

**AN INVESTIGATION OF THE DEVELOPMENT  
PLAN IMPLEMENTATION PROCESS IN  
OROMIYA REGION: WITH PARTICULAR  
EMPHASIS ON AGRICULTURE AND EDUCATION  
SECTORS**

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An Investigation of the Development Plan  
Implementation Process in Oromiya Region:  
With Particular Emphasis on Agriculture  
and Education Sectors

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## ACRONYMS

ZPEDOs = Zonal Planning and Economic Development Offices

ZADs = Zonal Agricultural Departments

ZEDS = Zonal Education Departments

PEDB = Planning and Economic Development Bureau

CSA = Central Statistical Office

RSO = Regional State of Oromiya

ESRDF = Ethiopian Social Rehabilitation and Development Fund

## ABSTRACT

Experiences show that even though planning has been taken up in many under developed countries and regions with the objective of promoting development, it has encountered various types of problems in the course of its practical implementation. In line with this, this paper examines the annual development plan implementation process of Oromiya Region in order to identify recent and current major problems that affect the performance of the public sector plan execution. Accordingly, a review of the Region's natural resource potentials, current level of utilization and mobilization of these resources, an assessment of the organizational and institutional framework for development planning and plan implementation, particularly an investigation of the development plan implementation and related processes of the Region show that there are both internal and external problems, which affect the performances of the Regional Economy in general, and the implementation of the development plans in particular.

A survey on the plan implementation and related processes of the Region revealed that the problems encountered ranged from the conceptual understanding of the planning process to the overall Regional Development condition. Problems such as lack of qualified human resources, poor infrastructure, lack of basic information, lack of capable contractors, and delay in budget allocation have been found as the first top five factors affecting plan implementation performance of the Region.

In order to minimize the development plan implementation problems of the Region, some suggestions are presented at the end of this research report as a concept, assuming that given time, they could be elaborated to address some of the problems identified in the course of the survey. The suggestions include: development of qualified human resources, development of infrastructure (roads), improvement of budgetary process, promoting popular participation, creation of favourable condition for contractors, and strengthening both monitoring and information systems.

# CHAPTER I

## INTRODUCTION

### 1.1. Background of the Problem and Justification

Related literature show that since a few years after the end of the Second World War, planning has been taken up in many underdeveloped countries with the objective of promoting development. It has been considered as the only way to quicken the tempos of development in underdeveloped countries. As Tegegne (1985) pointed out, national development planning in these countries was aimed at bringing growth and efficiency to their investment. According to Agrawal & Lal (1985) there are specific inhibiting conditions which need to be changed, improved, or replaced by new ones to initiate and sustain development in these countries.

However, writers on the subject of planning agree that planning in developing countries is “---still passing through an experimental stage--- “(Gilbert, 1976). According to Gilbert (1976), in most of the developing countries planning still suffers from growing pains: a lack of skilled practitioners and institutional experience, major deficiencies in data, a lack of political support and often a clear conception of what can ought to be achieved through planning. Seth (1980) also commented that development plans in under-developed countries generally have a weakness for over-ambitious growth targets. Agrawal & Lal (1985) pointed out that the difficulties that these countries have to face in planning are many and varied, depending upon the historical situation of each country, and the aims, which they set before themselves. As Lewis (1969) stated planning has been recognized that at the same time much more necessary and much more difficult to execute in backward than advanced countries due to various limitations.

In the case of Ethiopia development planning started in the middle forties. as Gashaw (1993) said systematic efforts and initiatives to develop the national economy started during the period of Emperor Haile Sellasie with the preparation of the Ten-year programme of Industrial Development in 1945. Then after, the First Five Year Plan (1957-61) was initiated by the Planning Board. In this plan, infrastructural development was emphasized as a prerequisite for over all development of the economy. The Second Five Year Plan (1963-67) gave due consideration to agricultural development. The Third Five year Plan (1968-72) which gave emphasis on the Development of small holding farmers of the agricultural section was also another experience in planning the development effort of the country in the pre-1974 period.

The period 1974 to 1978 was characterized by evolution and instability. It was thus difficult to allocate resources systematically through planning. However, between 1978 and 1984 annual plans provided the public sector with development guidelines and targets for its productive operations, finance, access to credit and foreign exchange. They were meant to address immediate problems of the economy and the society. Mulatu (1990) pointed out that the only important development affecting planning during this period was the establishment of the institutional framework to address regional development problems.

After the 1974 popular Revolution, the Ten Year Perspective plan (1984-1994) was prepared in order to guide the development process of the country.. The plan was expected to raise the level of development of the nation's productive forces by significantly improving the material and cultural well being of the people and by promoting the expansion of socialist production relations. As a reaction to the poor economic performance during the first five years of the Ten Year Perspective Plan, but also as a reaction to criticism from abroad (Hansson, 1995), the Military Government

announced a revision of the Ethiopian economic system and hence the Ten Year Perspective Plan within the context of a mixed economic policy in March 1990. Thus, with respect to development planning the intention was to replace central planning with indicative planning.

Since 1991, new political, economic and administrative policies and structures were introduced in Ethiopia. Thus, “ The various economic systemic dimension have been affected by the changes introduced “ (Hansson, 1995). In November 1991, the Transitional Government of Ethiopia has designed the Transitional Economic Policy. The basic orientations of the Economic Policy among others include: changing the role of the state in the economy and promoting private sector participation in the economy with the objective of sustaining high rate of growth for GDP commensurate with the expectations of better living conditions.

Following the establishment of the Federal Government, the Ethiopian Peoples Revolutionary Democratic Front (EPRDF) came up with the five Year Development, Democracy and Peace Programme. The FYDP is an essentially agriculture and rural based development blueprint, envisaging a historically high rate of economic growth. Within the context of this programme, the main objective of the development plan of the country is to implement rural and agricultural development strategy in order to bring about sustainable natural resources, economic, social, and political developments.

Despite such attempts for development planning in the country, like other developing nations, the objectives or the targets of the plans were not achieved due to both internal and external problems, particularly due to lack of information, skilled manpower, budgetary resources, community participation and the effect of adverse social and economic policy changes. Similarly, security problems and severe fluctuations in climatic conditions were also other internal problems of the country

which were responsible for the failures in implementing development plans. From the external side international political and economic conditions were the main factors affecting plan implementation process of the country which are mainly related to the collapse of socialism, to foreign trade and external policy pressure.

With respect to regional development planning, the works of Ministry of Planning and Development (1959), Shibabaw (1973), Ayele (1987), Tegegne (1985), Sileshi (1987 and 1993) and Mulatu (1990) show that there were/are some attempts to regionalize development efforts since the Second Five Year Development Plan (1963-67). Particularly in the present circumstances, in Ethiopia, the beginning of the new experiment in the decentralization of decision making process has started to create some conditions for the preparation, implementation and follow-up of development plans, policies and programmes at local and regional levels. New regions have been established in order to ensure local administration and the development of regional economy and culture. As a result Ethiopia is currently following a decentralization strategy through the establishment of regional and local governments which has far-reaching implications for planning and for development (Tegegne, 1998).

Oromiya is one of these new regions defined in article 3 of the Proclamation No. 7/1992 that established national/regional self governments of Ethiopia. According to CSA, the Region is the largest of all the nine Regional states of Ethiopia both in terms of its areal coverage and population. The Region is also important in terms of production and resource endowment. However, despite the existing natural and human potentials some studies indicate that , its productions and productivity, the level of utilization and mobilization of the Region's resources is low.

One of the tasks given to the Regional States by the Proclamation No.14/1993 that defined the duties and responsibilities of the Regional and Federal Government structures is to administer, direct, mobilize, etc. resources of their respective region for the well being of the population. In line with this and other policy proclamations, the Regional State of Oromiya is in the process of establishing and strengthening different institutions for planning and executing development activities. Through these institutions, since 1993/94, the Regional Council has approved five annual development plans (1993/94-1997/98) and one five year (medium-term) development programme.

However, the short planning experience of the Region shows that there are some problems in the processes of plan preparation, implementation, and monitoring and evaluation. In this regard, the performance review of plan implementation of the different social and economic sectors of Oromiya Region shows that there are some constraints and problems which particularly affected the implementation process of the annual development plans during the last four years (OPEDB, Annual Plan Implementation Reports). For instance, the dominant sector of the Regional economy, agriculture, has utilized 65 percent of the allocated budget (1993/94-1995/96) due to internal and external problems. The utilization rate of the education sector was 72.4 per cent, 46.4 percent and 68.3 per cent of the capital budget earmarked for 1993/94, 1994/95 and 1995/96 respectively. The low performance of the Regional plan was also observed in its physical implementation. For example, during the last two years, on average, 69 per cent of the agricultural plan was implemented. Such performance of the plan was also observed in the Regional Water, Mines and Energy sector development. In this sector, about 66 per cent of the planned physical target was achieved during 1996/97 budget year. Similarly there was low achievement in the delivery of services. For instance, with respect to agricultural inputs distribution, in the 1996/97 plan, the amount of fertilizer and improved seeds distributed was 56 per

cent and 29 per cent respectively compared to the planned targets. In the social sector, low performance of the plan was reflected in the educational sector, particularly in the technical school enrollment which shows 66 per cent accomplishment in the 1995/96 annual plan.

The low performance of plan implementation in the major sectors of the Region in terms of financial, physical and service delivery shows that there are some problems which hinder the full realization of the annual development plans. In this regard the lack of timely, proper and adequate evaluation of these problems in the Region so as to form a basis for improved plan implementation is a serious concern. Thus this research work is an attempt to fill this gap to some extent by investigating and analyzing the planning process of the Region with special emphasis on the plan implementation and related processes in order to make the future plans more efficient and effective. The investigation of the development plan implementation process mainly focuses on agriculture and education sectors which are the main sectors of the production and social branches of the Region respectively. For instance, the agricultural sector, according to the Regional Planning Bureau, accounts for more than 70 percent of the Regions Domestic Products (RDP). Regarding the education sector, the capital budget allocated in the past two years indicates that this sector accounted for 47 per cent of the total capital budget allocated for the social branch as a whole and nearly 42 percent of the total recurrent budget of the Region. Hence, the rationale for choosing these two sectors as cases is that an investigation of their condition on plan implementation process will provide a good lesson to other sectors as well.

## **1.2. Objectives of the Study**

The general purpose of this study is to investigate the development plan implementation process of Oromiya Region in order to identify recent (during the last

four years) and current major problems that affect the performance of the plans which were prepared and executed by the concerned Regional bodies in the public sector and based on the findings suggest appropriate remedial recommendations for improving the planning environment in general and for successful implementation of the future development plans of the Region in particular.

In order to attain the general objectives stated above more specific objectives of the study are outlined below:

1. To assess whether major elements of plan preparation that have implications for implementation are clearly spelt out,
2. To examine to what extent different elements of plan implementation processes are identified and practiced;
3. To identify the mechanisms to correct plan implementation problems when reported in the process of monitoring;
4. To assess the mechanisms to involve the public in the implementation of plans and programmes; and
5. To suggest appropriate practices and instruments which are vital for the successful implementation of the short, medium and long-term development plans of the Region.

### **1.3. Basic Questions of the Study**

In view of the purpose of the study stated and the foregoing discussion, some pertinent questions have been asked in the process of this research work in order to attain the stated general and specific objectives. The questions are:

1. To what extent is the Region capable of preparing a well prepared plan as manifested in the different plan preparation elements?

2. Does the development plan identify implementing agencies, define their responsibilities, assess their capacity and co-ordination?
3. To what extent different elements of development plan implementation process are identified?
4. What is the nature of managerial and financial authorities in the plan implementation stage?
5. To what extent the local people involve in the process of plan implementation?
6. Is there any system of monitoring and evaluating the effectiveness of the development plans?
7. What are the most crucial problems / factors affecting plan implementation process?

#### **1.4. Significance of the Study**

Even though the study is not a detailed treatment of the complex issue, basic problems which affect the plan implementation of Oromiya Region have been identified and some major measures to be taken against the problems have been suggested. Thus, it is hoped that this research work will have practical significance. Particularly the findings, discussions and recommendations of the study may be useful for the following purposes:

1. The findings and the suggested measures may be available to the concerned regional policy makers. Thus, it will be used as an input in the formulation of appropriate regional development planning policies and strategies;
2. The result of the study will also be made available to planning bodies both at regional and zonal levels and to the executive concerned sectoral Bureaus. Hence, the findings and suggestions of the research work will have the opportunity of

being considered in the preparation and implementation of short, medium and long-term development plans in the Region.

3. The research document will serve as a reference material for planning, development and academic institutions of the country. Thus, it may provide some information for researchers who are interested in carrying out similar studies in other Regions of the Country.
4. The findings of the study will have some opportunities of being presented at different national, regional and local level seminars/workshops. Thus, it will contribute towards the development of a higher level of consciousness and orientation in the regional dimension of development planning problems among politicians, administrators, planning practitioners and executive authorities;
5. Besides all of the above practical and scholarly significance, it is hoped that the findings of this research will also contribute at the international level something to the history of planning in developing countries on the eve of the 21<sup>st</sup> century.

### **1.5. Method of the Study**

a) **Data Gathering Methods:-** The study has involved the collection of data from primary and secondary sources.

#### **I) Primary Data**

Data from primary sources for this study has been collected by using questionnaires prepared for the purpose (see appendices A and B) together with planned discussion with the selected Regional Bureaus on certain issues that required further information. The primary data have been collected from the concerned officials of Planning,

Agriculture and Education Bureaus at the regional level and from the same institutions at the zonal level.

In this study, planning office has been selected for being a legal and responsible body for public sector planning and related activities. Agriculture and education sectors have been selected on the basis of the dominant role they play in the economy and social development respectively (section 1.1).

Two questionnaires were prepared and used, one for the Zonal Planning and Economic Development Offices (ZPEDOs) and the remaining one for the two sectoral Departments. The first questionnaire included 50 questions divided into five sections and the second consisted of 54 questions divided into five parts. The five sections included questions on plan preparation in relation to plan implementation, plan implementation process, plan implementation and monitoring and a section on problems of plan implementation and suggestions. The questionnaires were tested to ascertain their validity.

Since there are 12 administrative zones in the Region, a 100% response would give as 36 respondents at zonal level. However, due to an unknown reason the two sectoral Departments of the Eastern Wellega Administrative zone were unwilling to provide the necessary responses. Thus, the response rate was reduced to 94 per cent. Besides, the concerned officials of the already cited Bureaus at regional level have been interviewed, thus making a grand total of 37 respondents. The researcher has also got the opportunity to attend the Regional meeting which was designed to discuss on the progress of the annual plan (1997/98) implementation in February 1998.

## **ii) Secondary Data**

The sources of information are selected and relevant international, national, regional and local reference and bibliographic materials. Particularly, recent plan and plan implementation reports of the Region have been used in the process of this research work.

## **b) Method of Analysis**

The appropriate models for the statistical analysis have been chosen after looking at the tabulated data. Accordingly, in addition to that of descriptive analysis of the systematically summarized data, statistical techniques for data analysis were employed to come up with inference statements in relation to problems reported where appropriate. Predominantly percentage measure has been employed in order to show the attitudes of the respondents in relation to specific questions.

Another statistical technique employed in the analysis of the compiled qualitative data was Spearman's coefficient of correlation which is computed by ranking various item-values in the two variables, finding out the differences in ranks, squaring them and finding out the aggregate of the squared differences.

$$\text{Symbolically, } r = 1 - \frac{6\sum d^2}{N(N^2 - 1)}$$

or

$$r = 1 - \frac{6\sum d^2}{N^3 - N}$$

Where,

$r$  = the coefficient of correlation

$\sum d^2$  = the sum of the squared differences

$N$  = the number of pairs of the observations

## 1.6. Scope and Limitations of the Study

As has been pointed out in section 1.2, the study is limited to the recent annual development plan implementation process of the Region particularly the public sector which were prepared and implemented by the Regional State. It deals with the whole Region and its 12 Administrative Zones as sub-regional units of observation and 37 institutions as units of analysis. It is primarily concerned with the identification of major problems that hinder the full implementation of the development plans of the Region. The study covers the views of the three Regional Bureaus at two spatial levels, regional and zonal. Thus, it does not include the views of the Wereda Sectoral Offices nor the beneficiaries at the grass-root level.

The availability and reliability of data is indispensable for the successful completion of any research undertaking. However, in the process of this research work, due to some constraints it was not possible to get some more information which are relevant to the topic of discussion. The major reasons include:

1. The newness of the Region as an administrative unit and hence the structure of the institutions which are supposed to provide the necessary information,
2. Lack of experience of the Regional institutions in planning, implementing and monitoring the development plans, and
3. Absence of project/programme evaluation system in the Region.

In addition to the above problem, the researcher has also faced some problems related to time, finance and facilities. Accordingly due to the shortage of time, finance and facilities it was not possible to cover all the sectoral offices, departments and bureaus at Wereda, Zonal and Regional levels respectively in order to assess all elements of

the planning process in detail. Because of the above combined problems particularly it was not possible to include the views of the beneficiaries (peoples at the grass root level) which would have enabled the researcher to see the situation from the other side and enrich the proposed measures to be taken against the problems.

### **1.7. Organization of the Study**

For the sake of clarity and logical analysis this study is divided into six major Chapters. The first Chapter is an introductory part which contains background of the problem and justification of the study, objective, basic research questions, method, significance of the work, scope and limitations of the study. Following the introductory Chapter, a review of the relevant literature has been made in Chapter Two. The conflicting views surrounding development planning, opinions on the need for development planning and the planning process in general and elements and problems of plan implementation process in particular have been assessed in addition to that of some prerequisites for successful plan implementation. Chapter three of the

paper looks into the natural resource bases and socio-economic characteristics of the Region which is followed by the organizational and institutional framework for development, planning and plan implementation in Chapter four. Chapter five deals with the analysis of the findings of the survey, particularly with the investigation of the plan implementation process. An investigation of this process was made by assessing some elements of plan preparation which might affect this process and activities embraced in and undertaken in the course of this critical stage. Chapter six is left for the summary of the findings, and suggestions.

## CHAPTER II

### REVIEW OF RELATED LITERATURE

#### 2.1. Arguments for Market-Led Economy and Planning

Quite a number of economists (dating back to Adam Smith) agree for the market to regulate socio-economic development (Haddis 1997). Again quite a substantial number of economists, planners and the like propose that there should be a planning exercise to attain feasible social and economic development. In the last analysis of the situation, it is simply a question of whether the market “as the voice of the economic activity as whole or, alternatively, the state or some other collective entity is better able to decide what is conducive to the common good or to the well-being of all” (Erhard, 1967 ).

Currently, the role that the free market system and hence the price mechanism can play in promoting economic development has been the subject matter of controversy among the concerned specialists. Quite a number of conflicting views have been expressed on this issue. Commenting on this view (Rangarajam and Dholakia, 1979) state that there are obviously the two extreme views on the controversial issue of economic planning versus price mechanism as alternative economic systems, for achieving rapid economic development.

Erhard (1967) emphasizing on the markets advantage in regulating the economy pointed out that:

*Provided in the future the state sees to it that neither social privileges nor artificial monopolies impede the natural process by which economic forces reach and maintain a state of equilibrium, and that the operation of supply and demand is allowed free to play, the market will adjust the*

*total input of economic forces so as to create optimum running conditions and to compensate any mistakes made at the controls.*

What could be said from the above quotation is that in a free market economy mistakes of judgement in the management of socio-economic affairs automatically produce price changes with all their attendant repercussions.

On the other hand, those who are in favour of planning argue that rapid economic development requires several fundamental changes in the economy and the conventional market forces invariably lack the necessary effectiveness in bringing about these changes especially in the underdeveloped countries. The reason they state for this is that the price system exists only in a rudimentary form in most of the underdeveloped countries. It is, therefore, considered as being either ineffective, unreliable or irrelevant for the kind of problems that the present-day developing countries generally face.

