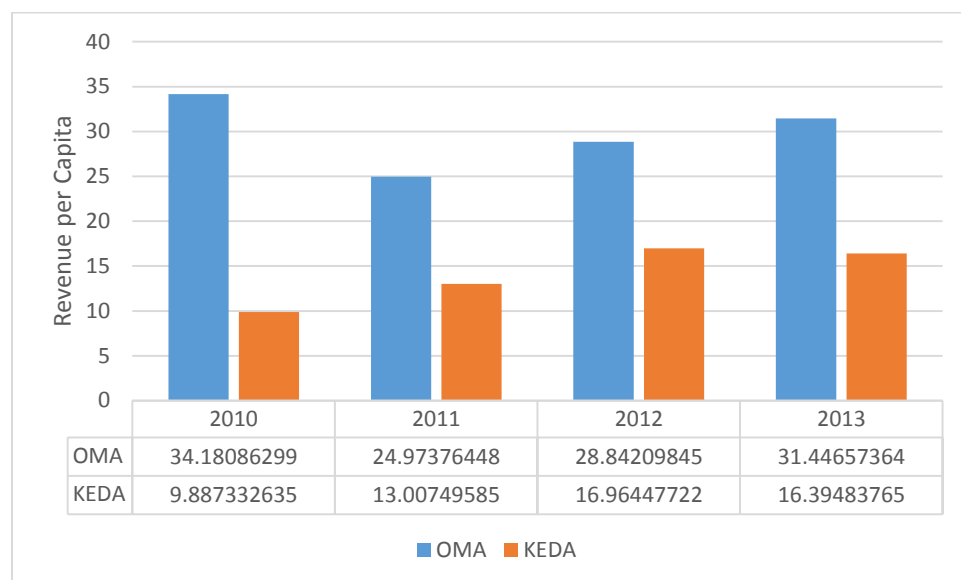
Figure 4.2: Total Revenue, Estimated and Actuals of OMA, 2010-2013



Source: District Medium Term Development Plan, OMA 2014-2017

Comparing the revenue per capita of both districts assemblies from 2010 to 2013, OMA has a higher revenue per capita than KEDA (see Figure 4.3 below). Although KEDA has larger population than OMA, the nominal revenue received by OMA from 2010 to 2013 is greater than that of KEDA. This trend is as a result of the fact that, OMA received a lot of external funding than KEDA within the planning period under investigation.

Figure 4.3 Comparison of Revenue Per Capita between OMA and KEDA



Source: District Medium Term Development Plan, KEDA & OMA 2014-2017

The Table 4.3 below shows the variations between estimated and actual revenue received by OMA from 2007 to 2010. The highest difference between the estimated and actual revenue received by OMA was recorded in 2012; this represents +44 percent. The least variation between the estimated and actual revenue of OMA was recorded in 2011, which represent -1 percent. In 2011, OMA considered DDF as a source of funding in their estimated revenue but did not received it and hence had a lower revenue than what was estimated. This trend took a different turn in 2012 and 2013 as DDF, and other external funding became available to the assembly.

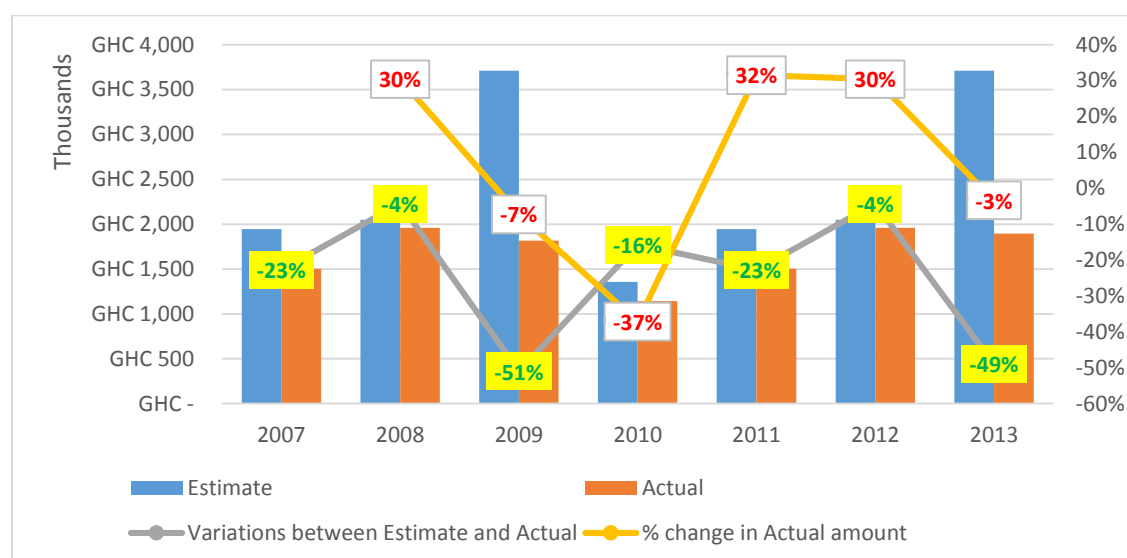
Table 4.3: Estimated and actual revenue of OMA

YEAR	Estimate	Actual	Variations between Estimates and Actuals	% Change in Actual revenue
2007	N/A	GHC 976,322.00	N/A	
2008	N/A	GHC 1,996,099.25	N/A	104%
2009	N/A	GHC 1,823,370.93	N/A	-9%
2010	GHC 2,367,368.17	GHC 2,628,337.46	11%	44%
2011	GHC 1,934,140.03	GHC 1,920,357.62	-1%	-27%
2012	GHC 1,541,740.00	GHC 2,217,813.16	44%	15%
2013	GHC 2,365,342.21	GHC 2,418,084.28	2%	9%

Source: District Medium Term Development Plan, OMA 2014-2017

Figure 4.4 shows the variations between the estimated and actual total revenue for KEDA from 2007 to 2013. The year 2009 marks the highest differences recorded between the estimated and actual total revenue for KEDA followed by 2013, and 2012 marking the least variations recorded between the estimated and actual total revenue of KEDA. These huge differences between the estimated and actual total revenue of KEDA are as a result of the unsteady flow of external funding. The real total revenue received by KEDA increased from 2007 to 2008 but dropped sharply between 2008 and 2010. The real total revenue received by KEDA increased steadily between 2010 and 2011 but declined from 2011 to 2013. The increased in the total revenue received by KEDA from 2007 to 2008 was due to Government of Ghana (GOG) grants and some donor agencies' grants that became available to the assembly in 2008. These grants were not available to the district from 2010 to 2013; this explains the sharp decline in the actual total revenue from 2009 to 2010. Also, in 2008, KEDA received a huge DACF funds, but this was not the case for the subsequent years.

Figure 4.4 Variations between Estimate and Actuals, KEDA, 2007 to 2013



Source: District Medium Term Development Plan, KEDA 2014-2017

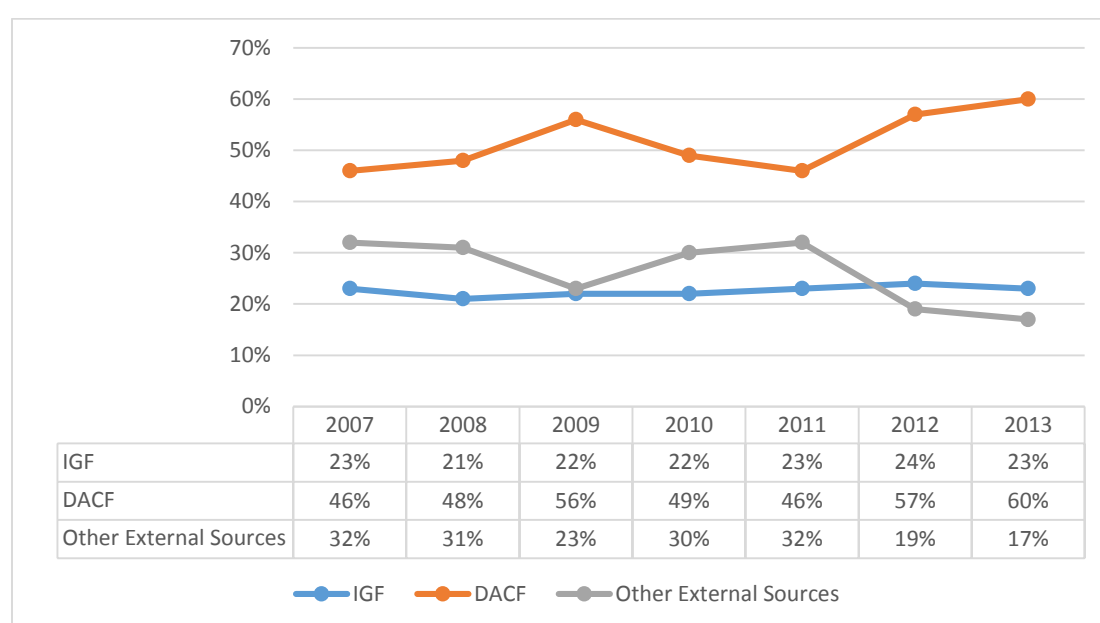
SOURCE OF FUNDING FOR KEDA AND OMA

Like the majority of District Assemblies in Ghana, Internally Generated Revenue (IGF) and government grants in the form of the District Assemblies Common Fund (DACF) are the primary source of revenue to KEDA and OMA. Other funding sources include Ghana Education Trust Fund (GETFUND), District Development Facilitate (DDF), Community Based Rural Development Project (CBRDP), HIPC Relief Fund, Members of Parliament Common Fund, and School Feeding Program.

Figure 4.5 below shows that DACF is the primary source of funding for KEDA followed by IGF. Although the chart below indicates that other external sources of finance contributed higher to the total revenue for KEDA from 2007 to 2013, KEDA does not consider these sources as one of the primary sources for the assembly due to its irregularity. For instances, in 2012 and 2013 other external sources contributed slightly below 20 percent of the total revenue received by KEDA. From 2007 to 2013 DACF provided an average of 52 percent of the total revenue received by

KEDA. The average contribution of IGF to the total revenue of KEDA is 23 percent while the average contribution from other external sources is 26 percent. The contribution of other external sources to the total revenue of KEDA was slightly above 30 percent for 2007, 2008, 2010, and 2011 because of the GOG grants and other donor agencies' grant that were available to the assembly. These grant sources were caught off for 2009, 2012, and 2013.

Figure 4.5: Source of Funding for KEDA 2007 to 2013

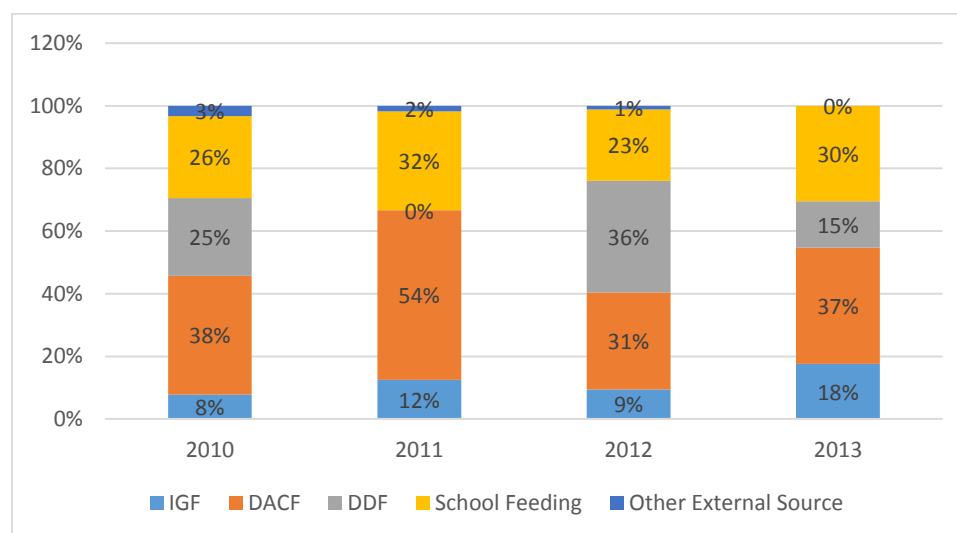


Source: District Medium Term Development Plan, KEDA 2014-2017

OMA like any other district assemblies in the country depends on external sources of funding for the implementation of plans. From 2010 to 2013, external sources of funding such as DACF, DDF, School Feeding Program, HIPC Funds, and CBRDP constituted an average of 88 percent of the total revenue received by OMA. These external sources are the primary sources of funding for OMA. The general unreliability of external sources of funding threatened the ability of OMA to implement the DMTDP (2010-2013). The average contribution of IGF to the total revenue of OMA

between 2010 and 2013 is less than 12 percent (see Figure 4.6). This situation calls for the need for OMA to implement stringent local revenue collection measures to reduce the level of tax evasion in the district.