Chamberlain (1965) argued that there are areas where it is difficult to apply market principle for a given development objectives. For instance, the market does not set social objectives such as education and health, nor does it allocate resources between the achievement of such social objectives and the objectives of individuals and households. This must be done by political decision through planning mechanism. What is advocated, therefore, is a deliberate action to influence the course of development particularly in the underdeveloped countries. In these countries."--- properly designed economic planning is considered necessary because it not only serves the purpose of correcting the "distortions" created by the working of price mechanism and free market system but also simultaneously promotes economic growth"(Rangarajam & Dholakia, 1979). According to Asher and others (1963), today, the purpose of planning is to enable governments deliberately to influence economic processes in order to supplement, reinforce, support, and guide the market

process of private decision making and activity. More specifically, planning as a mechanism for development seeks directly or indirectly to influence those factors

believed to determine the rate and direction of development. Thus, planning has been considered, explicitly or implicitly as strategy for sustainable development.

From the two views presented above, it seems that there should be some intermediate way between the two approaches particularly in developing countries.

If the market by itself is an inadequate organizer of economic activity, it might be an efficient organizer of activity in combination with a planning mechanism. The market-led economy should not be considered as “antithetical to planning, or vice versa, as is often alleged to be the case” (Chamberlain, 1965). And thus, planning and price mechanisms should be viewed as two complementary rather than mutually exclusive or alternative economic systems. Their complementarity in developing countries is based on:

*---the premise that proper economic planning can overcome the weaknesses and shortcomings of the price system in an underdeveloped country and improve it in the required direction in order to make it development oriented. Viewed from this angle, planning can also be regarded as a tool to modify the basic resource allocation determined by the price system to achieve the twin objectives of channelising investment in those directions that promote future development and bringing about desired changes in income distribution (Rangarajan and Dholakia, 1979).*

Thus, as Haddis (1997) Remarked it is quite possible to ensure the complementarity of planning and the market in such a way that one should employ planning where it is more effective and let the market fully operate in areas where it is also more effective and efficient.

Keeping in mind the complementary relationship between market-led economy and planning, planning is viewed as a continuous cyclical process and as a means for the systematic choice of alternative courses of action. Planning has its own procedure and process depending on the economic, social and political objectives and conditions of a given country, region or other spatial units. The following section discusses the major planning process and stages.

## **2.2. An Overview of the Planning Process**

---

There are numerous approaches or representations of the planning process in the literature, even though some are very elaborate and formal, others less elaborate and informal.

Diana and Peter (1986) described the model of planning as a cyclical process, involving a sequence of stages which are designed to link the formulation of basic policy goals with the design of specific projects or programmes and to ensure that lessons learned from the implementation of these projects and programmes are fed back into subsequent planning cycles.

Although the various models on the planning process differ in their degree of complexity and detail there are certain common elements. Hence, at this point it is important to draw these together and outline the types of activity associated with the various stages in the planning process.

1. **Identification of the Problem-** This step involves the identification of the specific nature of the problems or issues. It also involves review of the existing situation including the analysis of development constraints and potentials and

2. sectoral conditions. “---it provides an understanding of the opportunities and gaps which exist in terms of sectoral activities---. (Benninger,1991). As Mulatu (1990) pointed out it is not adequate to identify a problem, there must be quantitative and qualitative information to indicate the nature and magnitude of the problem. Therefore, the whole range of data on the physical and socio-economic condition of the country/region would be necessary to carryout this step. In terms of methodology, data collection and analysis, and the use of base maps are recommended to understand the characteristics of the area under-consideration. “ It will be necessary to analyze the existing situation to determine the nature and extent of particular planning problems”. (Diana & Peter, 1986). Lewis (1968) also remarked that “The planner’s first task is to see that all these fields of survey and research are covered, since it is these that will yield potential development projects”.
  
3. **Identify Goals and Objectives-** Goals and objectives are expressions of the priorities of planning---(Diana and Peter, 1986). They state that goals are abstracts and usually take the form of statements about what planning should ideally achieve in the medium to long term. It “---is an articulation of the value systems that a society cherishes” (Mulatu, 1990). While an objective is a specific statement denoting a measurable end and are more precise, operational statements that represent specific steps on the way to attaining selected goals. Hence, a goal is general, but an objective is specific and often quantifiable. Thus, the formulation of goals and objectives involves the process of developing a consensus among different groups, prioritizing needs, and developing appropriate goals and objectives for the plan. Walinsky (1963) suggested that significant time may be saved if the planning body, in calling upon the operating agencies to prepare long-term sector plans and programs, provides them with the guidelines based on the government’s major objectives and strategy and on its own initial approximations

as to the resources which may be made available for development expenditure in their sectors.

4. **Formulate and Identify Alternatives-** The alternatives include a set of proposed solutions after a careful evaluation of the various aspects such as technical feasibility, economic viability, political acceptability and institutional legality of the solution (Mulatu, 1990). The identification of the alternative courses of action is “---primarily directed to specifying possible courses of action to solve problems and achieve desired planning goals and objectives, in other words, with spelling out the means, or mechanisms by which we can move from where we are at present to where we wish to be at some point in the future” Diana and Peter, 1986). Criteria are often utilized to evaluate alternatives. The appraisal or assessment of alternatives basically means identifying the advantages and disadvantages of different courses of action. Some techniques such as cost-benefit analysis, cost-effectiveness analysis and others could be used in order to evaluate alternatives.
5. **Implementation-** Implementation is one of the stages in the planning process which involves the actual execution of the plans. Even though the definitions of implementation vary, depending on the point of view of the person concerned, in the context of planning, however, “---is usually used to refer to the latter stages in this cycle. It is concerned with what happens after the actions required to achieve specific goals or objectives have been identified and presented in the form of ‘plans’- that is, with the process of actually carrying out these actions. “ (Diana & Peter, 1986). The plan implementation phase of each plan cycle and at all levels of planning is distinct in the sense that it is carried out by the wide number of implementing entities, including the production and services units. The role of planning authorities or agencies in the plan implementation phase is specific in the sense that they should not take part directly in any plan implementation activity, but rather, they should be made responsible for plan implementation follow-up and

monitoring. In that way, the planning organizations “---can focus their activities upon primarily analytical and planning work, resulting in the plan implementation phase in periodical reports on plan implementation and annual analyses or reviews of the corresponding plans under implementation (ONCCP, 1989). Lewis (1968) also stated that “ If the plan is to be effective, the planning agency must have some control over its implementation”.

6. **Monitoring and Evaluation-** Monitoring is the activity of measuring progress in plan or project implementation. It involves ....collecting information about what actually happens during the implementation process, in order to find out how the inputs to the plan or project (resources) are being used, how activities essential to implementation are proceeding, whether or not deadlines are being met, and generally whether or not things are working out as intended. In the context of project monitoring, “ Monitoring is the continuous oversight of the implementation of a project/programme involving the collection, recording/analysis, and use of information for the purpose of management control and decision making” (MEDaC, 1997). For UNICEF as quoted by Legesse (1997) monitoring is the periodic oversight of the implementation of an activity which seeks to establish the extent to which input deliveries/ work schedules, other required actions and targeted outputs are proceeding according to plan, so that timely action to be taken to correct deficiencies detected in the implementation process.

Evaluation is a very critical element of the planning process. It is usually conducted by developing an evaluation instrument which attempts to determine as systematically and objectively as possible the relevance, effectiveness, efficiency and impact of activities in the light of specified objectives. Diana and Peter (1986) said that evaluation is really an appraisal of a plan or project’s performance which is undertaken either at periodic intervals or after implementation when the plan or project

has been operational for some time. The evaluation of the plan serves as a base for receiving a feed-back so that we can learn from our experience.

In order to conclude this section on the nature of the planning process, it might be appropriate to quote what Lewis (1966) wrote:

*There is no simple formula for making a development plan. In the first place a plan is essentially a set of guesses about the future, since the assignment of priorities requires uncertain estimates of likely results, benefits and costs. There is no formula for predicting the future; the best we can do is to seek parallels in the past.*

Thus, development plan is elaborated in the light of a general philosophy of how development takes place. But, mainly the problem lies on how to implement successfully the elaborated plans. Therefore, for the successful plan implementation, the elements and factors affecting the process of plan implementation should be adequately assessed in order to improve its condition.

### **2.3. Some Elements and Factors Affecting Plan Implementation**

According to Benninger (1991) management of the plan implementation process involves various activities which in one way or another contribute to the success of the plan. The major elements prescribed are:

1. **Personnel management-** *The limited human resources at our disposal must be effectively marshaled to assure the success of the plan. The implementation of a --- plan depends on the effective and efficient functioning of personnel. The plan must, therefore, chart out which agency and official is responsible for each function and who will carry out each task.*
2. **Co-ordination-** *Co-ordination of limited staff is one of the most important aspects of the management of plan implementation. The plan must identify the inputs and outputs of different agencies, and*

*functionaries, both within government and without Methods of interrelating functions and tasks of different actors must be stated.*

3. **Budgeting-** *The total resources required for the plan should be illustrated on tables in a manner such that schemes under sectors subsectors in each service area are stated in terms of money outlays.*
4. **Scheduling-** *A time table of events should be designed scheme-wise, under each sector.*
5. **Designing resource flows .** *The plan must include cash flows expected from government, local bodies, banks, external aid, people's own contributions and other NGO's inputs.*
6. **Monitoring and Evaluation systems** - *Methods of checking on the success of the key operations and impacts of the plan are required.*
7. **Development support communications-** *Development support communication is essential for a plan to succeed. Development support communications are the means by which the population is made aware of constraints, gaps and the resulting stresses which characterize the situation they live in .*
8. **Feedback-** *Information flows from lower levels to higher levels, so that corrective measures can be taken are essential,*
9. **Reporting-** *All the management functions noted above, which must form part of a plan, depend on some form of reporting(Benninger, 1991).*

Diana and Peter (1986) stated that the management of the implementation process could be divided into two main types: implementation management systems and planning-budgeting systems. According to these authors the term implementation management systems refers to systems which attempt to coordinate or manage the implementation of plans or projects through the use of a combination of measures, including implementation techniques, a variety of reporting or monitoring procedures and various managerial techniques designed to control or coordinate the various individuals or agencies involved in the implementation process. And the term planning-budgeting systems refers to a variety of management approaches which are, like the implementation management systems, concerned with coordinating the various stages of the planning and implementation process and the various agencies

involved in it, but which focus in particular on strengthening links between planning and budgeting.

In any given situation and country, it might be possible to prepare several quite different development plans, each of them rational and practicable. If they are executed properly they will contribute to the development significantly. However, as Waterston (1965) said there have been many more failures than successes in the implementation of development plans. According to this writer, by far the great majority of countries have failed to realize even modest income and output targets in their plans except for short periods. His analysis showed that the situation seems to be worsening instead of improving as countries continue to plan.

The reasons for the failures are many, complex and interrelated. Lewis (1968), for instance said that the plan'---may fail because it is made by people who cannot put it into effect.---many a "good" plan fails because it is ignored by the very ministries which are supposed to implement it". For Legesse (1997) the problems arise due to oversight during the preparation of the project and others may crop-up internally and/or externally during the actual execution period. According to him, some of the possible constraints emerge from general factors such as changes in the economic, social and political situations of a country and the world market at large and even natural disasters.

Millikan (1967) has identified four major reasons for shortfalls in plan implementation:

1. *The major decisions required for the implementation of the plan either do not get made at all or do not get made in time for the plan's targets to be achieved.*
2. *Even though decision points are identified and critical decisions are made on schedule, implementation may be inhibited by the*

*unavailability of critical supply items which are bottlenecks. These may be physical items like raw materials, equipment, or trained manpower, or they may be financial items.*

3. *Even when decisions are made on time and inputs are available as required, failure of implementation may be due to delays in the carrying out of certain activities called for by the plan.*
4. *There may be distortions in supply-demand relationships compared to those postulated in the plan, not because supply diverges from plan levels but because demand does so.*

In the case of Indian experience, Sundaram (1978) has noticed some common defects in the implementation. Among these defects the following could be mentioned:

1. *Lack of synchronization of normal state plan activities and the activities and the activities of the special projects;*
2. *Absence of Integrated and coordinated planning and execution by dovetailing of the state plan resources with the agencies; funds;*
3. *Inadequate acceptance of the role and responsibility by the different State Government Departments, specially at the district level, towards the special programmes. Inadequate involvement of the heads of departments concerned with various aspects of these programmes;*
4. *Inadequate involvement of the Block and Panchayati Raji Institutions in implementing the programmes in some areas.*

After evaluating the consecutive six-years annual development plans of the country, the NRDC and CPSC (1977 E.C.) of Ethiopia has identified some major problems of the implementing agencies of the public sector which hinder the full realization of the plans. They include:

- *Inadequate capacity for data collection and compilation*
- *Inadequate capacity for planning and coordinating the activities,*
- *Limited financial management capability,*
- *Low level of utilization and handling of equipment,*
- *Poor quality of the studies and contractual agreements,*
- *Absence of conducive condition for closer discussion with the concerned bodies and excessive bureaucratic procedures,*
- *Weak organizational structure of the planning and programming units, and poor performance of the already established ones.*

Furthermore, the same agency (ONCCP, 1980 E.C) again identified some major problems which were responsible for the failures or delays in annual plan implementation of Ethiopia at the end of 1980s. Some of them were:

- *Recurrent drought and famine in rural areas of the country,*
- *Shortage of qualified man-power and improper utilization of the existing trained personnel,*
- *Weak project management capability,*
- *Inadequate plan preparation capacity,*
- *Lack of discipline,*
- *Interference of some unplanned activities in the process of plan implementation,*
- *Lack of capacity for identifying, analyzing, and evaluating development projects, and*
- *Inadequacy of infrastructural facilities, particularly deficiency in the transport network distribution.*

The factors which affect the implementation process are more tangible and visible particularly at the project level. For instance, the factors that contributed to the poor performance of newly constructed rural gravel surface roads in Kenya were (Veen, 1980) :

*1) The delivery of tractors and trailers used for gravelling was severely delayed; (2) the average traveling distance from gravel quarry to the site generally exceeded 8 km, the figure upon which the estimates were based; (3) the equipment was underutilized mainly due to unavailability of spares and welding equipment; (4) inexperience of the operators especially with regard to the technique of reversing a tractor/trailer combination, (5) insufficient quarry organization.*

Diana and Peter (1986) pointed out that it will never be possible to remove all obstacles to the implementation process because some factors are beyond the control of either the planner or others involved in the preparation and implementations of plans. For example, plan implementation is frequently hampered by unexpected weather or other natural disasters, international economic problems, sudden political changes and personality problems among the various individuals involved. It seems because of these complex factors that Walinsky (1963) was forced to say "Planning is

difficult-but the execution of plans is far more difficult”. Plan implementation process deals with real world instead of concepts, it thus requires practical application and administration by many responsible and concerned agencies under various circumstances for its successful implementation and hence attainment of the stated objectives.

#### 2.4. Some Views on the Successful Planning and Plan Implementation

For successful planning, it is not enough that a given country should opt for it and prepare a development plan. But it is also necessary that planning is carried through effectively so as to achieve the desired goals and objectives. In practice, development planning has also confirmed that the fulfillment of certain requirements is vital for the successful implementation of plans.

Diana and Peter (1986) said that “...plan implementation is affected not only by the organization of the implementation stage itself but also by the way in which the earlier stages of plan preparation are organized, since this affects the content, relevance and acceptability of the plan.” For successful implementation of the plans according to this authors, it is necessary to consider the whole of the organizational framework within which plans are prepared and implemented.

For the successful planning and plan implementation, Agrawal and Lal (1985) have proposed the following five major requisites:

1. **A good plan:-** *A plan which is technically sound, economically feasible, and within the country's capacity to execute;*
2. **Adequate information:-** *There should be adequate information which should provide all information required for making and executing the plan, the information should be up-to-date, accurate, reliable and on continuous basis;*

3. **Rational institutions:-** *The institutional arrangements be such that they are conducive to planning;*
4. **Appropriate administrative and technical apparatus:-** *The personnel has to be quantitatively adequate and qualitatively fit for the job. Qualitatively, it should be adequately qualified, trained and experienced to perform its tasks efficiently.*
5. **Public cooperation:-** *There should be public participation in planning because public cooperation opens up many possibilities and smoothen the process of planning, i.e., in the process of plan-making and plan execution.*

To Vergener (1967) forms of planning are the determinant factor for the success of the plans. He states that --- forms of planning should be adequate to the existing situation; they should correspond to the given conditions and relate to the problems of the national economy. He further notes that--- objective conditions to be considered when choosing forms for planning embrace the existing mechanism by which the economy functions, the existence or non-existence of a favourable entrepreneurship climate, the interest the broad masses take in development or, as it may be, their apathy; rationality, as well as democratic control of decision making at all levels, and son on.

Others, emphasize more the role of determination for the success of a plan. For instance, Ripert (1967) stresses on the role of determination for the success of a plan by stating the following:

*The plan can never replace the determination to develop the country and to take the necessary action for that purpose. If that determination is present, the plan, however technically imperfect it may be, can be very helpful in implementing it. If that determination is absent, the plan, even if it is established by the best experts, will not be a genuine plan but more paper work and sometimes even a pretext for inaction.*

According to Millikan (1967) some of the necessary characteristics of feasible and implementable plan are:

1. *Major targets must be fully specified, sector by sector, with a sufficient breakdown so that those lying within the responsibilities of major decision-making units separately identifiable.*
2. *The targets must be stated in both capital and current terms. That means they must specify both stocks of resources for production presumed have been created by the end of the planning period and the current flows of output which it is hoped to achieve in time.*
3. *There must be a full specification of all project and programme activities designed to lead to the achievement of the specified targets.*
4. *All the major activities just described must have their time dimensions fully specified.*
5. *Full specification of the initial conditions in the economy---which prevail at the beginning of the planning period including the specification of capital projects in process.*
6. *The plan must be thoroughly tested for what we can call, in short, input-output consistency. This means that the interdependencies among the various projects in the plan and among the various sectors of the economy and decision making units having responsibility for its implementation must be fully specified to reveal possible bottle-necks in the output or supply of intermediate goods and services like materials, power, transport, agricultural raw materials, and the like which are essential inputs to other activities.*
7. *The plan should include a time-phased indication of the proposed allocation of those financial, physical and human resources---that are likely to constitute important bottle-necks to development activities.*

The experience of Egypt (1982) in plan implementation shows that there are several necessary requirements for its success. Some of them are:(1) Commitment (2) follow-up (3) rationalizing public sector and promoting private sector (4) legislative requirements (5) financial requirements (6) manpower requirements (7) energy supply (8) strengthening the building and construction sector and (9) curbing inflation pressures.

Appropriate administrative and technical apparatus have also been considered as an important requisite for the success of planning. Lewis(1965) remarked that “---the

first objective of planners must be to create an administrative machine that can do the work of planning; to train young men academically and in the tasks of administration, and to weed out mercilessly the incompetent and corrupt”.

In order to make the administrative capacity more efficient the decentralization policy is recommended and promoted by various governments. For instance, the Indian Government has adopted this policy in order to secure the involvement of local and voluntary agencies in plan implementation. The policy includes:

- (a) *Effecting functional decentralization,*
- (b) *Effecting financial decentralization,*
- (c) *The establishment of appropriate planning mechanism at the district level,*
- (d) *Establishing of appropriate budgeting and reappropriation procedures ( Government of India, 1985).*

Walinsky (1963) also emphasized on the need for organizational machinery for planning. He stated that “ If a comprehensive development plan is to be prepared, an organizational machinery for planning must be created, or a means must be devised for utilizing organizational machinery already in existence.” Waterston (1965), for instance, recommended a strong central planning agency with defined responsibilities.

The Government of Pakistan (1965) also pointed out that the planning cells in operating agencies, if properly staffed and equipped, could become the “nerve centers” for planning and plan implementation. Hence, the operating agencies responsible for specific activities, and in close touch with the operating realities, problems and needs, must also contribute significantly to the planning process.

Thus, in order to wind up this section on requisites for successful planning and plan implementation, let us use what Gilbert (1976) wrote as a concluding remark:

*It is always difficult to generalize about the successes and failures of planning efforts. Planning is not an activity which can be studied scientifically; too many independent variables can affect outcomes, the outcomes themselves may be viewed in vastly different lights according to the value premises adopted and frequently the diversity of goals and objectives embraced and the failure to express those goals clearly in terms of specific time periods...*

## **2.5. Summary of the Review**

Concerned specialists express that the role that the free market system and hence the price mechanism can play in promoting economic development has been the subject matter of controversy. Even though there are intermediate views, there are two extreme views on the controversial issue of economic planning versus price mechanism as alternative economic systems, for achieving rapid economic development. However, a number of development planners believe that planning and price mechanisms should be viewed as two complementary rather than mutually exclusive or alternative economic systems. Particularly this approach seems to be an appropriate one for developing countries where proper economic planning may overcome the weaknesses and shortcomings of the price system and improve it in the required direction in order to bring about desired changes.

In isolation or in combination with price system, planning is considered as a continuous cyclical process involving a sequence of stages which are designed to link each step. Although the various models on the planning process differ in their degree of complexity and detail there are certain common elements: identification of the problem, identification of development goals and objectives, formulation and identification of alternatives, plan implementation, monitoring & evaluation.

Experiences show that for successful plan implementation, various elements and factors affecting the process of plan implementation should be identified. Major

elements of plan implementation such as: personnel management, co-ordination of limited resources, budgeting, scheduling, designing resource flows, methods of checking on the success of the key operations and impacts of the plan, the use of development support communications, the flow of the necessary information and reporting should be adequately considered because implementation process is the

critical stage. However literature show that plan implementation seems to be worsening instead of improving as countries continue to plan. The reasons for the failures are many, complex and interrelated.

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To alleviate the implementation problems, main requisites have been formulated both from the theory and practice of planning. Activities such as: an assessment of how earlier stages of plan preparation are organized, an assessment of the planning environment, the preparation of a good plan, the involvement of public co-operation, etc. are some of the pre-requisites for successful planning and plan implementation. External and internal co-operation, institutional change, determination and effective decentralization are some more mechanisms which are recommended for the successful implementation of plans.

Thus it could be said that the activity of planning is at the experimental stage and largely depends on the country's specific economic, social and political conditions which are expressed in its development problems and objectives. However, despite various human and natural constraints, planning is contributing to the acceleration of the tempo of development at least by allocating scarce resources where they are badly needed.

## CHAPTER III

### NATURAL RESOURCE BASES FOR DEVELOPMENT AND SOCIO-ECONOMIC CHARACTERISTICS OF THE REGION

#### 3.1. Natural Resource Bases For Development Prospects

The Region is endowed with varied natural resource bases for development. Particularly, its geographical extent, relief feature, agricultural soils, minerals, agro-climate, abundant water resources and vegetation are some of the major natural wealth which should be assessed in order to visualize the development prospects and potentials of the Region.

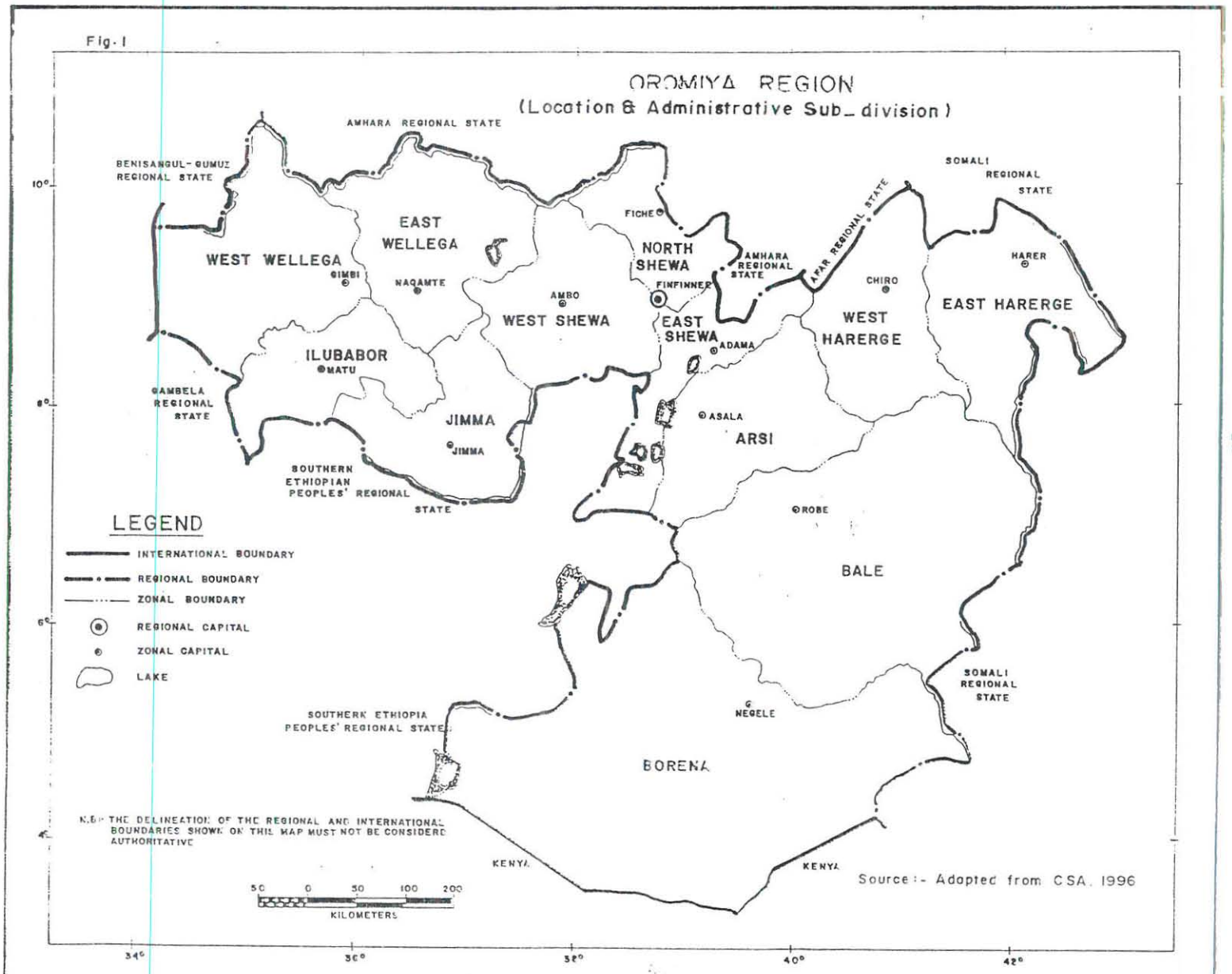
##### 3.1.1. Location and Administrative Framework

Oromiya is a Region which extends from central west across the heart to south eastern part of the country. It largely covers the central part of the country and is bound by six Regional States within Ethiopia and shares an international boundary with Kenya and Sudan (Fig. 1). Administratively, the Region is divided into twelve zones which in turn are divided into 180 Weredas (districts). The districts are further sub-divided into smaller units with local peasant and urban dwellers associations.

##### 3.1.2. Relief Features

Oromiya is an extensive Region of great physiographic diversity. Its present surface rock distribution, the land configuration and other natural phenomena in it are all the results of the past geologic history and tectonic movements in the upper mantle-

Fig. 1



lithospheric portion of the Horn. Altitudinally, rising from less than 500 m.a. s.l. to high ranges that culminates into Mt. Buttu(4607 m.a.m.s.l), the highest peak of the Region...”(PEDB,1997b) Oromiya is endowed with varied relief features which in turn accentuates varied and amiable climatic condition and other rich natural resource bases. However, its land configuration is partially responsible for its poor surface transport net-work development and low level of mechanized irrigation development. Generally major portion of the Region is undulating to rolling terrain of high suitability for agricultural activities. About, 65.4 per cent of the Region is potentially utilizable from the point of good surface drainage and low risks of soil erosion “ (PEDB, 1997a).

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### **3.1.3. Soils**

Soils form important agricultural resource base of the Region.. Generally, some results of soil investigations indicate that the soils of the Region include a large number with relatively high inherent fertility by African standards. In the highlands, especially the various volcanic soils can produce good yields, while the black vertisols if properly managed also have a considerable agricultural potential for development. In areas intensively cultivated, vertisols are intensively cultivated to cereals and pulses while in areas of lowland of moisture constraint they are used for grazing. However, the ever increasing population growth (as result of demand for food crop production) has resulted in intensive and extensive use of the Region’s soils in non-sustainable manner. As a consequence, severe soil erosion and degradation have come prevalent in areas where the natural cover of the soils and the soil nutrients had been removed by wind and/or water erosion and leaching.

### **3.1.4. Agro-Climatic Resources**

Climatic characteristics of the Region forms decisive natural resource bases for agricultural development particularly for rain-fed agricultural activity on which the life

of the overwhelming majority of the Regional population depends. It forms the sole source in the form of precipitation for recharge of the Regional water resource.

The climate of the Region is affected significantly by variation in altitude, latitudinal position, prevailing winds and air pressure and circulation, and its position in relation to the sea and Oceans. Accordingly, the Region is divided into major climatic zones: temperate rainy, tropical rainy and arid climate (EMA, 1988). In general, about 30 percent of the lowlands of eastern sub-region has arid climate. Over 35 percent of the intermediate highlands of Central and Western Oromiya have hot tropical rain climate, while the highlands have warm temperate rainy climate (PEDB, 1997b). Limited areas of high relief (mountains and massifs of Bale and Arsi) have cool highland climate. According to the Regional Atlas of Oromiya (1997) the mean annual temperature of Oromiya is about 19.3<sup>0</sup>c with a range of mean maximum of 30<sup>0</sup>c in lowlands to less than 10<sup>0</sup>c in the highlands.

The Region is bi-annual or receives rainfall twice a year. The main (summer) rain being in July and August covers the greater portion of Oromiya. The small (spring) rain is received between March and May. The distribution of mean annual rainfall varies from place to place and from year to year in the Region. Generally it decreases from the highlands of Illubabor (2400 mm).

From the above assessment it could be said that the climate of the Region could have a positive effect on agricultural production. It provides optimum temperature for plants growth, shorten the time taken for plants' growth and increases the variety of crops grown in the Region. In general, highland part of Oromiya has warm to cool temperate climate which is suitable for crop productions.

### **3.1.5. Vegetation**

The distribution of natural vegetation in Oromiya is determined by natural (climate, altitude and soil) and human factors. The natural climatic climax vegetation, the

vegetation that would develop in the absence of human influence as determined by environmental condition, are extremely devastated and reduced in bio-mass cover as a result of expansion of cultivated lands, settlements and wood demand for industrial, construction and fuel uses. The deforestation process is more intense and severe on the highland parts of the Region than in the lowland areas.

Currently thick forests have remained only in less accessible as patches of relic of original forests, in controlled grounds like parks, sanctuaries, reserves and controlled hunting places, and government protected forest areas. There are more than 32 thousand hectares of government protected high priority forest areas at about 40 sites in Oromiya Region. The forest areas cover nearly 7.3 percent of the land mass of Oromiya (PEDB,1993) despite its high forest coverage (about 40 to 60 percent) at the beginning of the Century.

### **3.1.6. Drainage Pattern and Water Resources**

The Region has extensive drainage networks and 8 drainage basins which cover much of the highlands and considerable areas of the lowlands. Ganale drainage basin is the largest and covers 32 percent of the Region. It is followed by Blue Nile (19.1 percent) and Wabi Shebelle basins (19.0 percent). In essence, the rivers in Oromiya are radial in pattern due to the topography of the Region. As the result three drainage systems are observed-the Mediterranean, the Indian Ocean and the Inland (Rift) drainage systems.

There is no adequate information on volume, rate of discharge, and irrigation and energy potentials of these rivers. However, high volumes of runoff occur on the

western and parts of eastern highlands of Oromiya where the amount of rainfall is high.

Generally, despite the huge potential of rivers of Oromiya, for energy generation and irrigation, their actual utilization level is low. Only Awash basin is better used due to its proximity to the capital, physical feasibility and accessibility to developed infrastructures.

The Region's lakes are mainly used for resort development or recreation (mainly lake Langano). The other uses of the lakes are mining, fishery, irrigation, water supply for people and livestock, and hydroenergy development. The lakes are also habitats for great variety of wildlife. Some studies show that there is also high sub-surface water potential to supplement that of surface drainage in Oromiya even though less investigation has been carried out in the field.

#### **3.1.7. Land-use and Land Cover**

The land-use pattern of Oromiya correlates mainly with its population distribution (and density) and with climate and topography to a lesser extent. The warm to cool highlands of Oromiya are used more intensively than the hot lowlands. The highlands are densely populated due to favorable environments and less prevalence of diseases. Land under cultivation accounts for nearly one-third of the Region's area. This includes intensively and moderately cultivated lands (Table 1). Larger portion of highland Arsi, extensive areas of North Shewa, West Shewa, some areas of West and East Wellega, highlands of Hararge and Northern Bale are intensively cultivated. However, parts of highland Hararge and Illubabor, West & East Shewa are moderately cultivated.

Percentage Distribution of Land-use & Land  
Cover of Oromiya Region

Table 1

Land use and land cover	%
Cultivated land	31.4
Forest land	7.3
Wood land	7.0
Bush and shrub land	50.7
Grass land	2.1
Riparian vegetation	0.6
Wetland & reservoir	0.7
Bare land	0.2
<b>Total</b>	<b>100.0</b>

**Source:** Adapted from Ethiopian National Energy Committee, Bio-mass Energy Resources, Technical Report No. 1 May, 1986.

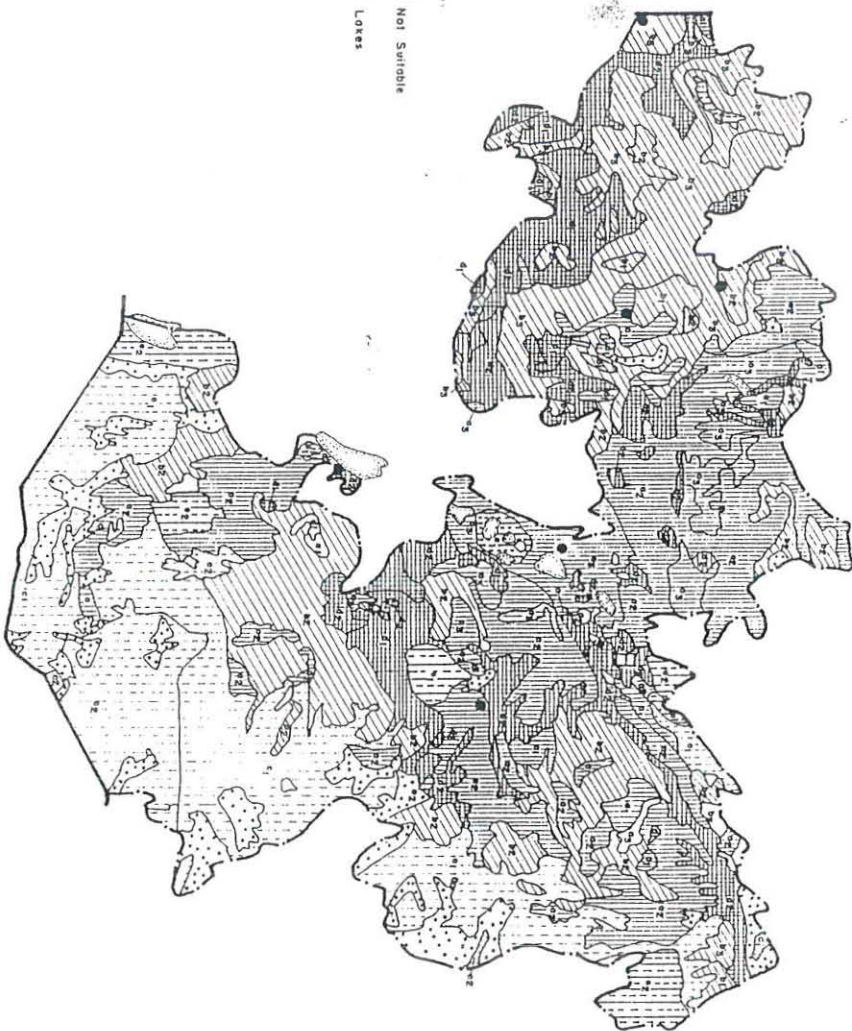
Regarding land-use potential, as assessed from the Regional Atlas of Oromiya (1997), about 54% of the Region has high potential for rainfed crop production. Of the 54%, the eastern sub-region, the western sub-region and rift system account for 26.8%, 22.1% and 5.1% respectively. Highland section accounts for 31.3% while lowlands account for 22.7% of total land-use potential for crop production. The same document shows that land use potential for livestock husbandry, which accounts for 21.5% of the regional surface, is mainly limited to the low plateaus and plains of the eastern sub-region. Thus the Region has high land-use potential for the Regional agricultural development (Fig.2).

Figure 2

# ROMIYA REGION LAND USE POTENTIAL

- LEGEND**
- CROPS**
- Highland Perennial
  - Highland Annual
  - Highland Perennial & Highland Annual
  - Lowland Perennial
  - Lowland Annual
  - Lowland Perennial & Lowland Annual
- LIVESTOCKS**
- High Potential
  - Low Potential
- FOREST**
- Natural Forest (Existing)
  - Protective Forestry
- IRRIGATION SCHEMES**
- Existing
  - Potential
- PARKS**
- National Parks
  - Wildlife Sanctuaries
  - B Reserves

Not Suitable  
Lakes



Source:- Adopted from Ministry of Agriculture LUPRD, 1984

### **3.2. Socio-Economic Characteristics**

In this section, major socio-economic characteristics of the Region will be discussed in relation to the development problems and.

#### **3.2.1. Agricultural Development**

Agricultural activity is the mainstay of the Regional economy and is the means of livelihood for about 90 percent of the Region's population. The structure of the economy of Oromiya, according to the Region's income account assessment by the Bureau of Planning and Economic Development of Oromiya, indicates the significant role the agricultural sector plays in the economy of the Region. It accounted for 73 percent of the RDP while industry and services sectors constituted for 10 and 17 percent respectively in 1995/96. The sector produces food crops for the total population of the Region and for some major urban centers of the country. It also provides raw materials for food and beverage processing enterprises and construction industries. The major export commodities of the country like coffee, hides and skins come from this sector of the Region.

According to CSA(1995) agricultural sample survey report on land utilization, out of the total land under private peasant holdings the largest proportion of the total holdings (71.2 percent) was used for temporary crops followed by grazing land (9.9 percent). The same source indicates that the average total land holding size per agricultural household in Oromiya was 1.36 hectares of which 1.03 hectares was crop land. The largest holding was reported for Arsi zone (2.18 ha./household) whereas the smallest holding for Eastern Hararghe (0.6 ha./household). Thus in the Region, there is heavy fragmentation of peasant land holdings. This is more intense in the densely populated highland and plateau areas than in the sparsely populated lowland areas.

The peasant sector which has the lions share in agricultural development, occupies 98 per cent of the cultivated land and produces 97 percent of the total output in annual crops production alone (RSO,1995). This small holder crop production is a subsistence activity characterized by low crop yield, 11.7 qt/ha.(PEDB,1996b). Archaic mode of production characterized by low technical and production inputs accounts for overall low performance of the crop production. The Region has substantial amount share in the country's livestock resources. However, it is characterized by low productivity.