Figure 4.6: Source of Funding for OMA, 2010 to 2013



Source: District Medium Term Development Plan, OMA 2014-2017

PRIMARY SOURCES OF FUNDING FOR KEDA AND OMA

The DACF is a local government aid given to all the district assemblies in the country. Each year the Government of Ghana allocates less than 10 percent of the Gross Domestic Product of the country to the district assemblies in the form of a local government aid popularly known as District Assembly Common Fund (DACF). The Government of Ghana disburses the DACF to all the district assemblies in a quarterly basis. The irregularity in the flow of the DACF has become a major setback to the district assemblies in Ghana; KEDA and OMA are no exceptions.

For instance, as at February 2010, the Government of Ghana had not released the third quarter and fourth quarter of DACF due for 2009 to KEDA. This situation was prevalent throughout the planning period under assessed. Also, DACF for OMA in 2011 was not released until August of

2011 and the last quarter for 2011 was released in February of 2012. This situation was similar to what occurred in 2012; the DACF was not released to OMA until July 2012 and the last quarter for 2012 was released in May 2013.

This irregularity in the release of the DACF affected the implementation of the DMTDP (2006 – 2013) of KEDA and OMA. Because any delay in the release of funding affects project budget and as such more money (cost overruns) will be needed to complete the same projects due to rising cost of materials as a result of inflation.

Also, DACF just like any other central government aid experiences periodic cuts by the government. The Table 4.8 indicates that the DACF allocated to KEDA experienced an average of 14 percent cut by the Government of Ghana between 2007 and 2013. The actual DACF release to KEDA increased at an average rate of 15 percent from 2007 to 2013.

Table 4.4: DACF of KEDA

YEAR	Estimate	Actual	Variation between estimates & Actuals	% change for actual DACF
2007	781,700.00	687,030.31	-12%	
2008	1,059,773.00	1,108,640.15	5%	61%
2009	1,665,088.70	1,082,457.81	-35%	-2%
2010	640,500.00	556,736.00	-13%	-49%
2011	781,700.00	687,030.31	-12%	23%
2012	1,059,773.00	1,108,640.15	5%	61%
2013	1,665,088.70	1,082,457.81	-35%	-2%

Source: District Medium Term Development Plan, KEDA 2014-2017

OMA also experienced irregularities in the flow of DACF within the planning period under investigation. In 2011, 73 percent of the DACF allocated to OMA was deducted at source, this reduced to 58.35 percent in 2012. The actual DACF received by OMA from 2010 to 2013 was about 37.25 percent below what was estimated. From 2010 to 2013, the DACF received by OMA

declined at an average of 32 percent. This trend affected the ability of OMA to implement their DMTDP (2006-2013) as DACF is one of their primary sources of funding.

Table 4.5: DACF for OMA

YEARS	Estimates	Actuals	Variation between estimates & Actuals	% change for actual DACF
2010	1,489,277.00	996,236.00	-33%	
2011	1,694,240.03	929,969.75	-45%	-7%
2012	820,202.00	687,731.15	-16%	-26%
2013	1,535,555.10	693,120.23	-55%	1%

Source: District Medium Term Development Plan, OMA 2014-2017

The district assemblies in Ghana just like any other local government in the world have the mandate to raise funds within their jurisdiction popularly known as Internally Generated Funds. The sources of IGF include rates, fees, licenses, land royalties, fines, rent, investments and miscellaneous source.

The IGF for KEDA increased by 40 percent from 2007 to 2008 but dropped sharply from 2009 to 2010. The declined in IGF for 2009 and 2010 was as a result of the creation of Afigya Kwabre District out of KEDA. From 2007 to 2013, the IGF of KEDA increased at an average of seven percent (see Table 4.6).

The table below indicates a huge variation between the approved or estimated IGF and the actual IGF collected by KEDA from 2007 to 2013. The year 2009 and 2013 mark the highest variations between the estimated and actual IGF followed by 2007 and 2011 and the least variations experienced by KEDA in 2010. These enormous differences between estimated and actual IGF for KEDA are due to the poor tax or IGF collection mechanism. Even though the variations between the estimated and actual IGF for KEDA was high, the average tax collection rate was about 88

percent from 2007 to 2013. This situation would have been less severe if the citizens paid the delinquent taxes but almost, as a rule, these defaulters mostly fail to repay their taxes in the subsequent years.

Table 4.6: IGF for KEDA

YEAR	Estimates	Actuals	Variation between estimates & Actuals	% collected	% change for actual IGF
2007	365,718.00	340,205.99	-7%	93%	
2008	507,550.00	477,169.31	-6%	94%	40%
2009	577,812.00	421,084.42	-27%	73%	-12%
2010	259,586.00	245,875.65	-5%	95%	-42%
2011	365,718.00	340,205.99	-7%	93%	38%
2012	507,550.00	477,169.31	-6%	94%	40%
2013	577,812.00	421,084.42	-27%	73%	-12%

Source: District Medium Term Development Plan, KEDA 2014-2017

Throughout the planning period under investigation, the IGF collected by OMA was below the approved IGF. OMA in 2012 experienced the highest variation (35%) between estimated and actual IGF; this represented 65 percent tax collection rate (see Table 4.7). The average tax collection rate for OMA from 2010 to 2013 is 85 percent. However, the total IGF received by OMA increased at an average rate of 19 percent. These trends are as a result of the weak tax collection mechanisms adopted by OMA. Some of the notable challenges in the collection of taxes at OMA include the unwillingness of people to pay basic rates, leakages in revenue collection system, the absence of efficient revenue monitoring system, and lack of a database on economic activities in the Municipality.

Table 4.7: IGF for OMA

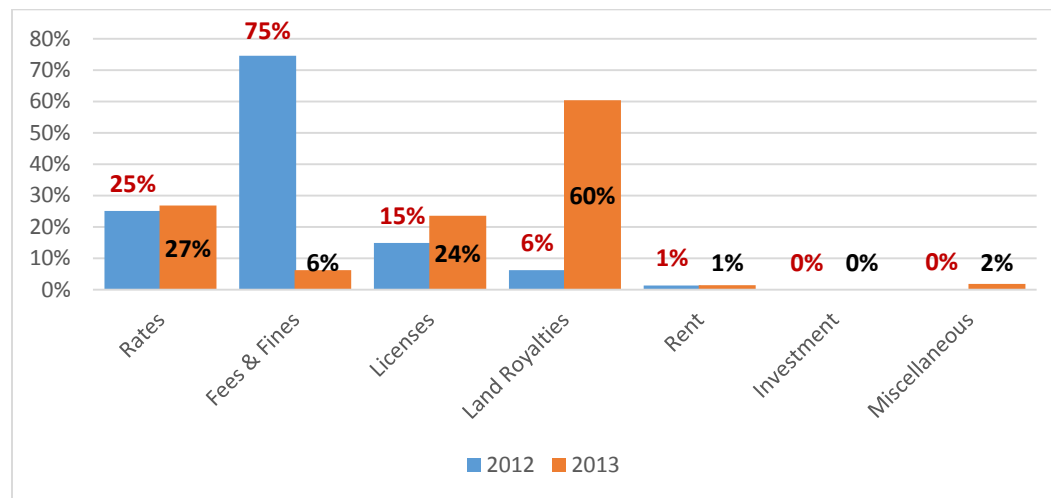
YEARS	Estimates	Actuals	Variation between Estimates & Actuals	% collected	% change for actual IGF
2010	226,050.00	205,621.29	-9%	91%	
2011	239,900.00	214,064.51	-11%	89%	4%
2012	321,538.00	209,185.66	-35%	65%	-2%
2013	331,380.00	324,361.00	-2%	98%	55%

Source: District Medium Term Development Plan, OMA 2014-2017

COMPONENTS OF IGF FOR KEDA AND OMA

The Figure 4.7 shows that the major contributors to KEDA's IGF include rates (property taxes), fees, licenses and land royalties. In 2012, fees and fines contributed the highest share of the KEDA's IGF followed by rates (property taxes), licenses and land royalties and rent and investment being the least contributor to the IGF. This trend took a different turn in 2013. Land royalties contributed the highest share of the IGF of KEDA in 2013 followed by rates (property taxes) and licenses. The fees and fines component contributed six percent of the total IGF of KEDA in 2013, which was about 69 percent less than what it contributed in the previous year (2012). This trend could be due to the uncertainties surrounding fees and fines as a source of IGF; as it is not every fiscal year that criminal and unlawful cases would be many in the district.

Figure 4.7: Contribution of the Various Components of IGF for KEDA, 2012 and 2013



Source: District Medium Term Development Plan, KEDA 2014-2017

Table 4.8 below shows that fees and fines, rates, royalties are the major contributors to the IGF of OMA. From 2010 to 2013 fees and fines constituted an average of 34.9 percent of the total IGF received by OMA followed by rates (25.9%), royalties (19.3 %), licenses (15.2%) and rent representing the least share of the total IGF received by OMA. Rates constituted 15.4 percent of the total IGF received by OMA in 2013; this is about 20 percent less than what it contributed in 2012. This trend is due to the unwillingness of the citizens to pay taxes, weak tax collection mechanism, and leakages.

Table 4.8: Contribution of various component of IGF for OMA, 2010-2013

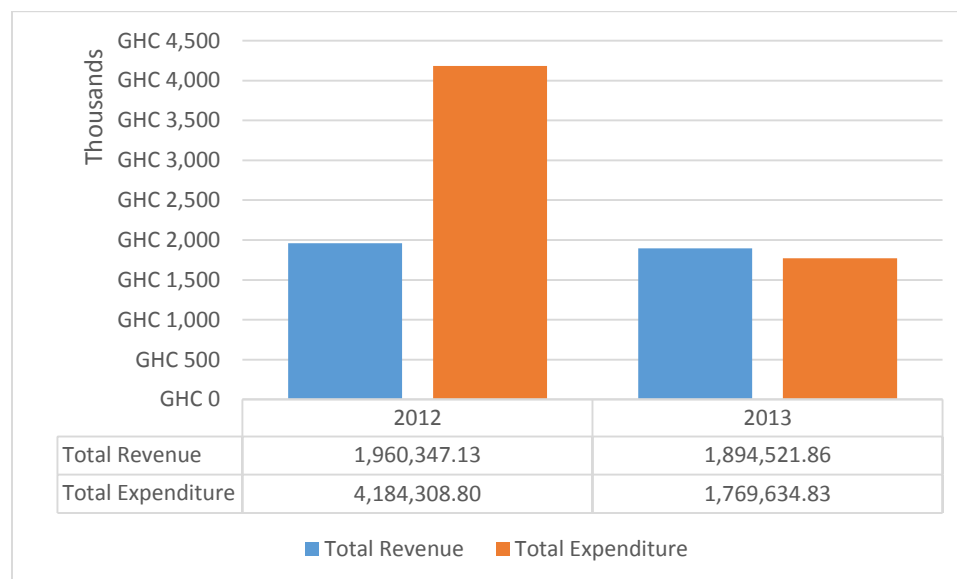
	2010	2011	2012	2013
Rates	25%	28.3%	35%	15.4%
Lands and royalties	16%	12.1%	11%	37.9%
Rent of land, building & houses	2%	2.3%	2%	0.9%
Licenses	14%	17.4%	17%	12.2%
Fees & fines, penalties, and forfeits	35%	35.3%	36%	33.6%
Investment	7%	4.3%	0%	0.0%

Source: District Medium Term Development Plan, OMA 2014-2017

COMPARISON BETWEEN EXPENDITURE AND REVENUE

KEDA's total expenditure for 2012 was higher than the total revenue, but in 2013 the total revenue was greater than the total expenditure. The expense for 2012 was very high as the majority of the projects in the DMTDP (2010-2013) were scheduled to be implemented in that year. By 2013, KEDA had awarded the majority of the projects to contractors who had already begun some construction works and as such the estimated total expenditure declined by 57.7 percent (see Figure 4.8).