In order to bring agriculture to a level of development that would enable it to generate the surplus necessary for the development of the regional economy, this sector must first be rid off a number of constraints. These problems include; technological backwardness, shortage of skilled manpower and low level of investment, limited infrastructure, scattered settlements and farmlands, environmental problems, inadequacy of basic information for policy formulation and planning, population pressure and lack of reorientation in land-use.

### **3.2.2. Industrial Development**

The development and establishment of modern industries in the Region is a recent phenomena. Currently the number of state owned industries in Oromiya accounts for 27 percent of the total industries of the country. Out of the total production cost, nearly 84 percent is accounted for the factories based on processing agricultural products (PEDB,1996b). This is indicative of the importance of agriculture in supporting the development of manufacturing industries of the Region. This also applies to the private sector. The same source of information indicates that out of 3486 privately owned small and medium scale enterprises in the Region in 1994/95, some 70 percent were grain mills.

Regarding its spatial development, most of both the modern and private small scale industries are concentrated in urban centers located along relatively developed transport lines and other infrastructurally developed areas of the Region. For instance, most of the modern industries are concentrated along the Akaki-Matahara development axis in Eastern Shewa Administrative zone. With respect to branch (sub-sectoral) distribution, there are 14 sawmills, 11 food processing industries, and 7 beverages which all together constitute 80 per cent of the total number of the modern manufacturing industries of the Region.

Over the past years, a number of problems and weaknesses have emerged with in the sector. While the problems and weaknesses faced vary from industry to industry, the following are believed to concern most of them: problems of raw material supply, obsolescence of machines and lack of spare parts, low productivity of labour, transportation problem, managerial problems and the like.

### **3.2.3. Mining and Energy**

Minerals form one of the natural resources of the Region. At present the mining of various minerals is under way in different places by the government, private investors and artisan miners in the Region. Some of these minerals which are under production are gold in Borena and West Wellega, soda ash in the Rift valley; limestone, gypsum, and clay around Mugar, tantalum at Kanticha, ceramic minerals at Bore, Kanticha and Bomba Wuha in Borena, and ornamental and construction minerals in Hararghe and Wellega areas.

Although some studies indicate that the Region's mineral resource could be large and varied, until now these resources have not been developed to the large scale exploitation and its contribution to the Regional economy has remained insignificant

due to the inadequacy of the investment magnitude channeled to the sector, shortage of skilled manpower, technological backwardness, and the inadequate attention given to the development of the sector. The alleviation of these problems “---could enable to play a decisive role in the development of the Regional economy” (Bureau of Investment, 1995).

One of the basic ingredients of development is, of course, abundant energy resource. The availability of adequate and cheap alternative energy sources is of paramount importance in the development of enterprises and in reducing environmental degradation, and the like.

In this regard the Region has considerable hydroelectric and geothermal power potential in its rivers and underground steam. Above 97 percent of the hydro-electric power of the country is generated in Oromiya Region from Koka, Awash III, Melka Wakena, Finca’a, Sor and Yadot power generation plants. The hydroelectric power potential alone is estimated to be over 50 billion KWh annually (Investment Bureau, 1995).

However, despite this immense natural resource, some studies indicate that the traditional energy sources i.e., fire wood, plant and animal wastes, and crop residues constitute 90 per cent of the Region’s energy supply (PEDB,1993). Only about 10 percent account for petroleum and electricity energy. Only 62 percent of the residents in towns use electricity for lighting (CSA 1996). The use of the traditional energy resources destroyed and is destroying the natural fertilizer and soil conditioner there by reducing crop yields and causing a deterioration in the structure of the soil.

### **3.2.4. Water Supply Conditions**

The Region has high water resource potential for development prospective. However, due to backward stage of development capacity to develop water resource, the provision of potable water to the population is very low. The majority of the population uses sources provided by nature in the form of spring, water, hand-dug wells, lakes, rivers and rain-fed seasonal pools. Safe and reliable water supply is almost limited to industrial and commercial urban centers though some deep bore holes have been developed in some rural areas of acute water shortage.

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According to the 1994 census result, of the total housing units in Oromiya Region only 76.3 percent and 15.8 percent of the urban and rural population have access to potable water supply respectively. This means only 22.2 percent of the Region's population have got access to potable water. The same source indicates that East Shewa, East Hararghe and West Hararghe, Jimma and Illubabor zones seem in a better condition in access to potable water relative to the other zones. In these five zones between 23 and 42 percent of the population have got drinking water from protected sources.

### **3.2.5. Transport and Communication**

The development of transport and communication infrastructures and services is a vital precondition to enhance the transformation of the regional economy. Production and distribution process of production is unimaginable without the provision of transportation and communication facilities. They further contribute to the promotion of spatial integration and development.

The road network of the Region according to PEDB(1996b) in 1995 totals about 9488 kilometers. This includes 2105 km of asphalt roads, 2162 km of gravel roads, 4049 km of rural or feeder road and 1171 km of dry weather motorable roads. According to the same source, the Region's road density for all weather roads is 23 km per 1000 Km<sup>2</sup>, and varies from 9 km for Borana zone to 59 km for East Shewa zone.

Generally, the transportation system particularly serving rural areas of the Region is inadequate. A big bulk of the rural population lives far from even a dry-weather road. Almost most of the produce marketed from farms is carried to the market by donkeys or on a human back and items purchased are carried home by the same means. Thus, the road network situation calls for special consideration if rural development in particular and a well articulated, integrated and balanced spatial development of the Region, in general, is thought of.

Similarly, communication infrastructure also plays a decisive role in socio-economic development of the region. According to ETA (1995) in Oromiya Region there were 12 automatic, 53 semi-automatic and 127 manual exchange public telephone station in 1994/95. This indicates the poor development of the service in the Region. Even from the available infrastructure most of them are concentrated in two zones, East Shewa and Jimma. West Wellega is the least benefited zone from the service. Thus, the Region has inadequate telephone service, which is one of the best and effective tools in the modern communication system.

The postal service is also one of the means of communication that offers significant assistance to regional development. According to information obtained (1994/95) there were 243 different levels and types of postal institutions in Oromiya Region, giving services to a very small proportion of the population. These include 7 main post offices, 127 agent post offices, 35 regular agent and 39 foot service post offices.

Spatially, Jimma with 19 percent takes the lead, which is followed by west Shewa (12 percent) and West Wellega (11 percent) where as north Shewa is the least in the share of post offices. This service is characterized by insufficient distribution.

### **3.2.6. Urban Development and Housing**

Urbanization in Oromiya Region is a recent phenomenon conditioned by historical factors. Many of the middle-sized towns in the Region were founded during the 19<sup>th</sup> Century.

Currently, in the Region there are about 229 urban centers with populations of 2000 and above (CSA, 1996). Most of them are characterized by poor economic base, lack of basic and social infrastructures and unemployment problem, particularly economic stagnation is the common characteristic of the smaller towns.

Functionally, the Region's urban centers could be administrative centers, commercial and market centers, transport centers or the most recent type of urban settlements, which cluster around relatively large industrial enterprises, and near big plantations are service centers. Most of the settlements have long ceased to be mono-functional and many have changed their initial functions.

Out of the total population of the Region, nearly 10 per cent is estimated to be urban. However, the level of urbanization throughout the Region varies, ranging from 4.2. per cent for Eastern Hararge zone (excluding Harar and Dire Dewa cities) to 25.7 per cent of Eastern Shewa Administrative zone. Likewise, the distribution pattern of the urban centers of the Region shows that most of the urban settlements are limited to the highlands.

Regarding the housing condition of the Region, the result of the 1994 census has indicated that generally it was not healthy in all aspects. About 55 per cent of the people in the urban areas live in overcrowded situation. The majority (82 per cent) of the households resides in dwelling units with 1 or 2 rooms. The average number of persons per room for the Region is 3.1 and ranges between 2.4 (Illubabour) and 4.2 (West Wellega). The corresponding figure for urban and rural areas of the Region is 2.2 and 3.3 persons per room respectively. The houses also lack essential facilities, like toilets, waste disposals, electricity services, safe water supply, etc.

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### **3.2.7. Education**

Education is one of the major components of social development of the Region with the objective of providing trained manpower for an overall development. Currently, as PEDB (1996a) pointed out the strategies devised to achieve the stated objectives are expanding basic education services particularly in rural communities, producing education materials and training of teachers in the Region, building schools or community education centers within a walking distance of users, strengthening partnership between the government and communities for the expansion and sustainable development of educational institutions, and raising the efficiency and quality of education.

According to the Regional Education Bureau, in 1995/96 there were 164 pre-school centers (Kindergartens) mostly located in urban centers where 14,349 children were registered. There were 35 teachers, making the children to teacher ratio 41 to one.. The same source of information indicates that in 1995/96 there were 1.08 million pupils enrolled in 3715 primary schools. These schools were staffed by 35,494 teachers. The gross enrollment ratio of the Region for 1995/96 was 28 percent and ranged from 17 percent for North Shewa to 48 percent for Illubabour. Moreover, there

is urban-rural and zonal variations in the distribution of and access to primary education. It is more concentrated in urban areas.

Regarding secondary education, available information show that in 1995/96 there were 491 junior secondary schools with 12,6845 students and 4407 teachers in the Region. Besides, there were 114,238 students attending senior secondary education in 120 schools, assisted by 4556 teachers. Moreover, there were also 458 students and 123 teachers in five technical and vocational schools in west Hararghe, Illubabor and the remaining three in the Shewa zones. The enrolment ratios for junior and senior secondary education in 1995/96 was 14 and 6 percent, respectively.

The low participation rate at all levels indicates lack of opportunities and access to schooling due to an inefficiency in the education system and other related problems, such as:

- Shortage of trained manpower at all levels,
- The increase in the teacher student ratio (especially in urban areas).
- The inadequacy of budgetary provision,
- Shortage of educational facilities,
- Unbalanced distribution of educational opportunity which is urban bias,

### **3.2.8. Health Conditions**

In Oromiya Region health services are rendered through a network of hospitals, health stations and clinics. However, the following health institution and personnel ratios show the existence of wide gap between the demand and supply of the health service of the Region (Table 2).

## Health Institutions and Personnel (1995)

Table 2

Variables	Average
<b><u>Health Units</u></b>	
• Hospitals	1: 781,000
• Health center	1: 310,000
• Clinics	1: 21,000
• Hospital beds	1: 9,000
<b><u>Health personnel</u></b>	
• Doctor	1: 60,000
• Nurses	1: 18,000
• Health assistants	1: 6,000

Source:- Oromiya Region Health Bureau,1995.

Thus, as the Region's Five-year Plan (1995) stated currently the Region is facing inadequacy of health institutions and shortage of health personnel. Moreover, the existing institutions are working below capacity due to shortage of logistics and infrastructure support, inadequate operating budget, uneven distribution of staff to various health care units, poor planning, organization and management.

### **3.2.9. Finance and Public Investment**

Financial resource is one of the major essential components required for economic development. The RSO (1995) stated that despite the tremendous resource base of the Region, the revenue of the Region does not cover the expenditure at the existing revenue collection system. The Regional revenue, for instance, covered only 35% of its total budget in 1994/95. The deficit and additional investment budget needed for the socio-economic development of the Region is covered by the central government subsidy, external loan and assistance. The main reason for low regional revenue can be attributed to the unbalanced assignment of revenue bases between the center and the regions.

Public investment which refers to mainly capital budget is a means to build productive and productivity capacity in the economy. The capital budget allocated and utilized by Regional state of Oromiya in 1994/95 and 1995/96 fiscal years were Birr 264.4 million and 292.5 million, for a total of 188 and 184 development projects planned and implemented (partially or totally) respectively.

Looking at the structure and trends of the capital budget, the capital expenditure has increased by 10.6 percent between 1994/95-1995/96. However, the number of projects have not made a significant change in number even in 1997/98.(Table 3).

**Capital Budget Utilization by Sector and Capital Projects  
Implemented, 1994/95-95/96**

Table 3

Sector	No of Capital Projects			Capital budget Utilized ('000 Birr		
	1994/95	1995/96	1997/98	1994/95	1995/96	%
Agriculture	35	40	33	85921.8	76141.9	79.1
NRD & EP <sup>1</sup>	10	-	-	3187.2	-	-
Water	65	65	46	87287.8	82577.4	74.7
Mining	3	3	1	253.5	430.0	100.0
Energy	1	1	1	278.7	375.0	100.0
Industry and Tourism	1	2	2	200.0	167.1	81.5
Road Construction	18	15	34	24529.9	28417.9	127.2
Urban Dvpt. & Housing	15	13	19	7911.8	20754.8	120.5
Transport	10	11	8	3791.3	2661.1	93.8
Education	13	14	19	23581.3	33197.5	68.3
Health	13	16	18	20277.9	37550.1	85.3
Social welfare	2	2	1	335.4	1010.2	132.2
Culture, sports	1	1	2	204.7	367.1	189.4
Information <sup>3</sup>	1	-	1	4663.2	2982.1	-
WIBS <sup>2</sup>		1	1	1991.6	5859.9	71.7
<b>Total</b>	<b>188</b>	<b>184</b>	<b>187</b>	<b>264416.1</b>	<b>292492.1</b>	<b>100</b>
	Central Treasury			181985.5	228779.4	78.2
	External Loan			44343.6	14642.9	5.0
	External Assistance			38087.0	35949.5	12.3
	Other			-	13120.3	4.5
<b>Capital Budget Utilization (%)</b>				<b>71.1</b>	<b>-</b>	<b>83.8</b>

1 NRD & EP is dissolved in 1995/96 (between Agriculture and Water Sectors.

2 WIBS (Wereda Integrated Basic Service) is an area based programme financed jointly by the UNICEF, Government and the Community.

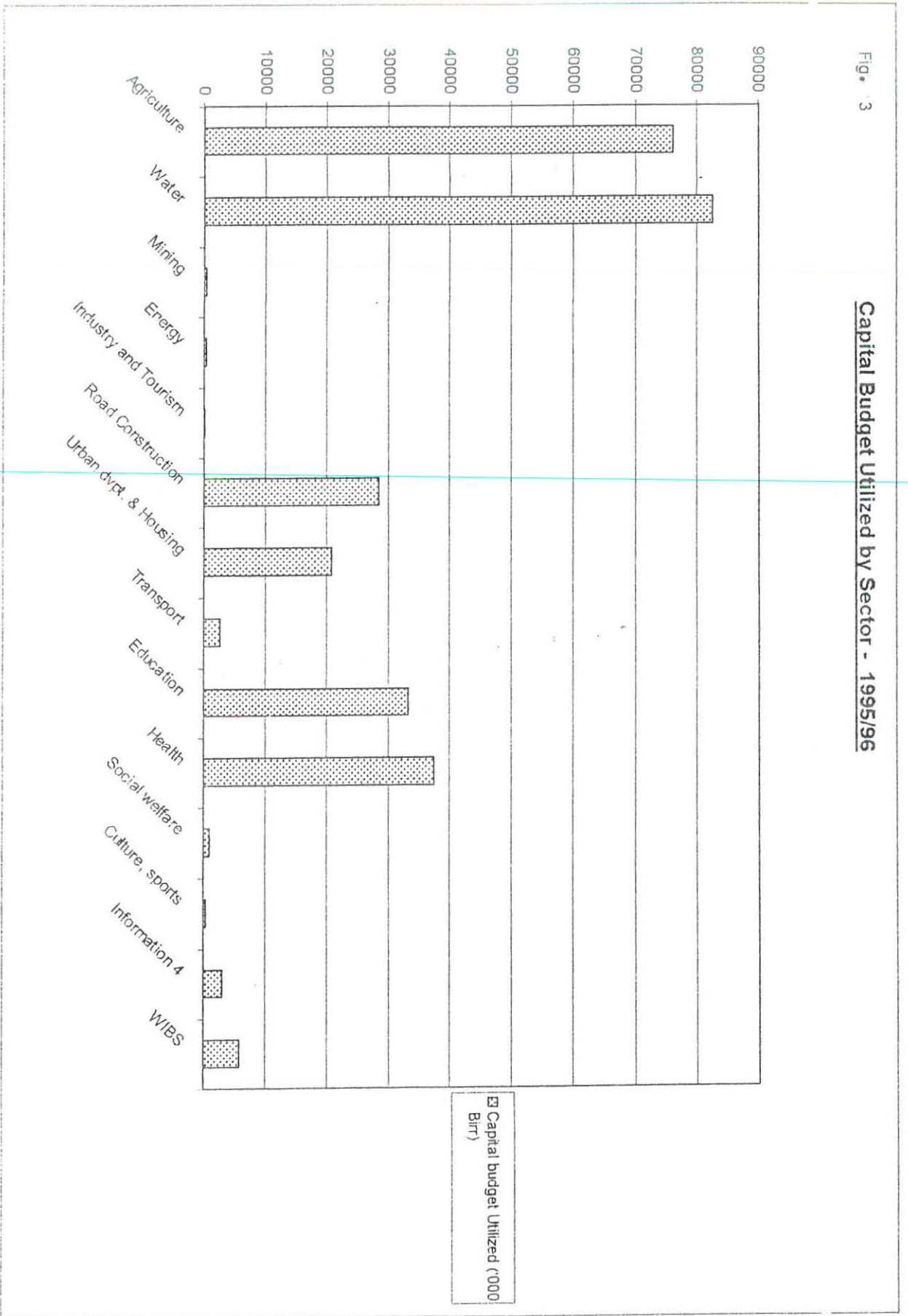
3. Information Bureau was dissolved in 1995/96 and has become one of the Departments of Culture and Information Bureau.

Source: Oromiya Planning and Economic Development Bureau, Annual Reports.

The capacity of capital budget utilization, even though its achievement in the past years has not been to the level of the targets set, has also improved from 71 percent in

Fig. 3

Capital Budget Utilized by Sector - 1995/96



1994/95 to 84 percent in 1995/96. In other words, this indicates the improvement in the capacity of the public sectors and in utilization of the budget allocated for them.

As indicated by the structure of capital projects and budget expenditure, the bulk of the capital has been assigned to and utilized by Water and Agriculture sectors (see Table 3). Among the total capital projects implemented more than 50 percent were Water and Agriculture sector projects in the years 1994/95 and 1995/96. These projects, on the other hand, had consumed, 67 and 54 percent of the capital expenditure of the Region for these two consecutive years.

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In addition to the sectoral picture of capital budget allocation and utilization, it is worth to look into the spatial pattern of capital budget (Table 4 and figure 4). In 1994/95 Arsi, East Shewa and Bale, and in 1995/96 Arsi, East Shewa and Bale and in 1996/97 East Shewa, Arsi and Borena zones constituted the highest share of the capital budget earmarked for the Region. On the contrary, Ilubabor and West Shewa in 1994/95, Jimma and Ilubabor in 1995/96 and East Hararge, Jimma and West Shewa in 1996/97 shared the least of the Region's capital budget allocation.

## Zonal Capital Budget Allocation of Oromiya 1994/95 -1997/98

Table 4

Birr'000

Zones	1994/95		1995/96				1996/97		1997/98
	Plan		Plan		Utilized		Plan		Plan
	Amount	%	Amount	%	Amount	%*	Amount	%	Amount
Arisi	81000.0	21.1	75283.2	19.6	42697.5	57	54298.1	10.6	38709.0
Bale	33188.7	8.6	33961.1	8.8	27395.8	81	31393.1	6.1	33940.0
Borena	26291.1	6.8	28385.5	7.4	16231.7	57	41459.6	8.1	36662.0
E.Hararghe	27295.2	7.1	18604.4	4.8	13924.7	75	25974.1	5.1	22488.0
W. Hararghe	26449.4	6.9	23278.6	6.1	13757.6	59	30349.2	5.9	28339.0
Ilubabor	15292.4	4.0	18198.7	4.7	15352.3	84	29986.2	5.8	19928.0
Jimma	25920.6	6.7	15873.7	4.1	12656.2	80	26631.0	5.2	22345.0
E.Shewa	59346.6	15.4	37098.1	9.7	23676.0	64	68090.4	13.3	30764.0
N.Shewa	21691.8	5.6	21582.7	5.6	11042.7	51	28158.1	5.5	26506.0
W.Shewa	19126.6	5.0	27722.8	7.3	17870.6	65	26731.6	5.2	24683.0
E.Wellega	1995.8	5.2	24621.9	6.4	20051.8	81	28284.8	5.5	33725.0
W.Wellega	19587.8	5.1	22243.6	5.8	15860.8	71	32753.9	6.4	34370.0
Bureau level	9127.1	2.4	37229.4	9.7	61974.4	166	89689.9	17.5	61706.0
<b>Total</b>	<b>384313.1</b>	<b>100</b>	<b>384082.7</b>	<b>100</b>	<b>292492.1</b>	<b>76</b>	<b>513800.0</b>	<b>100</b>	<b>414165.0</b>

\* Indicates the capital budget utilized from the budget earmarked for respective zones.