Figure 4.8: Comparison between Expenditure and Revenue for KEDA, 2012 and 2013

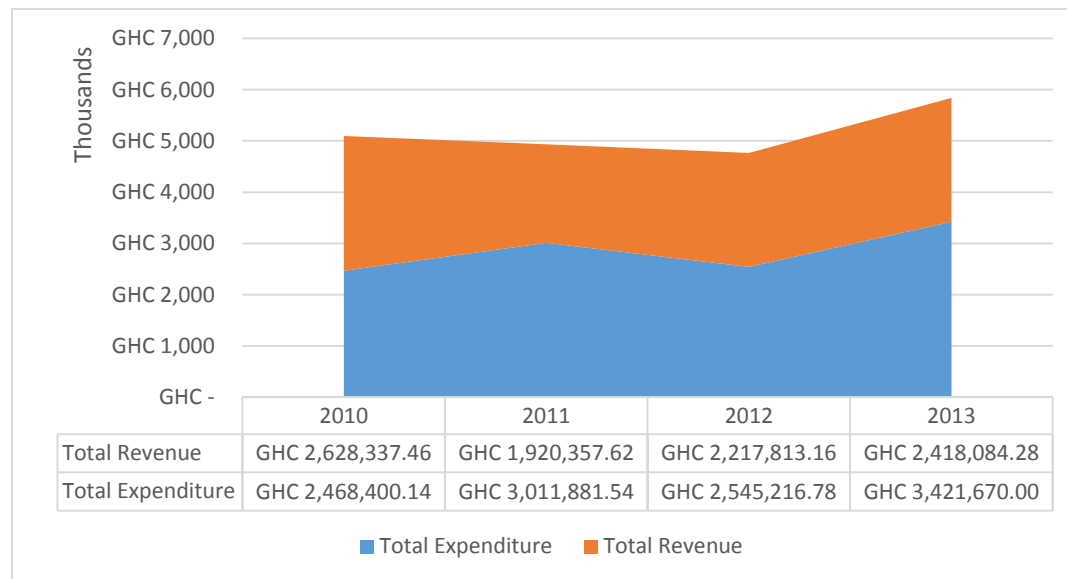


Source: District Medium Term Development Plan, KEDA 2014-2017

OMA in 2010 received more revenue than they spent; the revenue was 6.7 percent higher than what the assembly spent. But this trend took a different turn in the subsequent years; in 2011 the total expenditure of OMA was a million greater than the total revenue. This trend was prevalent in the year 2012, and 2013, but the difference between total revenue and expenditure was below half a million for 2012. The total expenses incurred by OMA within the planning period under investigation increased at an average of 14 percent. This trend is as a result of unpaid

expenses carried forward to the subsequent years, due to the delay in the release of external funding.

Figure 4.9: Comparison between Expenditure and Revenue for OMA, 2010 to 2013



Source: District Medium Term Development Plan, OMA 2014-2017

4.3 Participation Level of Citizens in Plan Implementation at both Districts

Community involvement is essential in all the stages of planning. It is always prudent to involve citizens right at the beginning of the planning process; this will make them feel included, and encourage them to step forward in monitoring and evaluation of implementation. This study evaluated the involvement of the community both in the preparation of the DMTDP (2006-2013) and its implementation.

Both district assemblies organized public hearing during the preparation of the DMTDP. These public hearings were in the form of Community Forum. KEDA selected about five communities (Ahwiaa, Mampong, Aboaso, Ntonso, and Kenyase) where community forums were held to identify the needs of the citizens and other key stakeholders in the district. Also, OMA organized a community forum in four communities. These communities included Offinso, Abofour, Anyinasuso, and Kokote. In addition, both

district assemblies designed questionnaires that were administered in the various communities to further gather primary data on the needs and aspirations of the people. Also, both districts held a general assembly meeting where the assemblypersons who are representative of the citizen were given the opportunity to vote on the adoption of the DMTDP. Although these are not the perfect form of citizen participation, at least effort was made by both districts to get the people involved in the plan preparation process.

Almost as a rule in Ghana, communities are highly involved in plan preparation but less in its implementation. Because of this, most citizens are unaware of projects of the district assemblies in their respective communities. The field survey in both district assemblies revealed that the majority of the citizens were unaware of the on-going projects of the districts in their respective communities. Some of the citizens reported that they only become aware of the completed projects of the assembly in their respective communities only through observation, and grapevine. This situation inhibits the ability of the citizens to participate in the monitoring and evaluation phase of the planning process.

4.3 Challenges of Plan Implementation at both Districts

The literature review identified approximately 14 factors that affect plan implementation. The 11 major departments in both districts were asked to rate these factors between one and five where (1= strongly disagree, 2= disagree, 3= neither agree nor disagree, 4= agree, and 5= strongly).

Figure 4.10 shows that the majority of the departments in KEDA strongly agree that limited period for plan implementation is the major challenge affecting their ability to perform well in implementation. Approximately eight departments strongly agree that political interference affected plan implementation in the district. Also, five departments disagreed that the lack of

political will was a major challenge facing plan implementation in the district. There was at least one department in KEDA who either strongly agreed or agreed that the fourteen identified factors affected plan implementation in the district.

Figure 4.10: Challenges Facing KEDA in the Implementation of Plans

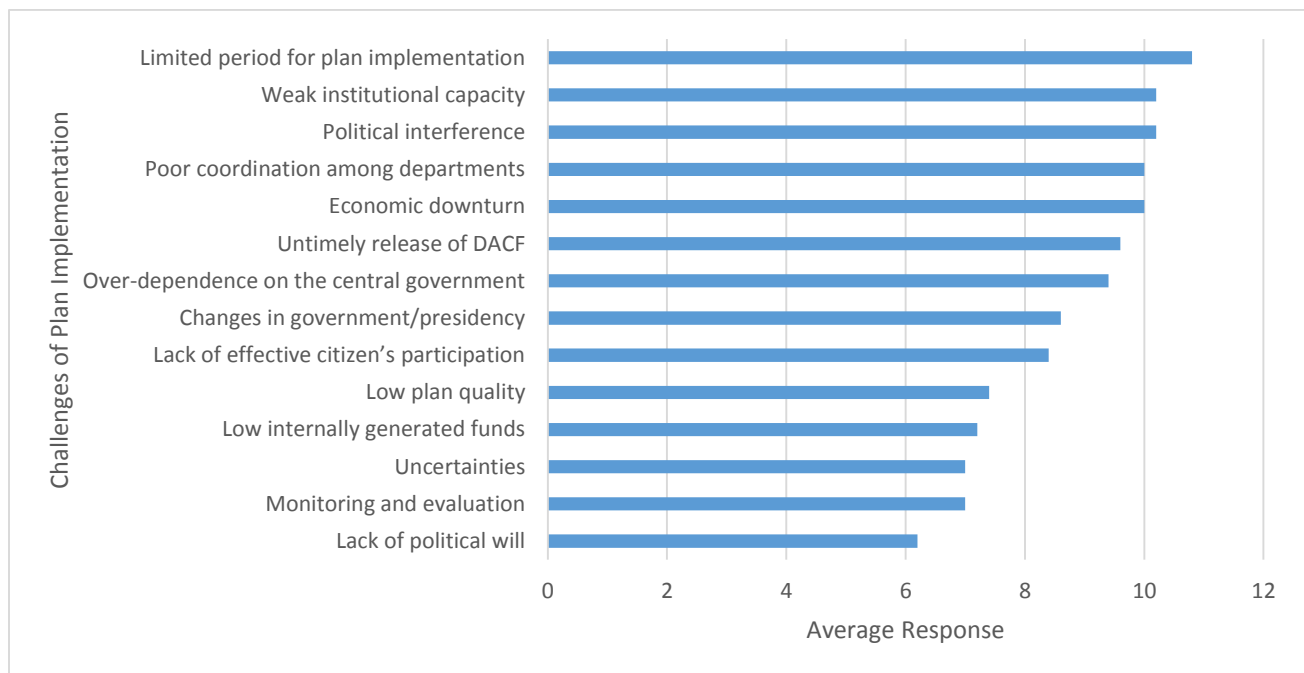
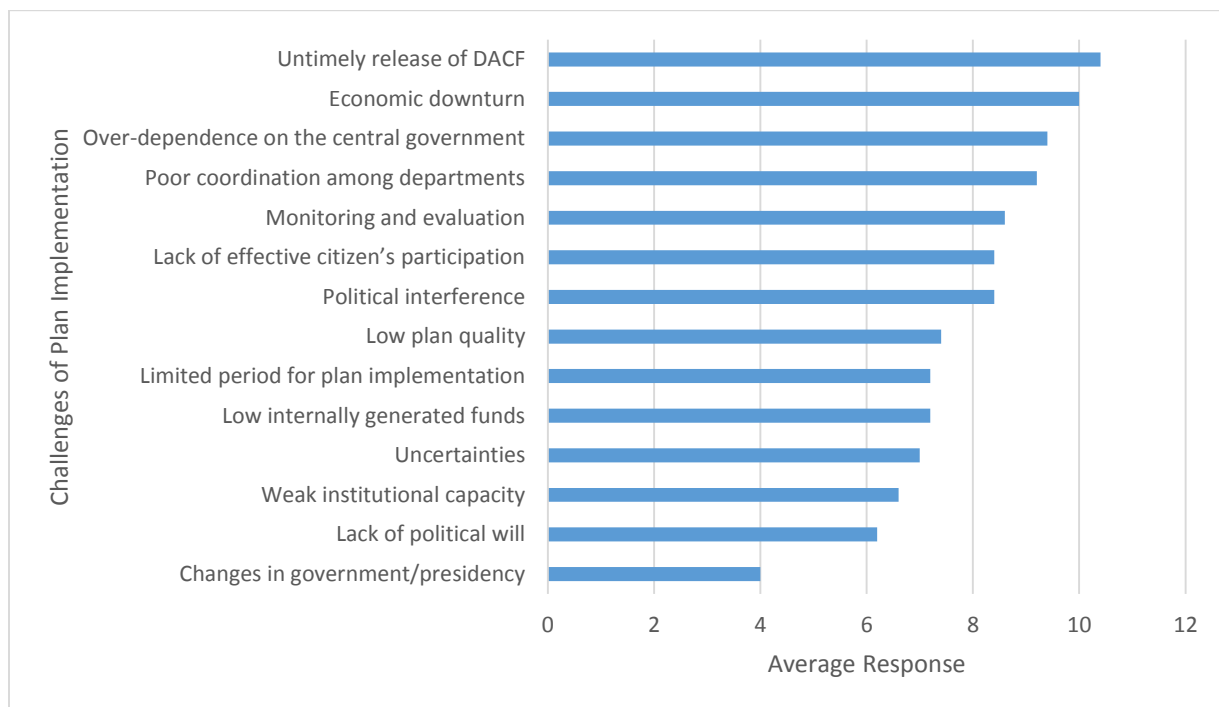


Figure 4.11 shows that the majority of departments in OMA strongly agreed that untimely release of DACF affected the implementation of the plan in the districts. Also, seven of the departments in OMA disagreed that change in government or presidency has a significant effect on plan implementation in the district. Approximately six of the departments in OMA agreed that limited internal fund generation was a major challenge that affects plan implementation in the district. At least two departments in the OMA either strongly agreed or agreed that the fourteen identified factors affected plan implementation in the district.

Figure 4.11: Challenges of Plan Implementation, OMA



4.4 Summary

The financial analysis shows that both District Assemblies depend on external funding; however, OMA is a higher dependent on external sources of funding for plan implementation than KEDA. Also, KEDA performs better than OMA regarding the collection of IGF. Some of the notable challenges that affect plan implementation in both districts include inadequate finance, poor coordination among departments, low level of participation in implementation, weak institutional capacity and others. The subsequent section of the thesis elaborates the findings of the analysis and recommends measures to improve plan implementation in both districts and Ghana as a whole.