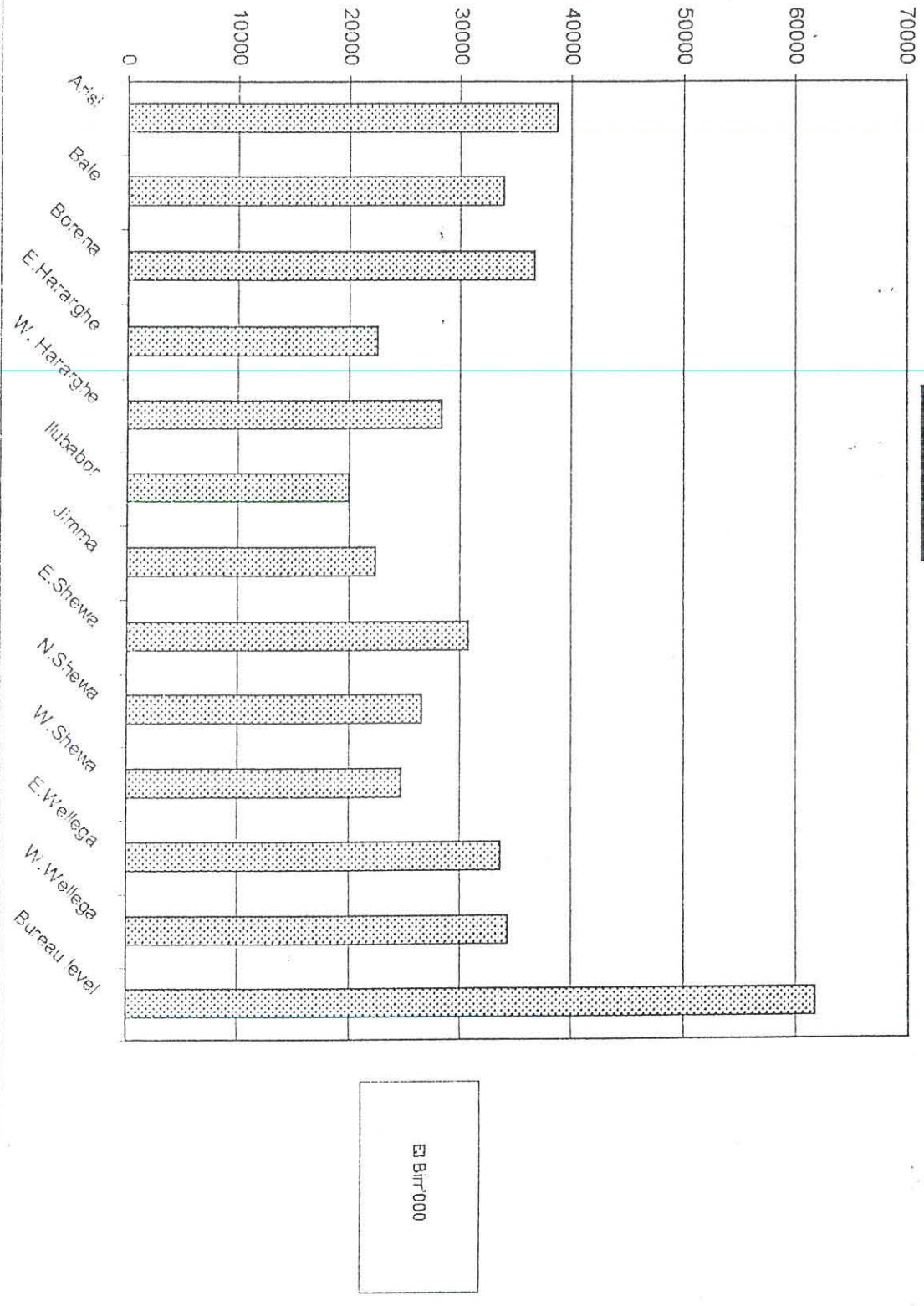
Source, Bureau of Planning and Economic Development.

In conclusion we can say that despite the existing Resources of the Region, the current level of utilization and mobilization of these resources is low. Particularly the on-going development efforts by the government are insignificant compared to both the potentials and the existing socio-economic development problems.

Fig. 4

# Zonal Capital Budget Allocation of Oromiya

(1997/98)



## CHAPTER IV

### ORGANIZATIONAL & INSTITUTIONAL FRAMEWORK FOR DEVELOPMENT, PLANNING AND PLAN IMPLEMENTATION

#### 4.1. The Need for Organizations and Institutions

International Encyclopedia of the Social Sciences (1968) defined elements of institutions “---as regulative principles which organize most of the activities of individuals in a society into definite organizational patterns from the point of view of some of the perennial, basic problems of any society or ordered social life”. Literature show that an institution comes into existence when explicit procedures are established to coordinate the objectives of a group in the interest of achieving specified objectives. Khandwalla (1977)said that “an organization is highly efficient because it can assemble and coordinate relatively large magnitudes of specialized resources under one roof, so to speak, for achieving specific objectives”.

Thus while assessing plan implementation process it is necessary to consider the whole of the organizational framework within which plans are prepared and implemented. As Diana and Peter (1986) pointed out”---one cannot consider the organization of planning without considering the whole organizational framework within which decisions are made and implemented”. Waterson (1965)stated that “The kind of planning machinery a country establishes, like the kind of development planning it adopts, depends largely on its political, social and economic institutions and its stage of development”.

For the success of a plan it is essential that the institutional arrangements be such that they are conducive to planning and implementing the proposed activities. As Agrawal

and Lal (1985) pointed out given information about resources and potentialities, the use of resources and the exploitation of potentialities are determined by two things: namely institutions and technology. They further elaborate that for plans institutions are like technology, because the two describe basically similar transformations of resources and potentialities into products. Accordingly, planners regard these two as something amenable to manipulation for the achievement of plan goals. Hence the appropriateness of institutions for the successful conduct of planning is to be seen in the way and to the entity that these enable human beings to be utilized and combined with resources as per requirements of the plan.

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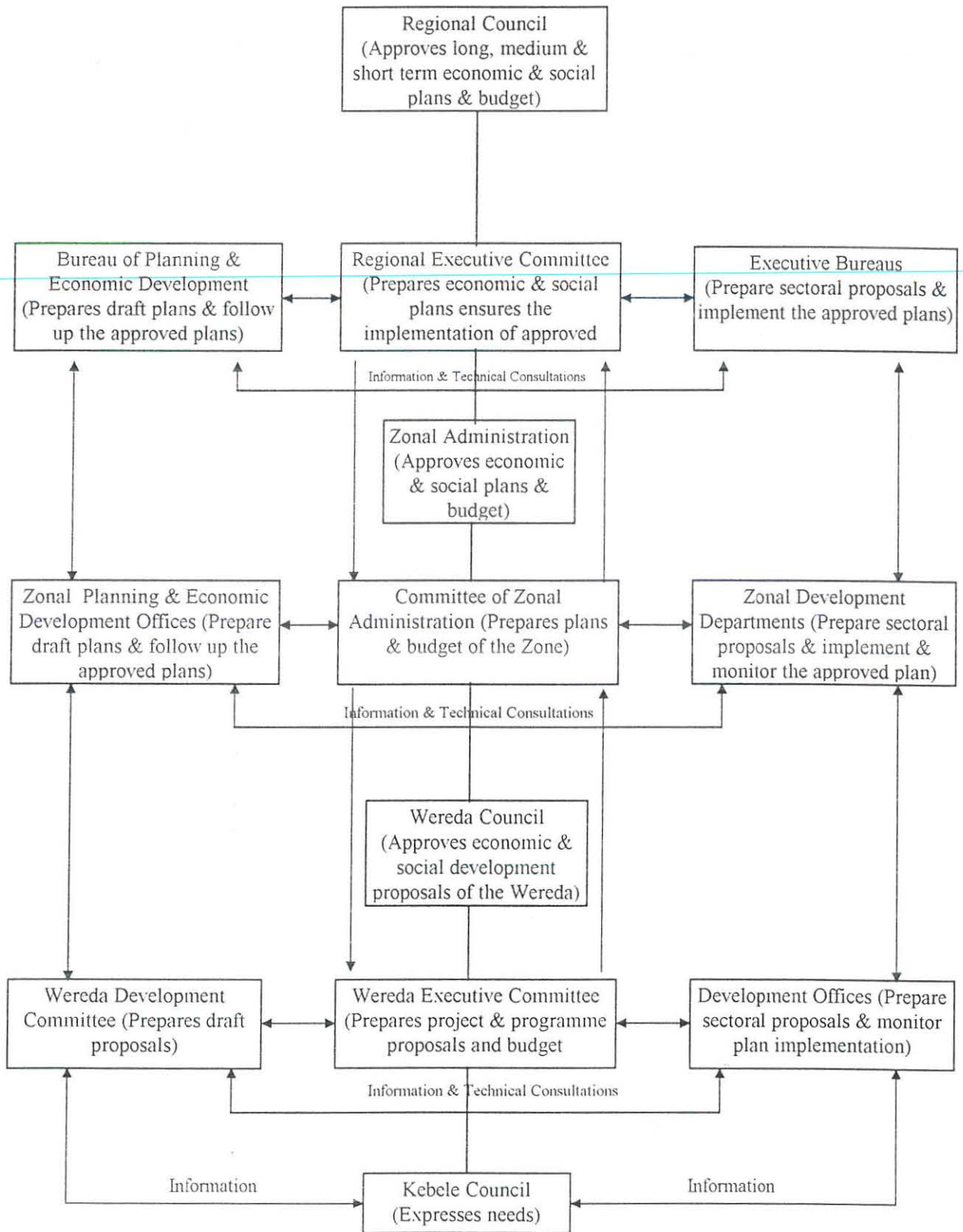
#### **4.2. Organizational and Institutional Framework of Oromiya Region**

The institutional framework of development planning in Ethiopia has been largely predetermined by the constitutional provisions concerning the legal status and prerogatives of legislative and executive bodies of the Regional states. It was clearly defined that the Councils of the Regional states, among the other duties and responsibilities, should. “Issue and implement socio-economic development policies, strategies and plans” (Article 52 of the Constitution ). Also it was defined that the Regions “prepare, approve and implement their own budgets”, and “-- levy dues and taxes”. To materialize these the Regional supreme body, the Regional executive committee shall direct, co-ordinate and supervise the activities of administrative, economic, social and cultural organizations within the jurisdiction of the region.

Regarding Oromiya Region, the over all institutional set up, i.e. the structure of institutions involved in planning activities at various levels of territorial organization of the Region, as well as their mutual functional relationships in the process of planning, are presented graphically on the next page (Fig. 5).

Figure 5

FUNCTIONAL STRUCTURE OF THE PLAN PREPARATION AND IMPLEMENTATION INSTITUTIONS IN OROMIYA REGION



Council delegated its power to the Regional executive committee elected from it. According to the constitution the powers and duties of the executive committee are:

1. *To ensure the proper implementation of policies, regulations, plans, directives and decision of the Federal Government and the Regional Council;*
  2. *To direct, co-ordinate and supervise the activities of the various establishments of the Regional Government;*
  3. *To prepare and submit to the Regional Council the social services and economic development plans and programmes of the Regional Government, and implement same upon approval;*
  4. *To prepare and submit the annual budget to the Regional Council;*
  5. *To make all appropriate efforts to develop, utilize and preserve the Regional heritage and natural resources.*
- 

Below the Executive committee four major sectors are established in order to administer different sectoral Bureaus. These are: the economic sector under which are placed Bureaus of Agriculture, Industry, Trade and Tourism, Public Works and Urban Development, Water resources, Mines & Energy, Transport & Communication, Planning and Economic Development, and Finance. The Social Sector which comprises of Bureaus of Public Health, Education, Information and Culture, Labour Affairs, C.P.A and Sports Commission. Administrative, Security, Justice and Natural Disaster Prevention Sector which coordinates and supervises Bureaus of Justice, Regional Administrative Affairs, Police Commission and R.R.C. The Political and Militia Sector, which is engaged in Regional politics and security affairs. Each major sector is headed by at least a member of the Regional Executive committee including the Regional president. The Regional Bureaus are accountable to the executive committee of the Regional Council.

At the zonal level there is zonal administration which directly reports to the Regional Executive committee. Apart from this administrative body, each sectoral executive

Bureau has a sectoral department at zonal level except C.P.A. These sectoral departments represent sectoral Bureaus and deeply involve themselves in data

collection, plan preparation, implementation, monitoring and other economic and social services activities. The sectoral departments are accountable to both zonal committees for Administration and their respective Bureaus at the Regional level.

The structure of some of the Bureaus, for instance, Planning and Economic Development Bureau, ends at zonal level. However, the major production and social services sectors extend their structure to the Wereda level. Concerning the Wereda Administration, there is a 'Wereda Council' whose members are directly elected by the people, and has an Executive committee. This Executive committee is accountable to the Wereda council. The sectoral offices at Wereda level are accountable to both Wereda executive committee and their respective departments at the zonal level.

Below the 'Wereda' Executive committee are found the "kebele council" with its executive committee at the grass-root level. Some sectors such as agriculture place development workers at a group of kebele level.

At this stage, it should be noted that responsibilities for the various tasks to be performed vary according to the level of administration. The lower the administration in the hierarchy, the less burdensome and responsibility. For instance, in the planning process, the responsibilities of the Wereda administration in terms of development is limited to project identification and proposal.

Thus, from the above discussion on the institutional framework, a number of conclusions may be drawn. Accordingly, of the essential features of the overall institutional policy that has been adapted are; (a) the decision making power remains

with the Regional Council and the executive committee, (b) the authority given to the executive committee to direct, coordinate, and supervise the activities and programmes of all enterprises and local agencies in its jurisdiction also certainly includes planning

activities, (c) the decision-making authority of the Regional Council over development planning issues is limited because regional plans and programmes (especially those executed by investment fund of the central government, foreign aid and loan) should be approved, reviewed and coordinated by both regional and central Government authorities, (d) planning agencies are required to coordinate and perform the professional and analytical tasks of planning, (e) each sectoral Bureau has specific power and duties of its own, however, all Bureaus have the power to:

- *Prepare and, upon approval, implement plan and budgets,*
- *Ensure the implementation of law, regulations and directives,*
- *Undertake studies and research, collect data and disseminate them to concerned users, and*
- *Prepare and submit periodic reports to respective higher organs.*

#### **4.3. Planning Institutions of the Region**

Concerning planning, Per Proclamation No. 41/1993, the Planning and Economic Development Bureau of Oromiya Region was established about five years ago. About eight broad and general power and duties were entrusted upon the Bureau by the Proclamation. Accordingly the Planning and Economic Development Bureau shall have the powers and duties to:

1. *Prepare and, upon approval, follow up the implementation of long-term and medium term, and short-term development plans which are based on the country's development strategy and to be executed by the regional government;*
2. *Cause the study and preparation of, and evaluate in cooperation with the concerned organs of the regional government, of projects reflected in the long-term, medium-term and short-term plans and to be executed by the regional government;*

3. *Review development plans and capital budget proposals submitted to it by the organs of the regional government and based on same, and prepare annual consolidated development plan and capital budget proposals and transfer, such consolidated plan and capital budget to the finance bureau of the region for incorporation in the annual budget of the regional government, and upon approval, follow up the implementation of same;*
4. *Prepare indicative plans with a view to encouraging the participation of the private sector in the region on the basis of the economic policy of the country;*
5. *Undertake studies and research concerning the regions production specialization and specific development potential necessary for the preparation of the region's long-term, medium-term and short-term development plans;*
6. *Elaborate plan preparation and submission forwarded to it by the Ministry of Planning and Economic Development, in a way suitable for the region, and cause the timely delivery of same to the organs of the regional government;*
7. *Collect, compile and transfer to those concerned data concerning natural resources, population, science and technology, distribution and services of the region,*
8. *Cause surveying and mapping activities, geographic studies that are necessary for the development and projects of the region to be undertaken,*

To discharge its challenging responsibilities and to fulfill its duties, the first thing for the Bureau to perform was first to establish and organize itself and its organs at two spatial levels. Accordingly and to start with, the Bureau organized itself with four technical departments. Macro Planning & programming, Production Planning, Socio-Economic Planning and Physical Planning Departments at the Regional level. However, currently, the Bureau has one more department which is concerned with women's affairs (Fig. 6).

The Planning Bureau has 15 technical teams, 4 in Macro Planning & Programming Department, 4 in Production Planning Department, 3 in socio-Economic Planning Department and 4 in Physical Planning Department. Although not yet fully manned, each team is supposed to comprise at least two professionals, one of them a team leader. Apart from these professional departments and teams, there is an

Figure 6

**PRESENT ORGANIZATIONAL STRUCTURE**  
**OF THE REGIONAL PLANNING AND**  
**ECONOMIC DEVELOPMENT BUREAU**

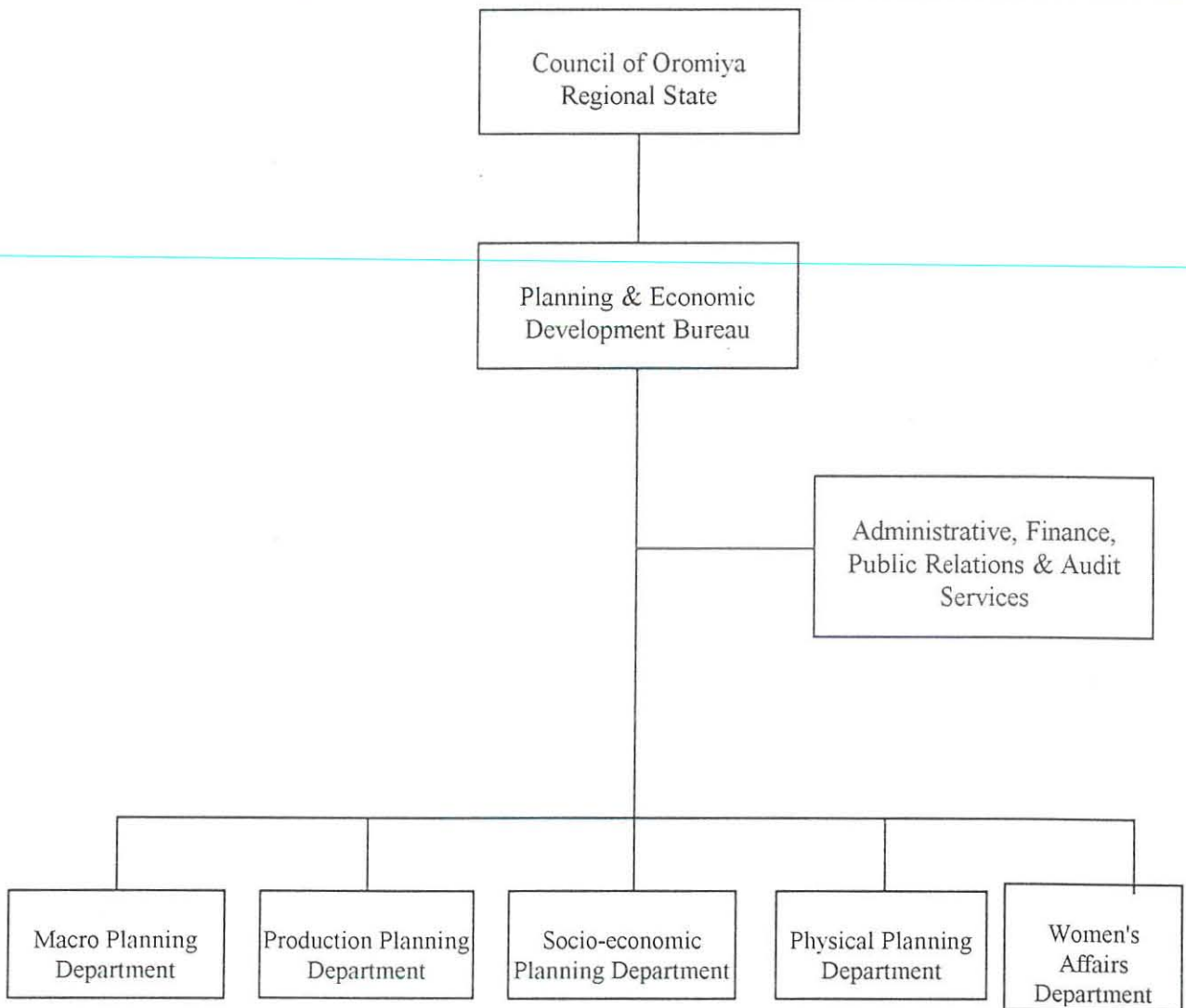
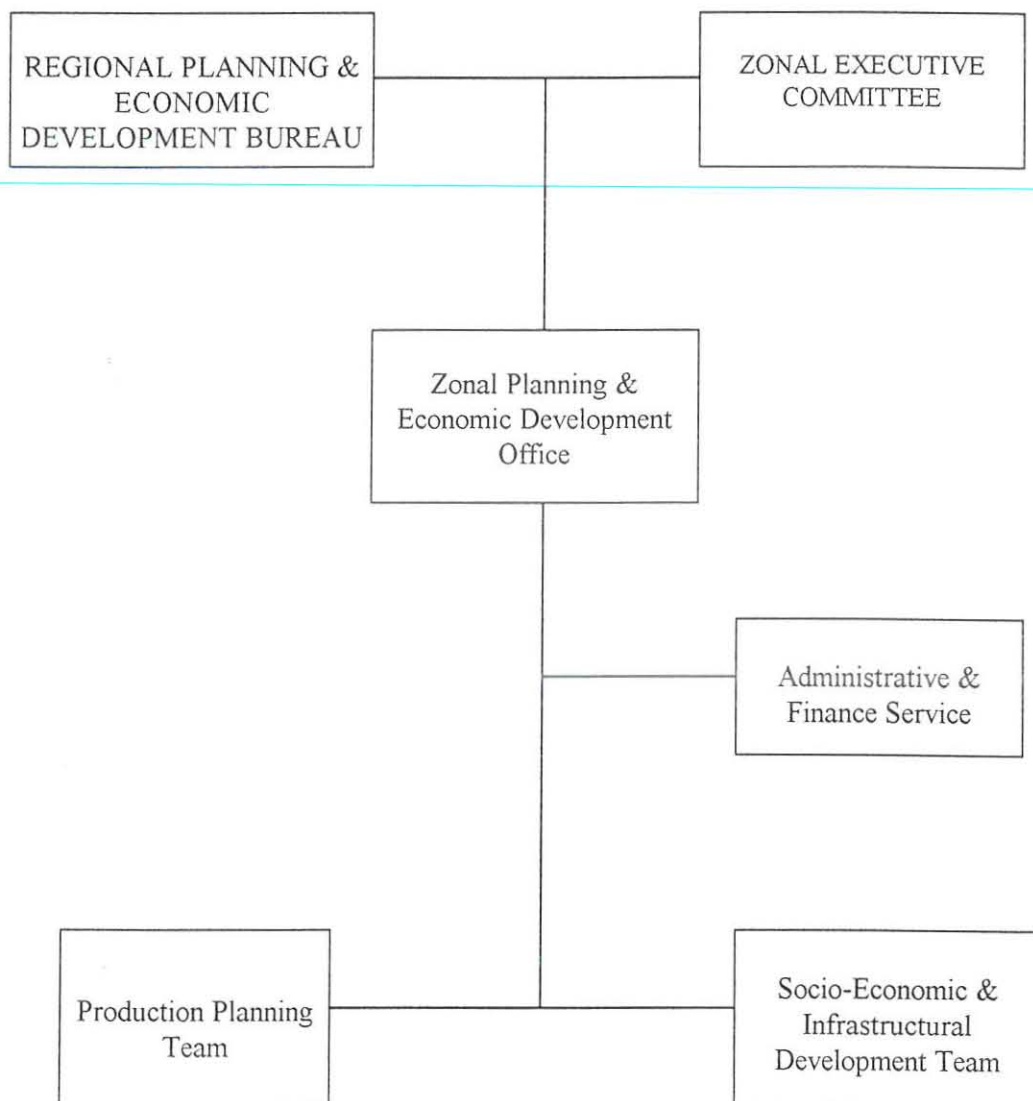


Figure 7

**ORGANIZATIONAL STRUCTURE**  
**OF ZONAL PLANNING**  
**AND ECONOMIC DEVELOPMENT**  
**OFFICE**



administrative supporting staff known as administrative and financial service. There is one Bureau head who is accountable to the Regional Executive committee. The departments and services heads are accountable to the Bureau Head.

Since the Region has 12 administrative zones, the Region's Planning and Economic Development Bureau has a Planning and Economic Development Office in each of the administrative zones. The office has two technical teams: Production Planning Team and Social and Infrastructural Development Planning Team (Fig. 7). The responsibilities of the zonal planning offices are immense since the work of plan formulations are entrusted to them along with zonal capital budget preparation, consolidation and monitoring the implementation process.

#### **4.4. Procedure of Plan Preparation and the Institutions Involved**

Regarding the overall procedure of Regional plan preparation in Oromiya Region, the strategy point of the procedure is the preliminary guidelines and development objectives such as growth, regional equity, food self-sufficiency, rural centered development strategy, agricultural led industrial development strategy and the like. These broad guidelines are issued in many cases by the Council of Ministers through relevant institutions.

Concerning the Region under consideration, at the higher level, the Executive Committee gives overall directives to its technical arm, the Planning and Economic Development Bureau in order to prepare the necessary draft plan to meet the set objective of the Region.

After receiving the necessary directives, the Planning Bureau commences its technical contacts with the relevant bodies. One of the most important contacts the Regional

Planning and Economic Development Bureau will have to establish with sectoral Bureaus and Zonal administration authorities is through a procedure of the plan usually called the 'plan call' which is usually announced during early December. Through this formal contact, plan guidelines are dispersed rather announced to sectoral Bureaus and to zonal administrative and planning offices. At the zonal level the same procedure is followed till the Wereda level.

Therefore, the initial (starting) point for the response to the 'plan call' is the Wereda. The idea emanates from the results of consultations between the Wereda development staff (committee) and the local community represented by the local officials. The project idea (proposal) at this level may not be expected to contain technical details since manpower capacities are not well developed. The proposal, therefore, may reflect only wishes of the local community in terms of, for instance, building schools, clinics, small irrigation works, construction of rural roads and the like.

The community's project ideas are thus aggregated at the Wereda level by its Development Committee, which plays the role of planning offices at the level. The draft proposal is latter on presented by the executive committee to the Wereda Council for approval. Once the preliminary tasks of aggregating programme and project ideas and approval of draft proposals at the Wereda level are completed, the documents are sent to the zonal administration committee on the prescribed plan period which is then compiled and reviewed by Zonal Planning and Economic Development Office by consulting zonal sectoral departments in order to prepare and present the draft zonal Administration Committee. The aggregated project proposals at the zonal level include (embrace) both Wereda project proposals and some projects and programmes which have inter-Wereda nature.

After the necessary revision, the zonal administration sends the approved zonal plan, rather the approved 'zonal wish' to the Regional Executive Committee and to the Planning and Economic Development Bureau for further treatment of the proposals. The Planning Bureau commences the task of revision of sectoral (mainly inter-zonal)

and zonal plan proposals submitted by the relevant sectoral Bureaus and zonal Administration in order to check the status of the financial capacity and priority.

After the necessary revision, budget hearing is scheduled to consult with the staff of sectoral Bureaus to make the necessary adjustments on investment requests by each sectoral Bureau and zonal Administration. This is followed by the preparation of the draft regional plan and budget document to be submitted to the Regional executive committee for discussion. After the discussion, the draft plan is again reviewed by the Planning Bureau. The reviewed draft plan and budget document is then submitted by the Regional Executive Committee to the legislative body, the Regional Council, for adoption at the end of June. After adoption of the plan it is submitted to the relevant Central Government authorities for eventual incorporation in the national plan document and release the budget which is allocated by the Federal Government.

Finally, through such complex procedures, the plan reaches the stage of implementation. The implementation is carried out by the executive agencies at different levels. The major tasks of Regional Planning Bureau and zonal Offices for planning during the process of plan implementation are: a) to follow-up plan implementation b) to monitor plan implementation and prepare periodical report to the decision making body, c) to propose changes in annual development plan, d) to start and perform the next annual plan and other relevant duties.

Up to now, the Region has prepared and implemented four annual development plans and currently it is in the process of implementing its first medium-term development programme. Thus to improve the performance of this plan and future plans, recent and current situations should be assessed in order to identify major bottle-necks which hinder the full realizations of the annual development plans of the Region. Remedial solutions should be suggested based on primary information through an investigation

of the development plan implementation and related processes of the Region with particular emphasis on two major sectors, agriculture from production sector and education from the social one.

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## CHAPTER V

### AN INVESTIGATION OF DEVELOPMENT PLAN IMPLEMENTATION PROCESS

As has been discussed in Chapter II, plan implementation process or the actual execution of the activities approved by the decision-makers is one of the critical, complex and difficult stages of the planning process. It mainly deals with the reality. Its main objective is to convert wishes into deeds, into tangible outputs. This very important process involves the efforts of various agencies both sectoral and non-sectoral, groups of people and individuals. From the practical point of view, there are several factors which would have direct or indirect impacts on the implementation process of any planning exercise. They range from pre-planning to post-planning conditions of a given planning cycle. However, the key issues and elements which should be adequately assessed in this critical stage include the presence of a well prepared plan, as manifested through effective plan preparation stage, the role of the planning agency, the preparation of action plans, managerial and financial authority of the executing agencies, popular participation, and monitoring of the implementation process. These will be briefly discussed in the following sections.

#### **5.1. An Assessment of Some Elements of the Plan Preparation Stage in Relation to Implementation**

Literature and experiences show that the distinction between plan preparation and implementation is not as clear cut as one might think. As Waterston(1965) remarked planning may begin with the formulation of plan as a guide to implementation, but implementation becomes, at a later stage, a guide to revision of the original plan. The whole process is organic and continuous, with plan preparation blending into

implementation, then into revision of the plan, and again into implementation and the formulation of the next plan.

Diana & Peter (1986) also expressed that because of the cyclical nature of the planning process, implementation cannot be seen in isolation from others. According to these authors constraints affecting the implementation of projects and programmes must be taken into consideration during the earlier stages of identifying and appraising alternative courses of action and, during and after the actual implementation. Waterston again (1965) wrote that “Nothing can be more parochial than restricting the planning function to the mere manufacture of plans without reference to what is needed for their implementation. Planning cannot leave off where plan formulation ends and action to execute a plan begins.”

It is therefore, undesirable to separate conceptually the preparatory and executory phases when referring to planning. For successful planning, there are various issues which could be studied in plan preparation stage. However, those which have direct impact due to their importance on the Region’s plan implementation are: presence of clear/appropriate development objectives, co-operations and consultations, definitions of resources, responsibilities and capacity assessment, and the availability of adequate information. All these would have significant impact latter on the plan implementation process. Hence, in the following paragraphs, attempts will be made to assess these elements of the plan preparation stage with the objective of identifying the impact of these elements on the process of the Region’s plan implementation.

#### **5.1.1. Presence of Appropriate Objectives**

Experiences show that the overall performance of the development planning system in any country is generally measured in terms of its ability to achieve the objectives that

are set for it by the concerned bodies. They are used for prioritizing, fixing the plan targets and evaluating the progress towards their achievement. Furthermore, they serve as a mechanism to make the necessary resources available to pursue them or the least-cost means to achieve them. They also help in choosing appropriate strategies for accomplishing the stated objectives. Thus “Objectives are an expression of the priorities of planning and their formulation represents the first main stage in the cycle of the planning process” (Diana & Peter, 1986).

Therefore, the formulation of desirable, general and sectoral development objectives should be considered as a prerequisite for both the preparation of realistic and implementable plans. Thus the concerned agencies should clearly know and state their main development objectives at the initial stage of the planning process.

Accordingly in stating the main objectives of their sector, 91% of the surveyed ZADs felt that the principal objective of their sector was economic. (Table 5) Besides, about 73% these respondents pointed out that it also includes environmental while about 36% considered as social also. One ZAD indicated that the objectives included political motives. What we can say from ZADs responses is that since their sector is production oriented they are all aware of their main objectives which is economic. As some of them stated the sectoral development could have also other related objectives, such as environmental development from the agricultural development point of view.

Indicating the main objectives of their sector, nearly 91% of the ZEDs expressed that it is social (Table 5 ). Only one ZED indicated it as economic while the other one said that it also included environmental objective.

## Summary of the Responses for the Main Sectoral Objectives

Table 5

No	Objectives	Number of Markings	
		ZADS	ZEDS
1	Economic	10	1
2	Social	4	10
3	Political	1	0
4	Environmental	8	1

Source:- Field Survey, 1998.

Hence both sectors could be considered generally as the sectors with clear development objectives, one is mainly aimed at accelerating economic development and the other at a social development. Thus, as has been already stated this condition will enable not only the preparation but also the evaluation of the implementation process and in assessing other inputs required for the success of the plans.

### 5.1.2. Co-operations and Consultations at the Plan Preparation Stage

Plan preparations require adequate co-operation, consultations, and inputs from local officials, professionals, and members of the public which is manifested mainly in the exchange of the necessary information. It is important to design procedures in the preparation stage to meet these needs. As Bryant and White (1982) pointed out co-operation and early consultation at the preparation stage can avoid unnecessary and costly mistakes. Thus the co-operation and consultation of the concerned agencies in the plan preparation process should be considered as pre-requisites for plan implementation because absence of co-operation results information gap that will negatively affect the implementation process. Similarly lack of consultation among

others brings about duplication of activities and wastages of resources and makes the whole system in effective.

In this regard, the role of the planning agencies at the sectoral plan preparation stage should be the provision of technical advice and assistance which latter on will enable the smooth consolidation of the projects and programmes in the development plans. In relation to this, the survey indicated that all ZPEDOs felt that they provided technical support to the concerned sectoral departments while they prepare their sectoral plans.

While providing technical assistances to the concerned sectoral agencies, the planning agencies should also receive adequate cooperation from all the concerned bodies. These bodies should particularly cooperate in providing all the necessary information required for plan preparation. The survey showed that 75% of the ZPEDOs received adequate co-operation from zonal Administration. Some 67% also said that they received such support from Regional Planning Bureau, while 75% also expressed that sectoral departments were adequately co-operative in preparing zonal plans. However, five out of the twelve ZPEDOs indicated that the support they received from sectoral departments were inadequate. This alone will clearly show that there is significant information gap between the planners and the sectoral Departments at the plan preparation stage which will certainly latter on affect the plan implementation process particularly in mobilizing the necessary resources and co-ordinating the activities for the successful implementation of the projects and programmes.

Similarly the ratings of the support ZADs and ZEDs receive from the concerned agencies in preparing their plan also vary. For instance, more than one-half of the respondents from both sectors said that the support they received from ZPEDOs, Regional Bureaus of their respective sectors, zonal Administration, other sectoral departments within the zones, and their branch offices at Wereda level were on

average “good”. Except for other sectoral departments, some of the ZADs and ZEDs rated the supports from the rest of the agencies as “very good”. This shows that even though most of the departments rated the supports on average as “good” there were differences in the way they received the necessary supports from the concerned bodies at the plan preparation stage. From the experience, it has been observed that if sectoral agencies do not get adequate support from these bodies, certain problems will be arisen during plan implementation stage, particularly in coordinating the available resources to be mobilized for proper plan execution.

Another important relation which should be established during the plan preparation stage are the series of consultations made by planners with concerned bodies at all levels. The results of the survey revealed that out of those who consult the relevant institutions for plan preparation 10 consulted the Wereda Council, 9 discussed with zonal administration, 9 again with Regional planning Bureau and 7 had talks with the people at the grass-root level. Some ZPEDOs stated that they also consulted NGOs, the beneficiaries, Wereda Sectoral Offices and other funding agencies during the plan preparation stage. However, none of the ZPEDOs consulted either the sectoral Bureau at the Regional level nor the Regional Council. This also shows that not all ZPEDOs consult all the concerned bodies at this important stage of the planning process.

For the successful sectoral plan and project/programme implementation all the concerned agencies who are likely to be involved in the implementation process should also be consulted during the preparation stage. This will, indeed, facilitate the coordination of the sectoral activities and smoothen the process of plan implementation. However, the survey indicated that 66% of each Department believed that agencies/departments who were likely to be involved in the projects/programme have been consulted while preparing the plan. About 36% of each Department stated that they only consult some of the agencies at that stage. This

is an indication of the gap in the exchange of the necessary information among the concerned bodies in the sectoral plan preparation stage which might have its own impact on the implementation process, particularly in organizing and managing the proposed activities.

In developing countries such as ours, development efforts in a given geographical area should be coordinated in order to minimize the wastages of scarce resources. The development plans should also be comprehensive enough for the rational allocations of these resources. However, the survey reveals that the annual development plans of the zones, even that of the Region, do not embrace the activities of the agencies which are directly controlled and administered by the Central Government. Most of the activities of these agencies are related to infrastructural development, such as energy, telecommunication, postal services, the construction of highways, the development of higher educational institutions and the like. This shows that ZPEDOs, sectoral departments and even the Regional Bureaux and Council are unaware of the development activities which are carried out in the Region which they constitutionally supposed to administer. This will really create problems in co-ordinating and mobilizing the necessary resources during the plan implementation process and it will also induce duplications of activities and efforts within the same locality.

### **5.1.3. Definition of Resources, Responsibilities and Capacity Assessment**

A well prepared and implementable plan should indicate total resources required for plan implementation, chart out which agency and official is responsible for each function and indicate who will carry out each task and define adequately the responsibilities and evaluate the capacities before assigning the tasks and consolidating the proposed projects and programmes in the annual plans. The lack or partial absence of basic inputs, proper assignment of the responsibilities and

evaluation of the existing institutional capability to implement the proposed activities will affect the mobilization and co-ordination of the scarce resources while managing the implementation process. Concerning this critical aspect, the survey revealed that nearly 92% of the ZPEDOs believe that their annual development plans only partially indicate the necessary resources required for plan implementation. Even some went on saying that only financial resource is indicated in the plan document as the only input. This has been confirmed while assessing plan documents which were prepared and sent to the Regional Planning Bureau. This shows that not all the necessary resources are included or known in the plan document. Absence of such knowledge will increase the degree of uncertainty in implementing the projects and programmes.