CHAPTER FIVE

FINDINGS, DISCUSSION, AND RECOMMENDATIONS

5.1 Introduction

The last chapter links the various sections of the study together. The chapter elaborates on the results of the study and recommends measures to improve plan implementation in both districts and Ghana as a whole. The last chapter summarizes the responses to the research questions.

5.2 Findings and Discussions

This section of the chapter presents the results and discussions based on the various research issues of the study. The results of the study are presented as follow.

5.2.1 Factors affecting Plan Implementation in both District Assemblies

1. Staffing Capacity

The study found that qualified personnel occupied the majority of the important positions in both District Assemblies. The revenue collection departments in both District Assemblies were the exception; the study found that both departments were short of staff. This finding is similar to what Frimpong (2012) found when he studied the institutional capacity of Akyem South District Assembly in 2012. The study attributes the shortage of revenue collection staff in both District Assemblies to the unattractive nature of wages and salaries associated with such positions. The study also found that the turn-over rate in both districts was low. This trend is priceless to both districts as high staff turnover can result in low staff morale, low productivity and high operational cost to the organization.

2. Training Opportunities for Staff

The study also found that both districts did not have a policy on staff training and as such did not make budgetary allocation for staff training. Training of staff is critical for the growth of any organization. According to Jehanseb (2013), staff training benefits employees regarding employee's satisfaction, employee performance, and career competencies. He added that, organizations who invest in staff training increase in performance and attract and retain more employees. The willful negligence of both District Assemblies to invest in staff training is rather costing them than they would have incurred should they have invested in staff training.

3. Physical Resource for Plan Implementation

The study found out that both Districts Assemblies lack physical resources such as computers, printers, scanners, chair and tables, fax machines, projectors, vehicles and others to support plan implementation. The majority of the physical resources that were available in both District Assemblies were in disrepair and needed to be fixed. The limited physical resources inhibit the ability of both district assemblies to maintain up to date data to support plan implementation. Also, the limited vehicles in both District Assemblies make it difficult for DPCU to conduct field studies which are crucial for the monitoring and evaluation of the plan.

4. Financial Performance

The study found that more than half of the revenue received by both District Assemblies within the planning period under investigation came from external sources. The institutional survey showed that OMA had a greater portion (88%) of their total revenue from external sources than KEDA (52%) did. This trend implies that both Districts Assemblies are affected by the ebbs and flows associated with external sources of funding. This finding indicates that both District

Assemblies are less insulated from any national economic downturn. The reliance on external sources of funding undermines the fiscal independence of the assemblies and limits their discretionary powers regarding the kind of projects to invest.

The weakness in the internal revenue mobilization capacity of both Districts Assemblies was apparent after the analysis of the institutional survey. Within the planning period under investigation, KED mobilized 88 percent of the estimated IGF while OMA could only mobilize 85 percent. The poor performance of both District Assemblies in revenue mobilization is partially attributed to the inappropriateness of the revenue projections. Both District Assemblies perform revenue forecast for the ensuing year based on the actuals extracted from the trial balance of the previous year. This practice might undermine the potential of both District Assemblies to raise more revenue if the estimates in the trial balance are erroneous. Other notable challenges affecting revenue mobilization in both District Assemblies include poor tax education, weak supervision, unemployment, improper management of the assembly's investments, outdated data on existing housing properties and others.

As mentioned earlier on, adequate financial resources are essential for plan implementation. The findings of the study confirm this assertion as the erratic revenue inflow in both District Assemblies correlated with their poor performance in the implementation of the DMTDP (2006-2013). The study found that adequate financial resources stimulated the political will of both District Assemblies to perform better in plan implementation.

5. Public Participation in Plan Implementation

Ever since Arnstein propounded her ladder of participation in the early 90s, scores of studies (Burby 2007; Brody et al. 2011 and others) have proven that citizen participation is crucial throughout the stages of planning. The study found this assertion to be true as the low participation of citizens in the preparation and implementation of DMTDP inhibited the success of both District Assemblies in implementation. The study also found that both District Assemblies partially involved citizens in the preparation of the DMTDP; this might be the rationale behind them being unaware of the existence of the plan. As such it was no surprise that most of the citizens in both District Assemblies failed to participate in the implementation of the DMTDP (2006-2013). This finding confirms what Burby (2007) reported: *“When planners in Florida and Washington involved a broader array of stakeholders in plan making, they produced stronger plans and policy proposals that were much more likely to be implemented than was the case when participation was limited.”*

5.3.1 Challenges of Plan Implementation in both District Assemblies

The following are some of the challenges identified by the study as affecting plan implementation in KEDA and OMA.

- Over dependence on external funding or central government
- Low internally generated revenue
- Moderate plan quality
- Political Interference
- Lack of political will
- Changes in government/presidency

- Low citizen's involvement in planning
- Weak Institutional Capacity
- Limited period for implementation
- Poor monitoring and evaluation of plan implementation and data management
- Poor coordination among departments
- Inefficient contract management

5.4 Recommendations

The various findings of the study were the premise for the following recommendations. The study organized the recommendations under Staffing Capacity and Competencies, Enhancing Physical Resource, Management of Financial Resource, and Actual Plan Implementation.

5.4.1 Staffing Capacity and Competencies

The ability of District Assemblies' staff to effectively implement plans is contingent on their competencies. The adequacy of staff capacity for both District Assemblies will also help minimize individual workload, which will ultimately lead to high productivity. The following strategies will position both District Assemblies to attract qualified staff. Also, staff competencies in both District Assemblies will be improved if they adopt these recommendations.

1. Setting and Monitoring District Assemblies' Targets

For both District Assemblies to perform well in plan implementation, the District Coordinating Director (District Administrator) in each district has to set organizational targets intentionally. These targets will encourage individual staff to set personal goals which will drive them to work harder to achieve them. These targets will serve as the impetus for growth in both District

Assemblies. The District Coordinating Director could set organizational targets regarding staff training, staff wellbeing, customer services, branding and others. The District Coordinating Director should also put in place measures to monitor these targets. It is important to note that, it is only when both District Assemblies are performing well that they could effectively implement their DMTDP. As a caveat to this assertion, if the District Officials (District Coordinating Director and District Chief Executive) are apathetic to the performance of their staffs then they can never achieve any success in plan implementation; and this will go a long way to retard development in both Districts.

2. Performance Measure

The District Officials (District Coordinating Director and District Chief Executive) should make an effort to measure the performance of the staff based on the set targets. The District Coordinating Director can measure performance either regarding the organization's or individual's ability to efficiently use the available resource to achieve a set goal. Some of the indicators for performance measurement include time (completion schedules, benchmarks and delivery dates), quantity (Volume of works and employee accomplishes) and quality (the extent to which work, products or services meet standards. Other performance measures include the number of complaints, customer approval ratings, attendance, and absenteeism of staff (Omisore, 2013). The District Officials can use the outcome of the performance measure as a premise for promotion and staff recognition (awards).

3. Staff Training

OMA and KEDA should provide training opportunities to their employees (especially tax collectors). Some of the training opportunities may include workshops, distance learning,

advanced degree or certificate programs or continuing education courses. Also, both District Assemblies should ensure that these training opportunities are need-driven; this is because any training interventions that are not need-driven are doomed to fail (Omisore, 2013). Any training opportunities provided by both District Assemblies should aim to add value to the delivery of service.

4. Partnership with Department of Planning – Kwame Nkrumah University of Science and Tech.

Both District Assemblies should partner with the Department of Planning (KNUST) both in plan preparation and implementation. The District Assemblies can work with the Department of Planning (KNUST) to organize planning related workshops for their staff. Also, both District Assemblies could take advantage of the Workshop class hosted by Department of Planning to get some planning projects (Neighborhood Plans, Housing Studies, GIS Maps (Planning Schemes) and others) done.

5.4.2 Enhancing Physical Resource

The majority of District Assemblies in Ghana always sit back and wait for the central government to hold their hands in everything and OMA and KEDA are no exception. Both District Assemblies should make a conscious effort to plan for their physical resource needs. KEDA and OMA should prepare a 10 to 15-year budget (depending on the lifespan of the equipment) for all the existing and future equipment they will need for plan preparation and implementation. Also, they should begin to set money aside for such purpose rather than always looking at the Central Government to provide them with these physical resources. Both District Assemblies should have realized by now that the Central Government is not reliable.

5.4.3 Management of Financial Resource

As stated earlier on, the financial resource is crucial for the success of plan implementation. It will, therefore, be prudent for both District Assemblies to put in place measures to ensure effective management and collection of revenue. The following are some steps that could help improve the fiscal performance of both District Assemblies.

1. Transparency and Accountability in the management of revenue

Transparency and accountability in the management of OMA's and KEDA's revenue are essential to ensuring that there are enough funds for plan implementation. There is no way progress will be made in both district assemblies if the present level of official corruption, embezzlement, and mismanagement of public funds continues. Appropriate accounting practice and bookkeeping should be adhered to provide enough check and balances in both District Assemblies.

2. Effective Data Management

The availability of an accurate and up to date data have proven to be priceless in any discipline of life. Both District Assemblies should update their rates annually. Also, both District Assemblies should communicate these rates to the citizens. Both District Assemblies should invest in a data management project that will entail collection of data on properties and businesses (retails, wholesales and others) in the district. The data from this project should be updated continuously. The availability of an accurate and up to date data will aid both District Assemblies to perform reliable revenue projection during the budget preparation.

3. Updating and enforcing by-laws regarding tax collection

As society changes, old and inapplicable by-laws should be replaced with new ones to conform with the changing society. The existence of by-laws is not an end in themselves rather they are a means to an end; this implies that they will serve no purpose if they are unenforced. Both District Assemblies should put in place measures to ensure that all delinquent taxes are collected, and defaulters should be prosecuted at court to serve as a deterrent to others.

4. Sensitizing and Encouraging the Citizen to pay tax

Both District Assemblies should organize community forum that will educate the citizens on the importance of paying tax, the usage of the taxes they pay and the general fiscal performance. The community forum will enlighten the citizens and encourage them to pay their taxes.

5. Adopting new technology in Cash Management

As society advances the old way of doing things becomes less effective and as such new technologies are needed to improve the level of productivity. Both District Assemblies should invest in technologies designed to improve cash management. A software system that can be used with personal computers can perform a broad range of collection functions, including billing, receipting, accounts receivable processing and accounting (Allan, 2008). The application of technology in cash management will minimize the level of staff needed in the revenue collection department and also improve efficiency in tax collection, accountability, and transparency.

6. Establishing Efficient Internal Control

Internal controls are set up within the accounting system to ensure the system's integrity. Because of the risks inherent in the collection of taxes and other revenues, these checks are essential. Auditors consider an adequate internal control environment critical to the reliability of financial statements. A good system minimizes errors and fraud and allows a government to catch the errors and frauds that do happen quickly. Some of the basic principles of internal control may include proper authorization of transactions, segregation of duties, proper design of documents, security for records, sound procedures, and qualified personnel (Allan 2008).

7. Adequate Salary and remuneration for Revenue Staff

The revenue staff of both District Assemblies should be well paid to minimize any temptation of embezzling the revenue collected or colluding with the members of the public to defraud the local government of the much-needed revenue. Ensuring safe working conditions for revenue collection staff will motivate them to work harder and eschew any fraudulent practices.

8. Staffing of Tax Collectors

Both District Assemblies should ensure that they employ revenue collectors knowledgeable in basic bookkeeping and other accounting principles. Also, the Assembly should train newly hired tax collectors in the policies, by-laws, and procedures in the collection of taxes.

5.4.4 Actual Plan Implementation

The following are some measures that could be adopted by both District Assemblies to improve plan implementation.

1. Encourage Citizen Participation in Plan Implementation

As established earlier on, citizen participation in plan implementation is very crucial for a successful planning process. Some of the medium through which both District Assemblies could involve citizen in plan implementation include a community forum, neighborhood meeting, focus group discussion, and others. At these meetings, the design for projects outlined in the plan could be discussed and voted on to ensure that it reflects the needs of the people. Citizen engagement in the plan implementation will install a sense of ownership in the people and encourage them to monitor the progress of the implementation.

2. Ensure Efficient Coordination among Departments

For a successful plan implementation in both District Assemblies, there is the need for efficient coordination among the existing departments. All the departments should work closely together in the preparation and the implementation of the plan, and as such, they should see the DMTDP as the highest document guiding development in the District Assembly.

3. Monitoring and Evaluation of Plan Implementation

A successful implementation of the plan requires adequate monitoring and appraisal of the implementation process. The DPCU in both District Assemblies should collect enough data through field survey and observation to ensure that the activities being carried out correlates

with what the plan says. This process could help the DPCU to catch any deviation and address them before the completion of the projects outlined in the plan.

4. Public-Private Partnership

Both District Assemblies can also utilize public-private partnership model to get some of the projects outlined in the plan implemented. Soft projects like sensitization of citizens and others could be carried out by the private sector. Through this, both District Assemblies could tap into the efficiency that exists in the private sector to improve the public sector. Also, the Districts could enter into contractual agreement with the private sector to pre-finance projects; this will go a long way to ensuring that the District Assemblies implement the majority of projects in the DMTDP.

5. Enforcement of Contractual Agreements with Developers

The contractual arrangements between the developers and the District Assembly should contain enough provisions that will insulate both parties. These provisions will prevent one party from walking away without fulfilling his/her portion of the contractual agreement. Also, both District Assemblies should prosecute developers who breach the contractual agreement to serve as a deterrent for other people.

6. Publicizing and Communication of the Plan and the Implementation Process

For plan implementation to be successful, the District Assemblies should ensure that the general public is aware of the plan. The citizens will be encouraged to participate in the implementation process if they are familiar with what the plan entails. If possibly, the District Assemblies should

incorporate the plan into the existing school curriculum to enable students to learn about the objectives and aspirations of the district.

5.5 Summary and General Conclusion

The study evaluated the various factors (institutional capacity, citizen participation, and others) that affected the implementation of the DMTDP (2006-2013) in OMA and KEDA. The Study found that the challenges causing the poor performance in plan implementation in both District Assemblies and Ghana as a whole are multifaceted. These findings imply that a single solution is not going to cut it, and as such integrated approach should be adopted to improve plan implementation in OMA and KEDA and Ghana as a whole.

Some of the challenges of plan implementation identified by the study include over dependency on external funding or central government, low internally generated revenue, political interference, lack of political will, low citizen's involvement in planning, weak institutional capacity and others. The study recommended strategies such as improvement of staff capacities and competencies, enhancing the availability of physical resources, effective management of financial resources, encouraging citizen participation, adopting public-private partnership in plan implementation and others. The study recommends that these strategies are implemented simultaneously and integrated into the already existing systems in both District Assemblies and Ghana as a whole.

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APPENDICES

QUESTIONNAIRE FOR INSTITUTIONAL SURVEY

DEPARTMENT: Assembly Person

Name:

Date:

The following questions apply to the adoption and implementation process of the District Medium Term Development Plan (DMTDP 2009-2013)

PLAN PREPARATION

1. What roles did you/ your office play in the preparation of the plan? Select all that apply.
 - a. Data collection and analysis
 - b. Stakeholder/citizen engagement
 - c. Formulation of goals and strategies
 - d. Drafting of the plan
 - e. Review and adoption of the plan
 - f. Other specify

2. What were some of the challenges in preparing the plan? Select all that apply.
 - a. Limited skilled personnel
 - b. Inadequate funds
 - c. Delay in the release of NDPC guidelines
 - d. Poor institutional coordination
 - e. Low public participation
 - f. Difficult to understand and use the NDPC guidelines
 - g. Others specify

3. How were these challenges addressed in the preparation process of the plan?

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PLAN IMPLEMENTATION

INSTITUTIONAL CAPACITY FOR PLAN IMPLEMENTATION

4. Kindly complete the table below: Equipment

Types of Equipment	Number required	Number existing	Backlog	Condition of existing equipment
Vehicles				
Motorbikes				
Computers				
Photocopiers				
Fax Machines				
Telephones				
Others: 1. 2. 3.				

COMMUNITY-WIDE CONTEXT AND BUILDING AWARENESS

5. Was the citizenry aware of the implementation process of the plan?

Yes b) No

6. If Yes, how were they informed? Select all that apply.

- a. Focus group discussion
- b. Neighborhood group sections
- c. Questionnaires administration
- d. Public hearing
- e. Announcement in the available media outlets
- f. Others Specify

7. If no, Why? Select all that apply.

- a. The citizens were not interested
- b. The planning period was limited
- c. Limited financial resources

- d. Limited MMDAs staff to organize citizen engagements
 - e. Others specify
 - f.
8. Did the citizenry participate in the implementation of the plan?
- a. Yes b) No
9. If Yes, what role did they play in the implementation of the programs/projects outlined in the Plan? Select all that apply.
- a. Communal labor for the construction of social amenities (school, hospital e.t.c)
 - b. Monitoring the progress of the implementation of projects
 - c. Donation of money to support the implementation of programs/projects
 - d. Others specify

ENFORCEMENT STYLE

10. What mechanism do you have in place to ensure effective plan implementation? Select all that apply.

- a. Deterrence b. facilitation c. incentives & informational techniques

11. The following is a challenge to plan implementation, kindly complete the table?

	Strongly Disagree (1)	Disagree (2)	Neither agree nor disagree (3)	Agree (4)	Strongly agree (5)
Untimely release of District Assembly Common Fund (DACF)					
Over-dependence on the central government					
Low internally generated funds					
Corruption at the local level					
Poor coordination among departments					
Political interference					
Lack of political will					
Natural disasters					
Changes in government/presidency					
Lack of effective citizens participation					
Weak institutional capacity					
Limited period for plan implementation					
Low plan quality					
Economic downturn					
Uncertainties					
Others specify					

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12. What are some of the measures that could be taken to address these challenges?

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Monitoring and Evaluation

13. Did you monitor the implementation process of the plan?

a) Yes b) No

14. If Yes, how did you monitor the progress of implementing the plan? Select all that apply.

- a. Periodic visitation to project site
- b. Updating work plan for each project
- c. Measuring implementation activities against what is planned
- d. Preparation of monitoring and evaluation schedule for each project
- e. Others specify

15. If yes, what were some of the challenges faced by the district in monitoring the progress of implementing the plan? Select all that apply.

- a. Lack of financial resource
- b. Limited skilled staff
- c. Lack of political will to monitor projects
- d. Inadequate vehicles for monitoring activities
- e. Limited knowledge on how to monitor projects
- f. Lack of support from the citizens
- g. Others specify

16. How were these challenges addressed to ensure a successful implementation of the plan?

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17. Has the district measured the outcome of implementing the plan against its goals and objectives?

a) Yes b) No

18. If yes, what were some of the challenges faced in measuring implementation outcome against the goals and objectives outlined in the plan? Select all that apply.

- a. Poor data management
- b. Lack of clearly defined criteria
- c. Limited knowledge in plan evaluation
- d. Limited skilled personnel
- e. Limited financial resources to conduct plan evaluation
- f. Other specify

19. How can these challenges be improved to ensure a successful evaluation of plan implementation?

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20. Kindly add any comments on plan implementation in the district.

INSTITUTIONAL QUESTIONNAIRES

DEPARTMENT: Department of Agricultural Dev't Unit

Name:

Date:

The following questions apply to the adoption and implementation process of the District Medium Term Development Plan (DMTDP 2009-2013)

PLAN PREPARATION

1. What roles did you/ your office play in the preparation of the plan? Select all that apply.
 - a. Data collection and analysis
 - b. Stakeholder/citizen engagement
 - c. Formulation of goals and strategies
 - d. Drafting of the plan
 - e. Review and adoption of the plan
 - f. Other specify

2. What were some of the challenges in preparing the plan? Select all that apply.
 - a. Limited skilled personnel
 - b. Inadequate funds
 - c. Delay in the release of NDPC guidelines
 - d. Poor institutional coordination
 - e. Low public participation
 - f. Difficult to understand and use the NDPC guidelines
 - g. Others specify

3. How were these challenges addressed in the preparation process of the plan?

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PLAN IMPLEMENTATION

INSTITUTIONAL CAPACITY FOR PLAN IMPLEMENTATION

4. Kindly complete the table below Core Staffing in your Department

Staff	Required Number	Qualification	Existing Number present	Working Experience with DAs	No. of years with the current district assembly.

5. Kindly complete the table below: Equipment

Types of Equipment	Number required	Number existing	Backlog	Condition of existing equipment
Vehicles				
Motorbikes				
Computers				
Photocopiers				
Fax Machines				
Telephones				
Others: 1. 2. 3.				

COMMUNITY-WIDE CONTEXT AND BUILDING AWARENESS

6. Was the citizenry aware of the implementation process of the plan?

Yes b) No

7. If Yes, how were they informed? Select all that apply.

- a. Focus group discussion
- b. Neighborhood group sections
- c. Questionnaires administration
- d. Public hearing
- e. Announcement in the available media outlets
- f. Others Specify

8. If no, Why? Select all that apply.

- a. The citizens were not interested
- b. The planning period was limited
- c. Limited financial resources
- d. Limited MMDAs staff to organize citizen engagements
- e. Others specify
- f.

9. Did the citizenry participate in the implementation of the plan?

- a. Yes b) No

10. If Yes, what role did they play in the implementation of the programs/projects outlined in the Plan? Select all that apply.

- a. Communal labor for the construction of social amenities (school, hospital e.t.c)
- b. Monitoring the progress of the implementation of projects
- c. Donation of money to support the implementation of programs/projects
- d. Others specify

ENFORCEMENT STYLE

11. What mechanism do you have in place to ensure effective plan implementation? Select all that apply.

- a. Deterrence b. facilitation c. incentives & informational techniques

12. The following is a challenge to plan implementation, kindly complete the table?

	Strongly Disagree (1)	Disagree (2)	Neither agree nor disagree (3)	Agree (4)	Strongly agree (5)
Untimely release of District Assembly Common Fund (DACF)					
Over-dependence on the central government					
Low internally generated funds					
Corruption at the local level					

Poor coordination among departments					
Political interference					
Lack of political will					
Natural disasters					
Changes in government/presidency					
Lack of effective citizens participation					
Weak institutional capacity					
Limited period for plan implementation					
Low plan quality					
Economic downturn					
Uncertainties					
Others specify					

13. What are some of the measures that could be taken to address these challenges?

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Monitoring and Evaluation

14. Did you monitor the implementation process of the plan?

b) Yes b) No

15. If Yes, how did you monitor the progress of implementing the plan? Select all that apply.

- a. Periodic visitation to project site
- b. Updating work plan for each project
- c. Measuring implementation activities against what is planned
- d. Preparation of monitoring and evaluation schedule for each project
- e. Others specify

16. If yes, what were some of the challenges faced by the district in monitoring the progress of implementing the plan? Select all that apply.

- a. Lack of financial resource
- b. Limited skilled staff
- c. Lack of political will to monitor projects
- d. Inadequate vehicles for monitoring activities
- e. Limited knowledge on how to monitor projects
- f. Lack of support from the citizens
- g. Others specify

17. How were these challenges addressed to ensure a successful implementation of the plan?

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18. Has the district measured the outcome of implementing the plan against its goals and objectives?

- b) Yes b) No

19. If yes, what were some of the challenges faced in measuring implementation outcome against the goals and objectives outlined in the plan? Select all that apply.

- a. Poor data management
- b. Lack of clearly defined criteria
- c. Limited knowledge in plan evaluation
- d. Limited skilled personnel
- e. Limited financial resources to conduct plan evaluation
- f. Other specify

20. How can these challenges be improved to ensure a successful evaluation of plan implementation?

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21. Kindly add any comments on plan implementation in the district.

INSTITUTIONAL QUESTIONNAIRES

DEPARTMENT: DEVELOPMENT PLANNING OFFICE

Name:

Date:

The following questions apply to the adoption and implementation process of the District Medium Term Development Plan (DMTDP 2009-2013)

PLAN PREPARATION

1. What roles did you/ your office play in the preparation of the plan? Select all that apply.
 - g. Data collection and analysis
 - h. Stakeholder/citizen engagement
 - i. Formulation of goals and strategies
 - j. Drafting of the plan
 - k. Review and adoption of the plan
 - l. Other specify
2. What were some of the challenges in preparing the plan? Select all that apply.
 - a. Limited skilled personnel
 - b. Inadequate funds
 - c. Delay in the release of NDPC guidelines
 - d. Poor institutional coordination
 - e. Low public participation
 - f. Difficult to understand and use the NDPC guidelines
 - g. Others specify
3. How were these challenges addressed in the preparation process of the plan?