Concerning the definition of responsibilities, seventy five percent of the ZPEDOs felt that the plans prepared by their offices charted-out which agency and official is responsible for each function and who will carry out each task. Two of the ZPEDOs indicated that their plans only showed responsibilities partially. Only one ZPEDO responded that the plan documents did not indicate such responsibilities. Thus, as a legal document, the zonal plans do not fully assign responsibilities to the concerned bodies. Thus, this further aggravates the problem of uncertainty in plan implementation process.

The survey also indicated that 78% of the ZPEDOs who responded that the annual zonal plans prepared by them chart-out the responsible agencies (58% of the total) said that they define the responsibilities to the extent of denoting the official (agency) responsible for control (directing) the project/programme. Besides, some 50% of the total indicated that their plans denoted contact officials (agencies) who were responsible for implementing. This by itself shows that to some extent there is a problem of defining the responsibilities of all the concerned bodies before the implementation process commences. The sectoral plan document should also contain the above very important information which facilitate the implementation process. For

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instance, the sectoral plan should chart out which agency or official is responsible for the implementation of specific sectoral project/programme. In relation to this, the survey revealed that 75% of ZADs and 64% of ZEDs think that their plans spell out the responsible bodies for projects / programmes implementation. However, considerable proportion of both sectors (23%) state that their sectoral plans do not show such responsibilities. Only 9% believed that their plans partially showed the responsible agencies. Thus, this indicates that the plans of some 32% of the Departments do not properly indicate the agency or official responsible for the implementation of specific project/programmes. This postpone the assigning of the responsibilities to the plan implementation process, which will bring about the increase in the degree of uncertainty in executing the proposed activities.

In the preparation of sectoral plans, charting out of the agency or official responsible for the implementation of specific projects/programmes alone is not sufficient. The extent of the responsibilities should also be adequately defined. The survey indicated that out of 15 Departments who say their plans chart out the responsible agencies, 67% of them (46% of the total) expressed that they define the responsibilities to the extent of denoting contact officials who are responsible to carryout (implement) the project/programme. About 32% of the total Departments stated that they defined to the extent of denoting the official responsible for control (directing) the project or programme while only four Departments pointed out that they defined the responsibilities to the extent of denoting supervising official of the project/programme. This also shows that even though more than one half of the departments believe that their plans chart-out the responsible bodies for smooth implementation of specific projects, they considerably vary in defining their responsibilities. This will certainly again create some problems during the implementation stage. Thus, the sectoral plan documents lack adequate definitions of the responsibilities of the concerned bodies which will take part in the implementation process.

Another very important aspect which should also be considered while assigning responsibilities of the concerned bodies is the task of capacity assessment of these responsible bodies. Accordingly, slightly more than on-half (58%) of the ZPEDOs expressed that they evaluated the capacities of the concerned bodies before incorporating the proposals in the annual plans while some 33% partially did it. Only one ZPEDO responded that there was no such an activity in the plan preparation stage of its zone. This also shows that to a certain extent there is a problem of assessing the capacities of those implementing bodies before consolidating sectoral plans in the zonal plans. Even those who said that they evaluated the implementing agencies capacity significantly vary in stating the mechanisms to realize that. One ZPEDO indicated that only available machineries were considered while another said manpower alone was seen in the capacity assessment. Past implementing capacity (performances) of that particular sector was also used as a mechanism for capacity evaluation by two ZPEDOs. Available vehicles were also considered as an important aspect for evaluating the capacities of the implementers by some offices.

From the sectoral perspective, about 36% of the two Departments said that they assess the capacities of the responsible agencies, while contrarily some 27% of them indicated that they do not assessed the capacities. Only 42% say that they partially carry out the task of capacity assessment. This shows that considerable proportion of the Departments assign responsibilities with little or with out considering the actual capacity of the responsible agencies, which further aggravates the problems of uncertainty in the implementation process.

Even though only 36% of the Departments said that they assessed the capacities of the responsible agencies, the mechanisms they used considerably differ from zone to zone and from department to department. However, commonly they assess the capacities by:

- Assessing the available man-power of the agencies,
- Assessing their organizational structure,
- Reviewing their past performances,
- Discussing with the concerned agencies, and
- Reviewing their actual work-load and facilities.

#### **5.1.4 The Availability of Quantitative and Qualitative Information.**

The collection and analysis of data play a very important role in planning because----- planning is a process of decision-making and decisions cannot be made without at least a certain amount of information (Diana and Peter, 1986). Waterston (1965) also states that data are used not only as guidelines in the preparation of plans but also as operational controls to assure that in each area and at each economic level action is taken in accordance with the plans laid down. Thus information should be adequately collected, processed and stored for planning to succeed. However, planning in most developing countries is severely handicapped by widespread lack of information. Particularly lack of adequate information at the plan preparation stage means that the plans are poor because as Agrawal and Lal (1985) said planning consists in part of organizing information itself. Thus poor plans which are prepared based on inadequate information on various aspects will certainly result poor implementation. The reasons for the lack of information are many which among others include: poor communications among the agencies, low level of recognition for the role of information, lack of resources and weak organizational machinery.

Accordingly, in this survey the availability and the reasons for the lack of basic information for preparing the plans have been assessed Out of those eleven ZPEDOs who responded that lack of basic information as a constraint, about 91% of them believe that lack of resources (including money and man-power) and technology

available for the collection, analysis, presentations and storage of data are the major factors. Low level of recognition for the role of information in development was rated second while poor vertical and horizontal communications with and between the concerned bodies stood third. Finally, weak organizational machinery for collecting, analyzing, storing and disseminating data/information was thought to be the reason for lack of the basic information.

Similarly, in order to prepare and implement sound sectoral plans, there should also be adequate information. During the survey, when the responses for the availability of quantitative and qualitative information was examined, most of the respondents (45.45%) of the two sectoral Departments marked the rating “fair” and 31.82% as “good “ (Table 6). And hence, since more than 54% of the respondents marked the ratings as “poor” and “fair” it could be again said that the sectoral plans of the Region suffer from the inadequacy of qualitative and quantitative information.

#### **A Summary of Responses for Qualitative and Quantitative Information Availability**

Table 6

Rating	Frequency	Percent
poor	2	9.09
fair	10	45.45
good	7	31.82
very good	3	13.64
Total		100.00

Source:- Field Survey, 1998.

According to a summary of causes to the problem, those twelve Departments (eight from ZADs and four from ZEDs) who felt the availability of information as “fair” or “poor” thought that the lack of resources (including money and man-power) and

technology available for the collection, analysis, presentation, distribution and storage of data was a major cause that affected information availability. Weak organizational

machinery for collecting, analysis and storing data have also some weights although the comparison is in absolute terms (Table 7). Charles Spearman's rank correlation was also applied to see whether there were "some common cause" (Shukal and Gulshan, 1986) for the lack of information in the two sectors. The calculated coefficient of correlation (0.95) reveals that there is a very strong association between the ranks and hence the causes for the lack of information in both sectors, ZADs and ZEDs ( Appendix C ).

### A Summary of Reasons Indicated by Respondents

Table 7

Reason	Number of Markings		
	ZADs	ZEDs	Total
1. Poor vertical & horizontal communications with the concerned bodies	2	2	4
2. Low level of recognition for the role of information in development activities	2	1	3
3. Lack of resources and technology available for the collection, analysis, presentation, distribution and storage of data	8	4	12
4. Weak organizational machinery for collecting, analyzing and storing data	4	3	7

Source:- Field Survey, 1998.

## 5.2. The Preparation of Action Plans

In order to properly manage the sectoral plan implementation process and carry out monitoring activities, the concerned sectoral agencies are expected to prepare action plans (work-plans) which shows the plan implementation schedule and other necessary information. They should reach the planning agency at the initial stage of plan implementation. The survey revealed that less than one-half of the ZPEDOs (42%) received action plans from the concerned bodies (sectoral departments). This implies that ~~58% of these Offices monitor the progress of project or programme implementation without having clear work-plan from all the concerned bodies.~~ So, if this is the case, how can one really say the progress is on the right track or not? Not only this, the survey also indicates that even there is confusion in identifying the appropriate agency which is responsible for preparing the action plans. Some said that the Regional Sectoral Bureaus. Others indicated zonal sectoral departments were responsible for the preparation. One-third of them responded that the Regional Sectoral Bureaus and zonal sectoral Departments jointly prepared the action plans. Only one ZPEDO stated that sectoral departments and the project implementing agencies were responsible for preparing the action plans, which are the right agencies for preparing the action plans. This implies that most of the action plans are not prepared by the appropriate bodies and hence they lack some information such as the considerations of the capacity of the implementing agencies which is very crucial for the successful implementation of the plans.

Regarding the contents of the work plan the survey indicated that nearly 92% of those who responded agreed that time frame is the first aspect shown in the action plans. Some 75% believe resources, such as finance, equipment, etc. are other aspects included in the work-plans. One-half of the ZPEDOs indicated that activities and the

output expected from each activity form part of the action plan. However, none of the ZPEDOs indicated personnel/staff body involved in the actual implementation process. In rating the quality of the work-plans, one-half of the ZPEDOs rated as “fair” one-third of them as “poor”, only two ZPEDOs rated them as “good”. This shows that at least one-third of the ZPEDOs is not satisfied with the contents of the

work plans. Thus the “poor” action plans will most probably lead to both poor implementation management and poor implementation of the projects and programmes.

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In relation to this important precondition, the two sectoral Departments said that they send the necessary action plan to ZPEDOs. However, what matters is the contents of the action plans which are prepared by these Departments.

In principle as indicated above, they should have indicated the necessary information for plan implementation and monitoring activities such as activities and output expected from each activity, staff body involved in the actual implementation process, time frame and the necessary resources (finance equipment etc.). Most of the respondents (86%) expressed that the action plans show activities and output expected from each activity and time frame. Some 59% said that the contents of the action plans also indicated the necessary resources, such as finance equipment, etc. and nearly 45% pointed out that staff body involved in the actual implementation process formed part of the contents (Table 8). Generally, the responses indicated that there is certain variation in including or excluding the necessary items in the contents of the action plans. This shows that not all action plans include the necessary information which will fully facilitate both monitoring and implementation management processes.

## Summary of Responses to the Contents of the Action Plans

Table 8

Contents	Number of Markings		
	ZADs	ZEDs	Total
Activities and output expected from each activity	9	10	19
Personnel/staff body involved in the actual implementation process	3	7	10
3. Time frame	9	10	19
4. The necessary resources, such as finance, equipment, etc.	7	6	13

**Source:-** Field Survey, 1998.

### 5.3 Managerial & Financial Authority of the Executing Agencies

An important feature that should be considered in implementing plan is the authority of the implementers. Implementers need to have authorities to manage the implementation process, mobilize financial resource and deal with contractors. In the survey, the question was asked whether the heads of the Departments have an authority to set-up their own management team required for the speedy and effective execution of the projects, programmes. Accordingly, about 73% of the Departments responded “yes” contrarily, nearly 23% stated “no” while one ZAD did not respond to the question. This shows that to some extent there is a problem of having an authority to manage the implementation process effectively, at the zonal level in both sectors. An authority to set up management team by itself is not sufficient to bring about speedy and effective execution, but also the necessary budget should be at their disposal to facilitate the execution of the projects or programmes. The survey

indicated that about 73% of the Departments did not fully have the necessary budget at their disposal. Only 9% of them believed that they had the necessary budget, while 18% pointed out that they did not have financial resources to execute the projects and programmes. The total or partial absence of the necessary budget, where it is more needed, would really affect the timely execution of the projects and programmes. Thus, all sorts of problems associated with the budget such as delays in payments, purchases and the like will certainly affect the time table of the action plans if the required budget is not available “when” and “where” it is badly needed for project and programme executions.

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The already mentioned lack of the necessary budget has also been reflected when the question was asked whether the sectoral Departments have an authority to give the projects to the contractors if the need arises. One-half of the Departments said that they had such an authority, while the remaining one-half stated that they did not totally or partially have an authority to give the projects to the contractors. This further aggravates the problem in the implementation process particularly in relation to the time for execution of the projects and programmes. This calls for the urgent need for the decentralization of an authority for the management of the implementation process.

#### **5.4 Co-operation Among the Concerned Agencies**

Another very important aspect that should be taken into account in the implementation process is the co-operation of all the concerned bodies. Particularly the execution of development projects, programs may depend on the availability of adequate co-operation among the concerned institutions. This may involve the establishment of various relations during the implementation process and take different forms such as technical assistance, negotiation functions, seeking advice, exchange of the necessary information and the like which will smooth the implementation process. Concerning

this important aspect, the survey showed that some 59% of the Departments believed that all the concerned government organizations are willing to co-operate while executing the projects and programmes. Nearly 30% of them get such co-operations from some such organizations. Even though those who said that they received such cooperation from the concerned bodies are above average, considerable proportion of the concerned organizations are not willing to co-operate in executing the projects or programmes. This could also be a bottleneck while mobilizing the necessary resources for the smooth and timely plan implementation and aggravates the problem of duplications of activities.

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### **5.5. Popular Participation**

As Mesfin (1991) pointed out “Development only comes when we start dealing with real and felt problems identified by the people- the communities themselves-and solution are formulated with the full and active participation of the same people.” Within the context of planning, Lassey (1977) said that “ Participation involves doing as well as talking and there will be full participation only where the public are able to take an active part throughout the plan making process”. Generally, literature on the subject show that the list of alternatives represents a range of participation from the passive receiving of information to highly active participation in the political decision making process associated with planning. In order to realize this, there should be certain mechanisms to involve the people particularly in the plan implementation process in addition to that of the preparation stage. Concerning this important input, the survey showed that 92% of ZPEDOs believe that they had certain mechanisms to involve popular participation. However, in rating this participation six of the ZPEDOs said that popular involvement was “good” while four of them expressed it “fair” and one as “poor”. An open-ended question was also asked about the mechanisms used to involve the local people in plan implementation. Even though there are differences in

the listing of the mechanisms to involve the people in plan implementation most of the ZPEDOs agreed on the following mechanisms:

- Providing locally available construction materials and labour for construction works,
- Providing the required land where the projects are going to be located,
- Being sources of information for plan implementation,
- Contributing some money for some projects,
- Monitoring the progress of the projects and programmes through their representatives.

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Thus from the above mechanisms used by these offices it could be said that there is little popular participation in decision making. In relation to this, the reasons for “fair” or “poor” participation of the people were also assessed in the survey. Out of the five respondents or about 42% of the total ZPEDOs, three of them indicated that lack of awareness was the major problem. To a lesser extent other reasons such as absence of conducive condition for agitation, weak organizational structure, past failures in implementing development promises by the Government, too much politicization of development efforts and missing sense of belongingness are also marked as factors which affected popular participation in local development, particularly in development plan implementation. Interestingly, one ZPEDO pointed out that there was no popular participation, particularly in project implementation, because most of the projects were given to the contractors at implementation stage, thus there was no room for the people to participate. Generally, the above assessment clearly shows that there is certain problem in involving the people in the implementation of the development projects and programmes, which are embraced in the plan.

Similarly, participation as input must be properly used in the implementation process by the concerned sectors. The survey revealed that 86% of the total respondents

thought people's participation as an important input in their plan implementation. However, three of the ZEDs stated that they did not consider people's participation as an important input in plan implementation. From the practical point of view, a social sector which does not mobilize or which does not seek public co-operation at this critical stage of the planning process will certainly lack a very important ingredient for its successful implementation. If the projects are implemented without popular participation they will certainly face some difficulties when they fully become operational, i.e, there will be lack of sustainability of the implemented projects.

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Believing in the people's participation as an important input in plan implementation activity is the first step towards incorporating people's effort in the execution of projects/programmes. However, sectorally, there should be certain mechanisms to involve the people in development efforts, particularly in sectoral development plans implementation. The survey indicated that those 19 Departments who said that they thought people's participation as an important input, differ in the listing of the mechanisms they used to involve the people. However, the common mechanisms they usually use include:

- Agitating the people to take part in the project and programme implementation and making them aware of the development efforts by explaining the benefits of the projects/programmes, which are in the process of execution.
- Making them identify priority area before the actual implementation through discussions at the grass-root level,
- Holding various meetings with the concerned beneficiaries when problems arise in the implementation process in order to seek solutions,
- Providing training programmes which will enable them participate in development activities,
- Establishing community project implementation committee at the grass-root level,

- Inviting the people via Wereda Council to make them participate in the construction activities,
- Letting the community participate in educational management (in the case of ZEDs) at different levels,

Thus the mechanisms used to involve the local people in plan implementation in the two sectors is in a better condition compared to the mechanisms used by ZPEDOs even though it is not as such formally institutionalized. However, currently there is an attempt to re-establish co-operatives in rural areas which might be used as an organization at the grass-root level.

Besides, the mechanisms used, another question was raised in order to further analyze popular participation. The question was related to whether the people really were willing to participate through the above mechanisms to involve in the implementation process. Even though it is very difficult to judge peoples participation from these agencies, about 68% of those who responded or 59% of the total Departments believed that people were willing to participate in the implementation of projects and programmes while 41% of the total said that people were only “sometimes” willing to take part in project/programme execution. This indicates that there is some variation in the degree of willingness. As shown in (Table 9) one half of the respondents rated popular participation as “poor” and “fair”, the remaining one-half as “good” and “very good” which shows certain agreement with the above statement.

## A Summary of Responses for Popular Participation

Table 9

Rating	No.of Markings	Percent
poor	1	4.55
fair	10	45.45
good	9	40.91
Very good	2	9.09
Total	22	100.00

**Source:-** Field Survey, 1998.

Reasons indicated by some of the sectoral departments for lower popular participation in development efforts of their localities include mainly lack of awareness and past failures in implementing development promises by the Government (Table 10). Spearman's rank correlation was also applied to see whether the two sectoral Departments feel commonly the pressure of the problems. The coefficient (0.32) even though it shows moderate association, indicates that to a certain extent the weights of the causes of the problems in the two sectors are associated (Appendix). Thus from the above assessment we can say that the Region's plans do not adequately involve popular participation. In order to improve this condition, institutionalization of this input may be used as a strategy in addition to that of genuine agitation.

**Summary of the Responses for the Reasons of Lower Popular  
Participation in Plan Implementation**

Table 10

Reasons	Number of Markings		
	ZADs	ZEDs	Total
1. Most of the projects/programmes do not reflect the real interests of the people	2	0	2
2. No conducive conditions for agitation	2	1	3
3. Lack of awareness	6	3	9
4. Missing sense of belongingness	1	3	4
5. Too much politicization of development efforts	1	1	2
6. Past failures in implementing development promises by the Government	3	3	6
7. Weak organizational structure	2	0	2

**Source:-** Field Survey,1998.

### **5.6.The Role of the Planning Agency in the Implementation Process**

Since there is no clear demarcation between the activities of plan formulation and implementation, the planners role in plan implementation process is also required at various stages of this process. Their major tasks during plan implementation have indicated in (Table 11). The survey indicates that all the ZPEDOs felt that their major task during plan implementation is the establishment of coordination mechanisms. Nearly 92% of them believe also that their major task involves the establishment of monitoring and evaluation systems and reporting the progress of the plan. Besides,

about 83% of the ZPEDOs expressed that they engaged in the establishment of a system of information flows for plan execution, and 75% of them thought that they establish budgeting systems. One-half of the ZPEDOs stated that they also design a timetable of events and only one-third of them design resource flows. What we can clearly observe from the last sentence is that the role of the planning offices both in designing a time table of activities and resource flows is considered as some what secondary compared to the previous ones. Thus, this will naturally create certain gap when the planner carries out the task of monitoring the progress of the planned activities in the implementation process.

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**Summary of the Responses for the Major Tasks of the  
Planning Offices**

Table 11

Major tasks	No.of Markings	%
1. To establish coordination mechanisms	12	100
2. Establishing budgeting systems	9	75
3. Designing a time table of events	6	50
4. Designing resource flows	3	25
5. Establishing monitoring and evaluation system	11	92
6. Establishing system of information flows for plan implementation	10	83
7. Reporting the progress of the plan	11	92

**Source:-** Field Survey,1998.

The survey indicates that even though most of the ZPEDOs stated that they started to involve in the plan implementation process by establishing co-ordination mechanisms and end-up by reporting the progress of the plan, there are differences in ordering the activities in logical manner. From this we can say that they do not involve in the plan implementation process in a systematic way. Thus, problems associated with wastage of time, effort and the like may take place in the process.