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PLAN IMPLEMENTATION

INSTITUTIONAL CAPACITY FOR PLAN IMPLEMENTATION

4. Kindly complete the table below Core Staffing Position

	Required Number	Qualification	Existing Number present	Working Experience with DAs	No. of years with the current district assembly.
District Coordinating Director (DCD)					
Deputy DCD					
Dist. Planning Officer (DPO)					
Asst. DPO.					
Dist. Budget Officer					
Dist. Finance Officer (DFO)					
Asst. DFO					
Dist. Engineer					
Internal Auditors					
Revenue Superintendent					
Town & Country Plg. Officer					

5. Kindly complete the table below: Equipment

Types of Equipment	Number required	Number existing	Backlog	Condition of existing equipment
Vehicles				
Motorbikes				
Computers				
Photocopiers				
Fax Machines				
Telephones				
Others:				

1.				
2.				
3.				

6. Kindly complete the table below: Revenue obtained from Internal Generated Funds and District Common Fund (2009 to 2013).

	2009	2010	2011	2012	2013
Internal Generated Revenue					
District Common Fund					

Note: attach a copy of the budget

COMMUNITY-WIDE CONTEXT AND BUILDING AWARENESS

7. Was the citizenry aware of the implementation process of the plan?

Yes b) No

8. If Yes, how were they informed? Select all that apply.

- a. Focus group discussion
- b. Neighborhood group sections
- c. Questionnaires administration
- d. Public hearing
- e. Announcement in the available media outlets
- f. Others Specify

9. If no, Why? Select all that apply.

- a. The citizens were not interested
- b. The planning period was limited
- c. Limited financial resources
- d. Limited MMDAs staff to organize citizen engagements
- e. Others specify
- f.

10. Did the citizenry participate in the implementation of the plan?

a. Yes b) No

11. If Yes, what role did they play in the implementation of the programs/projects outlined in the Plan? Select all that apply.

- a. Communal labor for the construction of social amenities (school, hospital e.t.c)
- b. Monitoring the progress of the implementation of projects
- c. Donation of money to support the implementation of programs/projects
- d. Others specify

ENFORCEMENT STYLE

12. What mechanism do you have in place to ensure effective plan implementation? Select all that apply.

- a. Deterrence b. facilitation c. incentives & informational techniques

13. The following is a challenge to plan implementation, kindly complete the table?

	Strongly Disagree (1)	Disagree (2)	Neither agree nor disagree (3)	Agree (4)	Strongly agree (5)
Untimely release of District Assembly Common Fund (DACF)					
Over-dependence on the central government					
Low internally generated funds					
Corruption at the local level					
Poor coordination among departments					
Political interference					
Lack of political will					
Natural disasters					
Changes in government/presidency					
Lack of effective citizens participation					
Weak institutional capacity					
Limited period for plan implementation					
Low plan quality					
Economic downturn					
Uncertainties					
Others specify					

14. What are some of the measures that could be taken to address these challenges?

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Monitoring and Evaluation

15. Did you monitor the implementation process of the plan?

- c) Yes b) No

16. If Yes, how did you monitor the progress of implementing the plan? Select all that apply.

- a. Periodic visitation to project site
- b. Updating work plan for each project
- c. Measuring implementation activities against what is planned
- d. Preparation of monitoring and evaluation schedule for each project
- e. Others specify

17. If yes, what were some of the challenges faced by the district in monitoring the progress of implementing the plan? Select all that apply.

- a. Lack of financial resource
- b. Limited skilled staff
- c. Lack of political will to monitor projects
- d. Inadequate vehicles for monitoring activities
- e. Limited knowledge on how to monitor projects
- f. Lack of support from the citizens
- g. Others specify

18. How were these challenges addressed to ensure a successful implementation of the plan?

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19. Has the district measured the outcome of implementing the plan against its goals and objectives?

- c) Yes b) No

20. If yes, what were some of the challenges faced in measuring implementation outcome against the goals and objectives outlined in the plan? Select all that apply.

- a. Poor data management
- b. Lack of clearly defined criteria
- c. Limited knowledge in plan evaluation
- d. Limited skilled personnel
- e. Limited financial resources to conduct plan evaluation
- f. Other specify

21. How can these challenges be improved to ensure a successful evaluation of plan implementation?

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22. Kindly add any comments on plan implementation in the district.

INSTITUTIONAL QUESTIONNAIRES

DEPARTMENT: Finance Department

Name:

Date:

The following questions apply to the adoption and implementation process of the District Medium Term Development Plan (DMTDP 2009-2013)

PLAN PREPARATION

1. What roles did you/ your office play in the preparation of the plan? Select all that apply.
 - m. Data collection and analysis
 - n. Stakeholder/citizen engagement
 - o. Formulation of goals and strategies
 - p. Drafting of the plan
 - q. Review and adoption of the plan
 - r. Other specify

2. What were some of the challenges in preparing the plan? Select all that apply.
 - a. Limited skilled personnel
 - b. Inadequate funds
 - c. Delay in the release of NDPC guidelines
 - d. Poor institutional coordination
 - e. Low public participation
 - f. Difficult to understand and use the NDPC guidelines
 - g. Others specify

3. How were these challenges addressed in the preparation process of the plan?

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PLAN IMPLEMENTATION

INSTITUTIONAL CAPACITY FOR PLAN IMPLEMENTATION

4. Kindly complete the table below Core Staffing Position

STAFF	Required Number	Qualification	Existing Number present	Working Experience with DAs	No. of years with the current district assembly.

5. Kindly complete the table below: Equipment

Types of Equipment	Number required	Number existing	Backlog	Condition of existing equipment
Vehicles				
Motorbikes				
Computers				
Photocopiers				
Fax Machines				
Telephones				
Others:				
1.				
2.				
3.				

6. Kindly complete the table below: Revenue obtained from Internal Generated Funds and District Common Fund (2009 to 2013).

	2009	2010	2011	2012	2013
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Internal Generated Revenue					
District Common Fund					

Note: attach a copy of the budget

COMMUNITY-WIDE CONTEXT AND BUILDING AWARENESS

7. Was the citizenry aware of the implementation process of the plan?

Yes b) No

8. If Yes, how were they informed? Select all that apply.

- a. Focus group discussion
- b. Neighborhood group sections
- c. Questionnaires administration
- d. Public hearing
- e. Announcement in the available media outlets
- f. Others Specify

9. If no, Why? Select all that apply.

- a. The citizens were not interested
- b. The planning period was limited
- c. Limited financial resources
- d. Limited MMDAs staff to organize citizen engagements
- e. Others specify
- f.

10. Did the citizenry participate in the implementation of the plan?

a. Yes b) No

11. If Yes, what role did they play in the implementation of the programs/projects outlined in the Plan? Select all that apply.

- a. Communal labor for the construction of social amenities (school, hospital e.t.c)
- b. Monitoring the progress of the implementation of projects
- c. Donation of money to support the implementation of programs/projects
- d. Others specify

ENFORCEMENT STYLE

12. What mechanism do you have in place to ensure effective plan implementation? Select all that apply.

a. Deterrence b. facilitation c. incentives & informational techniques

13. The following is a challenge to plan implementation, kindly complete the table?

	Strongly Disagree (1)	Disagree (2)	Neither agree nor disagree (3)	Agree (4)	Strongly agree (5)
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Untimely release of District Assembly Common Fund (DACF)					
Over-dependence on the central government					
Low internally generated funds					
Corruption at the local level					
Poor coordination among departments					
Political interference					
Lack of political will					
Natural disasters					
Changes in government/presidency					
Lack of effective citizens participation					
Weak institutional capacity					
Limited period for plan implementation					
Low plan quality					
Economic downturn					
Uncertainties					
Others specify					

14. What are some of the measures that could be taken to address these challenges?

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Monitoring and Evaluation

15. Did you monitor the implementation process of the plan?
 d) Yes b) No
16. If Yes, how did you monitor the progress of implementing the plan? Select all that apply.
- a. Periodic visitation to project site
 - b. Updating work plan for each project
 - c. Measuring implementation activities against what is planned
 - d. Preparation of monitoring and evaluation schedule for each project
 - e. Others specify
17. If yes, what were some of the challenges faced by the district in monitoring the progress of implementing the plan? Select all that apply.
- a. Lack of financial resource
 - b. Limited skilled staff
 - c. Lack of political will to monitor projects
 - d. Inadequate vehicles for monitoring activities
 - e. Limited knowledge on how to monitor projects
 - f. Lack of support from the citizens
 - g. Others specify

18. How were these challenges addressed to ensure a successful implementation of the plan?

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19. Has the district measured the outcome of implementing the plan against its goals and objectives?

- d) Yes b) No

20. If yes, what were some of the challenges faced in measuring implementation outcome against the goals and objectives outlined in the plan? Select all that apply.

- a. Poor data management
- b. Lack of clearly defined criteria
- c. Limited knowledge in plan evaluation
- d. Limited skilled personnel
- e. Limited financial resources to conduct plan evaluation
- f. Other specify

21. How can these challenges be improved to ensure a successful evaluation of plan implementation?

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22. Kindly add any comments on plan implementation in the district.

INSTITUTIONAL QUESTIONNAIRES

DEPARTMENT: Ghana Education Services

Name:

Date:

The following questions apply to the adoption and implementation process of the District Medium Term Development Plan (DMTDP 2009-2013)

PLAN PREPARATION

1. What roles did you/ your office play in the preparation of the plan? Select all that apply.
 - s. Data collection and analysis
 - t. Stakeholder/citizen engagement
 - u. Formulation of goals and strategies
 - v. Drafting of the plan
 - w. Review and adoption of the plan
 - x. Other specify

2. What were some of the challenges in preparing the plan? Select all that apply.
 - a. Limited skilled personnel
 - b. Inadequate funds
 - c. Delay in the release of NDPC guidelines
 - d. Poor institutional coordination
 - e. Low public participation
 - f. Difficult to understand and use the NDPC guidelines

g. Others specify

3. How were these challenges addressed in the preparation process of the plan?

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PLAN IMPLEMENTATION

INSTITUTIONAL CAPACITY FOR PLAN IMPLEMENTATION

4. Kindly complete the table below: Core Staffing in your Department

Staff	Required Number	Qualification	Existing Number present	Working Experience with DAs	No. of years with the current district assembly.

5. Kindly complete the table below: Equipment

Types of Equipment	Number required	Number existing	Backlog	Condition of existing equipment
Vehicles				
Motorbikes				
Computers				
Photocopiers				
Fax Machines				
Telephones				
Others:				
1.				
2.				
3.				

COMMUNITY-WIDE CONTEXT AND BUILDING AWARENESS

6. Was the citizenry aware of the implementation process of the plan?

Yes b) No

7. If Yes, how were they informed? Select all that apply.

- a. Focus group discussion
- b. Neighborhood group sections
- c. Questionnaires administration
- d. Public hearing
- e. Announcement in the available media outlets
- f. Others Specify

8. If no, Why? Select all that apply.

- a. The citizens were not interested
- b. The planning period was limited
- c. Limited financial resources
- d. Limited MMDAs staff to organize citizen engagements
- e. Others specify
- f.

9. Did the citizenry participate in the implementation of the plan?

a. Yes b) No

10. If Yes, what role did they play in the implementation of the programs/projects outlined in the Plan? Select all that apply.

- a. Communal labor for the construction of social amenities (school, hospital e.t.c)
- b. Monitoring the progress of the implementation of projects
- c. Donation of money to support the implementation of programs/projects
- d. Others specify

ENFORCEMENT STYLE

11. What mechanism do you have in place to ensure effective plan implementation? Select all that apply.

a. Deterrence b. facilitation c. incentives & informational techniques

12. The following is a challenge to plan implementation, kindly complete the table?

	Strongly Disagree (1)	Disagree (2)	Neither agree nor disagree (3)	Agree (4)	Strongly agree (5)
Untimely release of District Assembly Common Fund (DACF)					
Over-dependence on the central government					
Low internally generated funds					
Corruption at the local level					

Poor coordination among departments					
Political interference					
Lack of political will					
Natural disasters					
Changes in government/presidency					
Lack of effective citizens participation					
Weak institutional capacity					
Limited period for plan implementation					
Low plan quality					
Economic downturn					
Uncertainties					
Others specify					

13. What are some of the measures that could be taken to address these challenges?

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Monitoring and Evaluation

14. Did you monitor the implementation process of the plan?

e) Yes b) No

15. If Yes, how did you monitor the progress of implementing the plan? Select all that apply.

- a. Periodic visitation to project site
- b. Updating work plan for each project
- c. Measuring implementation activities against what is planned
- d. Preparation of monitoring and evaluation schedule for each project
- e. Others specify

16. If yes, what were some of the challenges faced by the district in monitoring the progress of implementing the plan? Select all that apply.

- a. Lack of financial resource
- b. Limited skilled staff
- c. Lack of political will to monitor projects
- d. Inadequate vehicles for monitoring activities
- e. Limited knowledge on how to monitor projects
- f. Lack of support from the citizens
- g. Others specify

17. How were these challenges addressed to ensure a successful implementation of the plan?

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18. Has the district measured the outcome of implementing the plan against its goals and objectives?

- e) Yes b) No

19. If yes, what were some of the challenges faced in measuring implementation outcome against the goals and objectives outlined in the plan? Select all that apply.

- a. Poor data management
- b. Lack of clearly defined criteria
- c. Limited knowledge in plan evaluation
- d. Limited skilled personnel
- e. Limited financial resources to conduct plan evaluation
- f. Other specify

20. How can these challenges be improved to ensure a successful evaluation of plan implementation?

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21. Kindly add any comments on plan implementation in the district.

INSTITUTIONAL QUESTIONNAIRES

DEPARTMENT: Ghana Health Services

Name:

Date:

The following questions apply to the adoption and implementation process of the District Medium Term Development Plan (DMTDP 2009-2013)

PLAN PREPARATION

1. What roles did you/ your office play in the preparation of the plan? Select all that apply.
 - y. Data collection and analysis
 - z. Stakeholder/citizen engagement
 - aa. Formulation of goals and strategies
 - bb. Drafting of the plan
 - cc. Review and adoption of the plan
 - dd. Other specify
2. What were some of the challenges in preparing the plan? Select all that apply.
 - a. Limited skilled personnel
 - b. Inadequate funds
 - c. Delay in the release of NDPC guidelines
 - d. Poor institutional coordination
 - e. Low public participation
 - f. Difficult to understand and use the NDPC guidelines
 - g. Others specify

3. How were these challenges addressed in the preparation process of the plan?

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PLAN IMPLEMENTATION

INSTITUTIONAL CAPACITY FOR PLAN IMPLEMENTATION

4. Kindly complete the table below: Core Staffing in your Department

Staff	Required Number	Qualification	Existing Number present	Working Experience with DAs	No. of years with the current district assembly.

5. Kindly complete the table below: Equipment

Types of Equipment	Number required	Number existing	Backlog	Condition of existing equipment
Vehicles				
Motorbikes				
Computers				
Photocopiers				
Fax Machines				
Telephones				
Others: 1. 2. 3.				

COMMUNITY-WIDE CONTEXT AND BUILDING AWARENESS

6. Was the citizenry aware of the implementation process of the plan?

Yes b) No

7. If Yes, how were they informed? Select all that apply.

- a. Focus group discussion
- b. Neighborhood group sections
- c. Questionnaires administration
- d. Public hearing
- e. Announcement in the available media outlets
- f. Others Specify

8. If no, Why? Select all that apply.

- a. The citizens were not interested
- b. The planning period was limited
- c. Limited financial resources
- d. Limited MMDAs staff to organize citizen engagements
- e. Others specify
- f.

9. Did the citizenry participate in the implementation of the plan?

- a. Yes b) No

10. If Yes, what role did they play in the implementation of the programs/projects outlined in the Plan? Select all that apply.

- a. Communal labor for the construction of social amenities (school, hospital e.t.c)
- b. Monitoring the progress of the implementation of projects
- c. Donation of money to support the implementation of programs/projects
- d. Others specify

ENFORCEMENT STYLE

11. What mechanism do you have in place to ensure effective plan implementation? Select all that apply.

- a. Deterrence b. facilitation c. incentives & informational techniques

12. The following is a challenge to plan implementation, kindly complete the table?

	Strongly Disagree (1)	Disagree (2)	Neither agree nor disagree (3)	Agree (4)	Strongly agree (5)
Untimely release of District Assembly Common Fund (DACF)					
Over-dependence on the central government					
Low internally generated funds					
Corruption at the local level					
Poor coordination among departments					

Political interference					
Lack of political will					
Natural disasters					
Changes in government/presidency					
Lack of effective citizens participation					
Weak institutional capacity					
Limited period for plan implementation					
Low plan quality					
Economic downturn					
Uncertainties					
Others specify					

13. What are some of the measures that could be taken to address these challenges?

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Monitoring and Evaluation

14. Did you monitor the implementation process of the plan?

f) Yes b) No

15. If Yes, how did you monitor the progress of implementing the plan? Select all that apply.

- a. Periodic visitation to project site
- b. Updating work plan for each project
- c. Measuring implementation activities against what is planned
- d. Preparation of monitoring and evaluation schedule for each project
- e. Others specify

16. If yes, what were some of the challenges faced by the district in monitoring the progress of implementing the plan? Select all that apply.

- a. Lack of financial resource
- b. Limited skilled staff
- c. Lack of political will to monitor projects
- d. Inadequate vehicles for monitoring activities
- e. Limited knowledge on how to monitor projects
- f. Lack of support from the citizens
- g. Others specify

17. How were these challenges addressed to ensure a successful implementation of the plan?

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18. Has the district measured the outcome of implementing the plan against its goals and objectives?

- f) Yes b) No

19. If yes, what were some of the challenges faced in measuring implementation outcome against the goals and objectives outlined in the plan? Select all that apply.

- a. Poor data management
- b. Lack of clearly defined criteria
- c. Limited knowledge in plan evaluation
- d. Limited skilled personnel
- e. Limited financial resources to conduct plan evaluation
- f. Other specify

20. How can these challenges be improved to ensure a successful evaluation of plan implementation?

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21. Kindly add any comments on plan implementation in the district.

INSTITUTIONAL QUESTIONNAIRES

DEPARTMENT: Public Works Department

Name:

Date:

The following questions apply to the adoption and implementation process of the District Medium Term Development Plan (DMTDP 2009-2013)

PLAN PREPARATION

1. What roles did you/ your office play in the preparation of the plan? Select all that apply.
 - ee. Data collection and analysis
 - ff. Stakeholder/citizen engagement
 - gg. Formulation of goals and strategies
 - hh. Drafting of the plan
 - ii. Review and adoption of the plan
 - jj. Other specify

2. What were some of the challenges in preparing the plan? Select all that apply.
 - a. Limited skilled personnel
 - b. Inadequate funds
 - c. Delay in the release of NDPC guidelines
 - d. Poor institutional coordination
 - e. Low public participation
 - f. Difficult to understand and use the NDPC guidelines
 - g. Others specify

3. How were these challenges addressed in the preparation process of the plan?

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PLAN IMPLEMENTATION

INSTITUTIONAL CAPACITY FOR PLAN IMPLEMENTATION

4. Kindly complete the table below: Core Staffing in your Department

Staff	Required Number	Qualification	Existing Number present	Working Experience with DAs	No. of years with the current district assembly.

5. Kindly complete the table below: Equipment

Types of Equipment	Number required	Number existing	Backlog	Condition of existing equipment
Vehicles				
Motorbikes				
Computers				
Photocopiers				
Fax Machines				
Telephones				
Others: 1. 2. 3.				

COMMUNITY-WIDE CONTEXT AND BUILDING AWARENESS

6. Was the citizenry aware of the implementation process of the plan?

Yes b) No

7. If Yes, how were they informed? Select all that apply.

- a. Focus group discussion
- b. Neighborhood group sections
- c. Questionnaires administration
- d. Public hearing
- e. Announcement in the available media outlets
- f. Others Specify

8. If no, Why? Select all that apply.

- a. The citizens were not interested
- b. The planning period was limited
- c. Limited financial resources
- d. Limited MMDAs staff to organize citizen engagements
- e. Others specify
- f.

9. Did the citizenry participate in the implementation of the plan?

- a. Yes b) No

10. If Yes, what role did they play in the implementation of the programs/projects outlined in the Plan? Select all that apply.

- a. Communal labor for the construction of social amenities (school, hospital e.t.c)
- b. Monitoring the progress of the implementation of projects
- c. Donation of money to support the implementation of programs/projects
- d. Others specify

ENFORCEMENT STYLE

11. What mechanism do you have in place to ensure effective plan implementation? Select all that apply.

- a. Deterrence b. facilitation c. incentives & informational techniques

12. The following is a challenge to plan implementation, kindly complete the table?

	Strongly Disagree (1)	Disagree (2)	Neither agree nor disagree (3)	Agree (4)	Strongly agree (5)
Untimely release of District Assembly Common Fund (DACF)					
Over-dependence on the central government					
Low internally generated funds					
Corruption at the local level					
Poor coordination among departments					

Political interference					
Lack of political will					
Natural disasters					
Changes in government/presidency					
Lack of effective citizens participation					
Weak institutional capacity					
Limited period for plan implementation					
Low plan quality					
Economic downturn					
Uncertainties					
Others specify					

13. What are some of the measures that could be taken to address these challenges?

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Monitoring and Evaluation

14. Did you monitor the implementation process of the plan?

g) Yes b) No

15. If Yes, how did you monitor the progress of implementing the plan? Select all that apply.

- a. Periodic visitation to project site
- b. Updating work plan for each project
- c. Measuring implementation activities against what is planned
- d. Preparation of monitoring and evaluation schedule for each project
- e. Others specify

16. If yes, what were some of the challenges faced by the district in monitoring the progress of implementing the plan? Select all that apply.

- a. Lack of financial resource
- b. Limited skilled staff
- c. Lack of political will to monitor projects
- d. Inadequate vehicles for monitoring activities
- e. Limited knowledge on how to monitor projects
- f. Lack of support from the citizens
- g. Others specify

17. How were these challenges addressed to ensure a successful implementation of the plan?

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18. Has the district measured the outcome of implementing the plan against its goals and objectives?

- g) Yes b) No

19. If yes, what were some of the challenges faced in measuring implementation outcome against the goals and objectives outlined in the plan? Select all that apply.

- a. Poor data management
- b. Lack of clearly defined criteria
- c. Limited knowledge in plan evaluation
- d. Limited skilled personnel
- e. Limited financial resources to conduct plan evaluation
- f. Other specify

20. How can these challenges be improved to ensure a successful evaluation of plan implementation?

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21. Kindly add any comments on plan implementation in the district.

INSTITUTIONAL QUESTIONNAIRES

DEPARTMENT: Social Welfare

Name:

Date:

The following questions apply to the adoption and implementation process of the District Medium Term Development Plan (DMTDP 2009-2013)

PLAN PREPARATION

1. What roles did you/ your office play in the preparation of the plan? Select all that apply.
 - kk. Data collection and analysis
 - ll. Stakeholder/citizen engagement
 - mm. Formulation of goals and strategies
 - nn. Drafting of the plan
 - oo. Review and adoption of the plan
 - pp. Other specify

2. What were some of the challenges in preparing the plan? Select all that apply.
 - qq. Limited skilled personnel
 - rr. Inadequate funds
 - ss. Delay in the release of NDPC guidelines
 - tt. Poor institutional coordination
 - uu. Low public participation
 - vv. Difficult to understand and use the NDPC guidelines
 - ww. Others specify

3. How were these challenges addressed in the preparation process of the plan?

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PLAN IMPLEMENTATION

INSTITUTIONAL CAPACITY FOR PLAN IMPLEMENTATION

4. Kindly complete the table below: Core Staffing in your Department

Staff	Required Number	Qualification	Existing Number present	Working Experience with DAs	No. of years with the current district assembly.

5. Kindly complete the table below: Equipment

Types of Equipment	Number required	Number existing	Backlog	Condition of existing equipment
Vehicles				
Motorbikes				
Computers				
Photocopiers				
Fax Machines				
Telephones				
Others: 1. 2. 3.				

COMMUNITY-WIDE CONTEXT AND BUILDING AWARENESS

6. Was the citizenry aware of the implementation process of the plan?

Yes b) No

7. If Yes, how were they informed? Select all that apply.

- a. Focus group discussion
- b. Neighborhood group sections
- c. Questionnaires administration
- d. Public hearing
- e. Announcement in the available media outlets
- f. Others Specify

8. If no, Why? Select all that apply.

- a. The citizens were not interested
- b. The planning period was limited
- c. Limited financial resources
- d. Limited MMDAs staff to organize citizen engagements
- e. Others specify
- f.

9. Did the citizenry participate in the implementation of the plan?

- a. Yes b) No

10. If Yes, what role did they play in the implementation of the programs/projects outlined in the Plan? Select all that apply.

- a. Communal labor for the construction of social amenities (school, hospital e.t.c)
- b. Monitoring the progress of the implementation of projects
- c. Donation of money to support the implementation of programs/projects
- d. Others specify

ENFORCEMENT STYLE

11. What mechanism do you have in place to ensure effective plan implementation? Select all that apply.

- a. Deterrence b. facilitation c. incentives & informational techniques

12. The following is a challenge to plan implementation, kindly complete the table?

	Strongly Disagree (1)	Disagree (2)	Neither agree nor disagree (3)	Agree (4)	Strongly agree (5)
Untimely release of District Assembly Common Fund (DACF)					
Over-dependence on the central government					
Low internally generated funds					
Corruption at the local level					
Poor coordination among departments					

Political interference					
Lack of political will					
Natural disasters					
Changes in government/presidency					
Lack of effective citizens participation					
Weak institutional capacity					
Limited period for plan implementation					
Low plan quality					
Economic downturn					
Uncertainties					
Others specify					

13. What are some of the measures that could be taken to address these challenges?

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Monitoring and Evaluation

14. Did you monitor the implementation process of the plan?

h) Yes b) No

15. If Yes, how did you monitor the progress of implementing the plan? Select all that apply.

- a. Periodic visitation to project site
- b. Updating work plan for each project
- c. Measuring implementation activities against what is planned
- d. Preparation of monitoring and evaluation schedule for each project
- e. Others specify

16. If yes, what were some of the challenges faced by the district in monitoring the progress of implementing the plan? Select all that apply.

- a. Lack of financial resource
- b. Limited skilled staff
- c. Lack of political will to monitor projects
- d. Inadequate vehicles for monitoring activities
- e. Limited knowledge on how to monitor projects
- f. Lack of support from the citizens
- g. Others specify

17. How were these challenges addressed to ensure a successful implementation of the plan?

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18. Has the district measured the outcome of implementing the plan against its goals and objectives?

- h) Yes b) No

19. If yes, what were some of the challenges faced in measuring implementation outcome against the goals and objectives outlined in the plan? Select all that apply.

- a. Poor data management
- b. Lack of clearly defined criteria
- c. Limited knowledge in plan evaluation
- d. Limited skilled personnel
- e. Limited financial resources to conduct plan evaluation
- f. Other specify

20. How can these challenges be improved to ensure a successful evaluation of plan implementation?

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21. Kindly add any comments on plan implementation in the district.

INSTITUTIONAL QUESTIONNAIRES

DEPARTMENT: Town and Country Planning Department

Name:

Date:

The following questions apply to the adoption and implementation process of the District Medium Term Development Plan (DMTDP 2009-2013)

PLAN PREPARATION

1. What roles did you/ your office play in the preparation of the plan? Select all that apply.
 - xx. Data collection and analysis
 - yy. Stakeholder/citizen engagement
 - zz. Formulation of goals and strategies
 - aaa. Drafting of the plan
 - bbb. Review and adoption of the plan
 - ccc. Other specify
2. What were some of the challenges in preparing the plan? Select all that apply.
 - a. Limited skilled personnel
 - b. Inadequate funds
 - c. Delay in the release of NDPC guidelines
 - d. Poor institutional coordination
 - e. Low public participation
 - f. Difficult to understand and use the NDPC guidelines
 - g. Others specify

3. How were these challenges addressed in the preparation process of the plan?

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PLAN IMPLEMENTATION

INSTITUTIONAL CAPACITY FOR PLAN IMPLEMENTATION

4. Kindly complete the table below: Core Staffing in your Department

Staff	Required Number	Qualification	Existing Number present	Working Experience with DAs	No. of years with the current district assembly.

5. Kindly complete the table below: Equipment

Types of Equipment	Number required	Number existing	Backlog	Condition of existing equipment
Vehicles				
Motorbikes				
Computers				
Photocopiers				
Fax Machines				
Telephones				
Others: 1. 2. 3.				

COMMUNITY-WIDE CONTEXT AND BUILDING AWARENESS

6. Was the citizenry aware of the implementation process of the plan?

Yes b) No

7. If Yes, how were they informed? Select all that apply.

- a. Focus group discussion
- b. Neighborhood group sections
- c. Questionnaires administration
- d. Public hearing
- e. Announcement in the available media outlets
- f. Others Specify

8. If no, Why? Select all that apply.

- a. The citizens were not interested
- b. The planning period was limited
- c. Limited financial resources
- d. Limited MMDAs staff to organize citizen engagements
- e. Others specify

9. Did the citizenry participate in the implementation of the plan?

- a. Yes b) No

10. If Yes, what role did they play in the implementation of the programs/projects outlined in the Plan? Select all that apply.

- a. Communal labor for the construction of social amenities (school, hospital e.t.c)
- b. Monitoring the progress of the implementation of projects
- c. Donation of money to support the implementation of programs/projects
- d. Others specify

ENFORCEMENT STYLE

11. What mechanism do you have in place to ensure effective plan implementation? Select all that apply.

- a. Deterrence b. facilitation c. incentives & informational techniques

12. The following is a challenge to plan implementation, kindly complete the table?

	Strongly Disagree (1)	Disagree (2)	Neither agree nor disagree (3)	Agree (4)	Strongly agree (5)
Untimely release of District Assembly Common Fund (DACF)					
Over-dependence on the central government					
Low internally generated funds					
Corruption at the local level					

Poor coordination among departments					
Political interference					
Lack of political will					
Natural disasters					
Changes in government/presidency					
Lack of effective citizens participation					
Weak institutional capacity					
Limited period for plan implementation					
Low plan quality					
Economic downturn					
Uncertainties					
Others specify					

13. What are some of the measures that could be taken to address these challenges?

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Monitoring and Evaluation

14. Did you monitor the implementation process of the plan?

i) Yes b) No

15. If Yes, how did you monitor the progress of implementing the plan? Select all that apply.

- a. Periodic visitation to project site
- b. Updating work plan for each project
- c. Measuring implementation activities against what is planned
- d. Preparation of monitoring and evaluation schedule for each project
- e. Others specify

16. If yes, what were some of the challenges faced by the district in monitoring the progress of implementing the plan? Select all that apply.

- a. Lack of financial resource
- b. Limited skilled staff
- c. Lack of political will to monitor projects
- d. Inadequate vehicles for monitoring activities
- e. Limited knowledge on how to monitor projects
- f. Lack of support from the citizens
- g. Others specify

17. How were these challenges addressed to ensure a successful implementation of the plan?

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18. Has the district measured the outcome of implementing the plan against its goals and objectives?

- i) Yes b) No

19. If yes, what were some of the challenges faced in measuring implementation outcome against the goals and objectives outlined in the plan? Select all that apply.

- a. Poor data management
- b. Lack of clearly defined criteria
- c. Limited knowledge in plan evaluation
- d. Limited skilled personnel
- e. Limited financial resources to conduct plan evaluation
- f. Other specify

20. How can these challenges be improved to ensure a successful evaluation of plan implementation?

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21. Kindly add any comments on plan implementation in the district.

INSTITUTIONAL QUESTIONNAIRES

DEPARTMENT: Town Council/Unit Committee

Name:

Date:

The following questions apply to the adoption and implementation process of the District Medium Term Development Plan (DMTDP 2009-2013)

PLAN PREPARATION

1. What roles did you/ your office play in the preparation of the plan? Select all that apply.

- ddd. Data collection and analysis
- eee. Stakeholder/citizen engagement
- fff. Formulation of goals and strategies
- ggg. Drafting of the plan
- hhh. Review and adoption of the plan
- iii. Other specify

2. What were some of the challenges in preparing the plan? Select all that apply.

- a. Limited skilled personnel
- b. Inadequate funds
- c. Delay in the release of NDPC guidelines
- d. Poor institutional coordination
- e. Low public participation
- f. Difficult to understand and use the NDPC guidelines
- g. Others specify

3. How were these challenges addressed in the preparation process of the plan?

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PLAN IMPLEMENTATION

INSTITUTIONAL CAPACITY FOR PLAN IMPLEMENTATION

4. Kindly complete the table below: Core Staffing in your Department

Staff	Required Number	Qualification	Existing Number present	Working Experience with DAs	No. of years with the current district assembly.

5. Kindly complete the table below: Equipment

Types of Equipment	Number required	Number existing	Backlog	Condition of existing equipment
Vehicles				
Motorbikes				
Computers				
Photocopiers				
Fax Machines				
Telephones				
Others: 1. 2. 3.				

COMMUNITY-WIDE CONTEXT AND BUILDING AWARENESS

6. Was the citizenry aware of the implementation process of the plan?

Yes b) No

7. If Yes, how were they informed? Select all that apply.

a. Focus group discussion

- b. Neighborhood group sections
 - c. Questionnaires administration
 - d. Public hearing
 - e. Announcement in the available media outlets
 - f. Others Specify
8. If no, Why? Select all that apply.
- a. The citizens were not interested
 - b. The planning period was limited
 - c. Limited financial resources
 - d. Limited MMDAs staff to organize citizen engagements
 - e. Others specify
 - f.
9. Did the citizenry participate in the implementation of the plan?
- a. Yes b) No
10. If Yes, what role did they play in the implementation of the programs/projects outlined in the Plan? Select all that apply.
- a. Communal labor for the construction of social amenities (school, hospital e.t.c)
 - b. Monitoring the progress of the implementation of projects
 - c. Donation of money to support the implementation of programs/projects
 - d. Others specify

ENFORCEMENT STYLE

11. What mechanism do you have in place to ensure effective plan implementation? Select all that apply.
- a. Deterrence b. facilitation c. incentives & informational techniques

12. The following is a challenge to plan implementation, kindly complete the table?

	Strongly Disagree (1)	Disagree (2)	Neither agree nor disagree (3)	Agree (4)	Strongly agree (5)
Untimely release of District Assembly Common Fund (DACF)					
Over-dependence on the central government					
Low internally generated funds					
Corruption at the local level					
Poor coordination among departments					
Political interference					
Lack of political will					
Natural disasters					

Changes in government/presidency					
Lack of effective citizens participation					
Weak institutional capacity					
Limited period for plan implementation					
Low plan quality					
Economic downturn					
Uncertainties					
Others specify					

13. What are some of the measures that could be taken to address these challenges?

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Monitoring and Evaluation

14. Did you monitor the implementation process of the plan?

j) Yes b) No

15. If Yes, how did you monitor the progress of implementing the plan? Select all that apply.

- a. Periodic visitation to project site
- b. Updating work plan for each project
- c. Measuring implementation activities against what is planned
- d. Preparation of monitoring and evaluation schedule for each project
- e. Others specify

16. If yes, what were some of the challenges faced by the district in monitoring the progress of implementing the plan? Select all that apply.

- a. Lack of financial resource

- b. Limited skilled staff
- c. Lack of political will to monitor projects
- d. Inadequate vehicles for monitoring activities
- e. Limited knowledge on how to monitor projects
- f. Lack of support from the citizens
- g. Others specify

17. How were these challenges addressed to ensure a successful implementation of the plan?

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18. Has the district measured the outcome of implementing the plan against its goals and objectives?

- j) Yes b) No

19. If yes, what were some of the challenges faced in measuring implementation outcome against the goals and objectives outlined in the plan? Select all that apply.

- a. Poor data management
- b. Lack of clearly defined criteria
- c. Limited knowledge in plan evaluation
- d. Limited skilled personnel
- e. Limited financial resources to conduct plan evaluation
- f. Other specify

20. How can these challenges be improved to ensure a successful evaluation of plan implementation?

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21. Kindly add any comments on plan implementation in the district.