As a planning institution, many more tasks are expected from the ZPEDOs. They should adequately facilitate the smooth operation of the implementation process. The survey revealed that most of the ZPEDOs facilitated this process by:

- Disseminating the approved projects and programmes to sectoral departments,

- Announcing the capital budget allocated for each sectoral department,
- Co-ordinating different sectoral departments for action,
- Agitating the concerned agencies for action in implementing their plans as per the action plans,
- Ensuring timely bid processing and site hand-over,
- Securing timely flow of project documents and budget,
- Providing technical assistance which will facilitate the implementation process,
- Making regular contacts with the implementing agencies for discussing on the progress of the plans,
- Monitoring the progress of the activities,
- Suggesting actions to be taken when problems arise in the process of execution,
- Preparing an over-all timely progress report to be submitted to the decision makers and to the Regional Planning Bureau, and
- Providing all the available and necessary information, which could facilitate the implementation process.

The above listing shows that even though ZPEDOs have limited capacities in terms of manpower and facilities they undertake wide range of activities that contribute to the execution of zonal plans.

### **5.7. Monitoring the Implementation of the Plans**

The task of monitoring involves the collection of information about implementation while it is in progress. As Bryant and White (1982) indicated the emphasis is on continual feedback about the ways in which resources are used and the manner in which implementation is being conducted. These information should be constantly fed-back to those people involved in the plan/project so that immediate changes and adjustments can be made. While monitoring, aspects such as reliable source of

information, reporting, mechanisms to correct deviations, resource and other constraints which hinder the implementation of activities should be adequately examined.

### **5.7.1. Sources of Information and Aspects Considered**

One of the major tasks of the planner in the implementation stage is to monitor the progress of the plan to ensure that the implementation is proceeding according to the approved plan. The planner has to provide progress report and inform the decision making bodies that the progress of the projects follows the proposed schedule or not. However, in order to carry out this duty and responsibility, there should be a system of monitoring the progress of the plans or projects and programmes. In relation to this, the survey revealed that all ZPEDOs and 96 % of the sectoral Departments felt that they had a system to carry out monitoring activity during the plan implementation process. As has been previously pointed out, this has its own positive impact on the implementation process particularly in correcting deviations.

In order to undertake monitoring activity there should be the necessary information from reliable sources. The more the information sources the better the decision to be made. All of the ZPEDOs agree that their major sources of information for this purpose are two: field observations and progress reports from the operating agencies. One -half of the respondents also expressed that they used monthly review as an information source, too. One-fourth of them pointed out that they get additional information by conducting case studies while five ZPEDOs carried out rapid assessments to obtain the necessary information. To a lesser extent some ZPEDOs said that they also used the following methods to get information for monitoring the progress:

- Monthly reports from the Wereda Project Committee,
- Weekly review meeting with the zonal project committee,
- Telephone call to the operating agencies, and
- Construction reports from the Zonal Labour and Urban Development Department.

From the sectoral point of view, all those who have stated that they had a monitoring system said that the field observation was a major source of information followed by the progress reports from operating units. Nearly 48% of the Departments pointed out that monthly review was also another source of information for monitoring the progress. Some 24% of the respondents indicated that "rapid assessments" were used as an additional source of information when the need arise (Table 12). This demonstrates that there are varied sources of information for monitoring the progress of plan implementations.

### Summary of Responses for Sources of Information

Table 12

Sources	N <sup>o</sup> of Markings		
	ZADs	ZEDs	Total
1. Field observation	10	11	21
2. Progress reports from operating units	10	9	19
3. Rapid assessments	2	3	5
4. Monthly review	7	3	10

**Source:-** Field Survey,1998.

However, what matters is the quality and timeliness of the reports prepared out of the information obtained from the above sources. The Regional Planning and Economic Development Bureau says that it does not receive the reports on time, and even some of the reports exaggerate the accomplishments of the concerned sectors which is really misinforming the decision makers. This issue has been repeatedly raised during mid-year review of the progress of the annual plan implementation of the Region in the month of February 1998. According to the Regional Planning Bureau, still some sectoral Bureaus continue to feed wrong information to the Regional Council and the Planning Bureau concerning their accomplishments.

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Regarding the major aspects which are considered while monitoring the progress of projects and programmes, nearly 92% of the ZPEDOs said that they monitored financial and physical performances, time and problems encountered as major information. Some ZPEDOs went on stating that aspects such as quality of physical works (in the case of construction works), efforts so far made to alleviate the previous problems, on site suggestions of possible solutions, and sometimes environmental impact of the projects/programmes are some more tasks which are undertaken by their offices.

The survey also indicated that both sectoral Departments considered some aspects while monitoring the activities. Most of them, 91% stated that they mainly focus on expected outcomes/outputs of the projects/programmes which is followed by the assessment of the problems encountered in the process of implementation. Next comes (77%) information on the physical inputs while budget expenditure is used as an aspect by 73% of the Departments. From the number of markings, it could be noted that there is no major variation among the Departments in considering the aspects (Table 13). Moreover, some ZEDs also included other aspects such as quality of materials and works done and actions to be taken to correct mistakes.

## Summary of Responses for Aspects Considered while Monitoring

Table 13

Aspects	N <sup>o</sup> of Markings		
	ZADs	ZEDs	Total
1. Budget expenditure	9	7	16
2. Physical inputs	9	8	17
3. Expected outcomes/outputs	10	10	20
4. Problems encountered	10	8	18

**Source:-** Field Survey,1998.

### 5.7.2. Reporting

Reporting is one way of organizing information concerning the progress of the implementation which will facilitate the decision making process. All the concerned bodies should receive these reports on time in order to correct deviations.

The survey shows that after collecting the necessary information for monitoring, the ZPEDOs compile zonal monitoring reports. Then they distribute the reports to the concerned bodies at all relevant levels. Accordingly Zonal Administration and the Regional Planning Bureau are the major users of the monitoring reports. About 67% of the ZPEDOs expressed that they also sent the reports to the zonal sectoral Departments. Significantly some 58% of the ZPEDOs indicated that the Regional Council receives their reports, while in the plan preparation stage they did not consult the Regional Council. It seems that they report to this body because they seek the necessary support from the highest decision making body to solve some problems which were encountered in the process of plan implementation. Some others also

pointed out that funders/donors, the Wereda Council, the concerned sectoral Bureau at Regional level, the beneficiaries (community) and mass media are also users of the monitoring reports.

However, what should be considered here is that whether these offices receive monitoring reports regularly from the concerned sectoral departments, or not. About 83% of ZPEDOs said that they regularly received the reports from the sectoral Departments while the remaining 17% of them expressed that they received such reports from some Departments alone.

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Opinion on the condition or quality of the sectoral reports was also assessed during the survey in terms of adequacy, accuracy, timeliness and detail (relevancy). One-half of the respondents rated the quality of the reports as “good” in terms of adequacy, while some 40% expressed them as “satisfactory”. About 60% and 30% of the ZPEDOs said that the reports were “satisfactory” and “poor” respectively in terms of accuracy. This indicates that there is a problem of inaccuracy in reporting the progress of the plans. As has been indicated, mostly the problem is seen in misinforming the higher officials by exaggerating accomplishments. The Regional Planning Bureau argues that some higher officials at zonal levels co-operate with the sectoral Departments in the reporting of inaccurate performances of the development projects and programmes. With respect to timeliness of the reports significant proportions of the respondents (40%) rated it as “poor”. This will indeed, affect the timely compilation of zonal monitoring reports and create problems in taking timely actions against the problems encountered in the process of project/ programme implementation and thus may be the cause for the delay or failure in implementing the proposed activities. With respect to the detail of the reports, some 60% of ZPEDOs rated it as satisfactory while about 30% indicated as “poor”. This also shows that the monitoring reports do not embrace

all the necessary information, which enable the concerned bodies to take appropriate actions.

For facilitating the process of compilation of the monitoring reports, uniform-reporting forms should be received by the sectoral departments from the planning agencies. This certainly enables the comparison of the progress of the activities in terms of some defined variables. The survey indicated that nearly 73% of the sectoral departments stated that they received the forms while 23% said that they did not receive reporting forms. One ZAD did not respond to the question. This shows that the compiled zonal monitoring reports lack consistency in their presentations and do not permit inter-sectoral comparison on the progress of the planned activities. It also affects the measures to be taken by decision-makers in the process of plan implementation.

The condition of reporting forms should also be considered in terms of timeliness, clarity, relevance and detail. To this effect, the majority of those who responded rated the reporting forms as “good” and “very good” in terms of the above aspects.

(Table 14)

**A summary of Responses for the Rating of the  
Condition of the Reporting Forms**

Table 14

Rating	%
poor	1.8
fair	10.9
good	49.1
very good	38.2

**Source:-** Field Survey,1998.

Hence, it could be concluded that there was variation in rating the condition of the reporting forms, which are very important in gathering the necessary information for the success of the plan.

Monitoring reports should be prepared within a given time interval, preferably within a short time-period throughout the year. The survey revealed that the majority of the departments 91% said that they presented their monitoring reports quarterly. On top of that, about 64% expressed that they prepared the reports monthly and annually. This by itself shows that there are differences in reporting periods. If this is the case, to some extent this will affect the compilation of timely and uniform monitoring reports at both the regional and zonal levels which will again affect the actions to be taken by the concerned higher bodies.

Another very important aspect, which should be considered while preparing the reports, is the presentation of the reports. Poor presentations and poor communications would yield poor responses and actions. Thus various methods of presentation should be used while preparing the final reports. Responding to the question "How do you present your report?" some 91% of the Departments said that they presented it by describing the events and using the tables. Only 14% of the respondents used charts for presenting the reports. The low level of using charts shows that the presentation of the monitoring reports is not satisfactory.

After producing monitoring reports, the next major task of the departments is the distribution of them to all the concerned bodies for the necessary and timely actions. The survey indicated that all the Departments send their monitoring reports to their Regional Sectoral Bureaus and except one Department all the rest distribute to ZPEDOs. About 91% of the respondents stated that they provided also monitoring reports to zonal administration. Only 18% of the Departments report to Zonal Finance Departments. This demonstrates that not all departments distribute monitoring reports

to all the concerned bodies. This will also create certain gap in the exchange of information in the plan implementation process. In relation to this, Spearman's rank correlation was applied in order to know the degree of association (agreement) between ZADs and ZEDs. The result of the computation (0.93) shows that there is very high agreement in distributing the monitoring reports to whom they considered as relevant bodies (Appendix E ).

As has been stated earlier the major objective of distributing monitoring reports to the concerned bodies is to enable the decision makers take the necessary action if problems are encountered in the implementation process. Based on the reports, the concerned bodies should react quickly as much as possible to correct deviations. However, only about 32% of the respondents felt that they got quick response from the concerned bodies when they reported the problems encountered in the process, while some 36% believe that they get such quick responses "sometimes". Nearly 27% of the respondents rated that they did not get such quick responses. Hence, it could be said that there is a problem of getting quick response when problems are reported to the concerned bodies during the plan implementation process of these sectors. This has been reflected in rating of the flow of the necessary information during the plan implementation. Only one-half of the total 22 sectoral departments said the flow of information during plan implementation as "good" while the rest one-half considered as "fair" or "poor" (Table 15).

## A Summary of Responses for the Flow of Information

Table 15

Rating	Frequency	Percent
very poor	0	0.00
poor	3	13.64
fair	8	36.36
good	11	50.00
very good	0	0.00
Total	22	100.00

Source:- Field Survey,1998.

### 5.7.3. Judgement of Success and Mechanisms to Correct Deviations

While discussing on the progress of the activities proposed, the success or failure of a given activity could be judged in different ways. From the experiences of plan implementations, a single criterion could not indicate the success or failure of it. Instead, many factors should be considered independently or in relation to each other.

Accordingly, all ZPEDOs felt that it was judged in terms of financial and physical performances and time. Moreover, 92% of them also stated that they considered the attaining of the planned target and quality of the works done. The survey also revealed that more than 86% of the sectoral departments judge the success or failure of the plan in terms of reaching the plan target while nearly 45% of them use time as an indicator of success or failure in addition to that of the target. Some 68% of them again felt those physical performances and the quality of works done were mechanisms for judging the success or failure of the plans. To a lesser extent about 64% of the Departments felt that financial performance indicated the condition of the plan

progress. However, as depicted in (Table 16) there are some differences between the two departments, ZADs and ZEDs in indicating the aspects they use for judgments. However, for better judgement all Departments should have indicated all the mentioned criteria.

**Summary of the Responses to Criteria used  
For Judging the Success of the Plans**

Table 16

Criteria	N <sup>o</sup> of Markings		
	ZADs	ZEDs	Total
In terms of financial performance	9	5	14
In terms of physical performance	9	6	15
In terms of reaching the plan target	11	8	19
In terms of quality	8	7	15
In terms of time	8	8	16

**Source:-** Field Survey, 1998.

As has been discussed above, the approved development plans may fail fully or partially due to various factors depending on the magnitudes of the problems faced, and this may be judged through the above mechanisms. What is more important is the action that is going to be taken. To assess this condition, in this study the mechanisms ZPEDOs use to correct plan implementation problems when reported in the process of monitoring show that there is a slight variation in their actions. However, commonly they take the following measures:

- Discussing with the zonal project committee,
- Informing the problems encountered to the Zonal Administration,
- Discussing with sectoral Departments,
- Discussing directly with the contractors,

- Suggesting alternative solutions,
- Reporting to the higher bodies at the Regional level when it is not possible to solve the problems at zonal level.

Thus these offices do not have an authority to decide on the problems encountered in the process of plan implementation.

The measures that were taken by both departments were also assessed. Among the measures listed by the respondents the following main and common actions have been summarized.

- Identifying the reasons for delays or failures,
- Discussing with the concerned bodies at zonal level,
- Reporting to the other concerned bodies at Regional level,
- Revising the projects /programmes and make them roll to the next budget year,
- Trying to improve planning and plan implementation conditions, and
- Propose possible solutions.

This also indicates that the sectoral departments do not have an authority to take direct action to correct the situation.

For the successful follow-up of the implementation of the plans, it is necessary to make regular meetings for discussing on the progress of projects and programmes, particularly to assess the extent of the problems encountered and on the actions to be taken to correct deviations. The survey showed that about 86% or 19 sectoral departments believe that they make regular meetings to discuss on the progress of projects and programmes. Particularly all ZADs make regular meetings while only 73% of ZEDs do it. However, the frequency or time interval of the meetings should be seriously considered. The meetings should be made within a short time interval in order to enable the timely action to correct deviations. The survey indicated that a

slight majority (55%) makes meetings "depending on the condition" while about one-half stated that they also met quarterly to discuss on the progress. Less than 41% of the departments meet weekly, monthly or annually. This shows that there are certain differences in time interval for discussing on the progress of projects and programmes during the plan implementation process and hence in taking the required timely actions.

#### **5.7.4. Resources and Other Constraints that Affect the Implementation Process**

Now, at this stage of analysis, it could be noted that the planning process of Oromiya has a number of external and internal problems, which all together adversely affect plan implementation performance of the different socio-economic sectors of the Region. In addition to the ones identified in each stage of the planning process of the Region, the concerned planning agencies, (ZPEDOs) have indicated various factors affecting plan implementation process of the Region, particularly those reasons responsible for the delays/failures in accomplishing development projects and programs. The over whelming majority of ZPEDOs (75-100%) thinks that factors such as lack of qualified human resources, lack of capable contractors, delay in release of foreign loan & aid, lack of information for plan preparation, poor infrastructure, lack of commitment and delay in response when problems are reported to the Regional Sectoral Bureaus are the major factors in affecting plan implementation performance. Some (50-67%) of them believe that problems such as frequent changes in administration and management, lack of co-ordination and integration of all activities, delay in budget allocation, inadequate project selection and preparation, corruption, weak monitoring and evaluation system and lack of incentive are also some more bottle-necks which hinder the smooth implementation of the activities proposed in the plan document. Significant proportion of ZPEDOs indicated other factors which affect the performances of the sectoral Departments and their own (Table 17)

A Ranking of the factors affecting the implementation process revealed that problems related to (1) poor infrastructure (2) lack of capable contractors, (3) lack of information for plan preparation, implementation and evaluation, (4) lack of qualified human resources and (5) lack of commitment are the first five factors which recently gain momentum in order of their weight.

### Summary of Reasons Cited by ZPEDOs

Table 17

Reasons	No. of Markings	Percent
1. Lack of executive capability	7	5.19
2. Lack of qualified human resources	12	8.89
3. Lack of capable contractors	10	7.41
4. Frequent changes in administration and management	6	4.44
5. Lack of political support	0	0.00
6. Unnecessary political interference	1	0.74
7. Lack of coordination and integration of all activities	8	5.92
8. Lack of domestic funds	3	2.22
9. Delay in budget allocation	7	5.19
10. Lack of sufficient external funds	2	1.48
11. Delay in release of foreign loan & aid	9	6.67
12. Lack of information for plan preparation, implementation and evaluation	9	6.67
13. Poor participation of the community	5	3.70
14. Inadequate project selection and preparation	7	5.19
15. Corruption	6	4.44
16. Poor infrastructure	11	8.15
17. Lack of commitment	9	6.67
18. Delay in response when problems are reported to the Regional Bureaus	9	6.67
19. Weak monitoring and evaluation system	8	5.92
20. Lack of incentive	6	4.44
<b>Total</b>	<b>135</b>	<b>100.00</b>

Source:-Field Survey, 1998.

As in the case of ZPEDOs both sectoral Departments, ZADs and ZEDs, also have identified the reasons for the delays or failures in implementing development projects/programmes of their respective sectors. A majority of the Departments (72-86%) believe that factors such as lack of qualified human resources, lack of capable contractors, delay in budget allocation, shortage of recurrent budget, lack of information for plan preparation, implementation and evaluation, and poor infrastructure are most significant factors in affecting their performances. One-half of them also feel that lack of incentives and delays in response when problems are reported to the Regional Bureaus are also major factors in affecting their plan progress. Problems related to lack of qualified human resources, poor infrastructure, shortage of recurrent budget, delay in budget allocations and lack of capable contractors were ranked among the first top five factors which recently gain momentum in affecting plan performance of the Departments. Other bottlenecks (Table18 ) which were mentioned by the Departments include lack of executive capability, inadequate project selection and preparation, lack of co-ordination and integration of all activities and poor participation of the community in plan implementation.

For further analysis of the above causes for the delay/failure in implementing development projects and programmes, Spearman's rank correlation was calculated in order to see the degree of association of the factors in terms of their weight expressed in the number of markings (frequencies). Accordingly, the computed coefficient (0.78) shows that there is high common association among the causes for the delay/failure in implementing development projects and programmes of ZADs and ZEDs(Appendix F ).

## Summary of Reasons Indicated by ZADs and ZEDs

Table 18

Reasons	No. of markings			
	ZADs	ZEDs	Total	Percent
1. Lack of executive capability	5	3	8	4.51
2. Lack of qualified human resources	9	10	19	10.73
3. Lack of capable contractors	9	7	16	9.04
4. Frequent changes in administration & management	2	2	4	2.26
5. Lack of political support	0	2	2	1.13
6. Unnecessary political interference	2	1	3	1.69
7. Lack of coordination & integration of all activities	5	1	6	3.39
8. Lack of domestic funds	2	2	4	2.26
9. Delay in budget allocation	8	8	16	9.04
10. Shortage of recurrent budget	8	8	16	9.04
11. Lack of sufficient external funds	2	3	5	2.82
12. Delay in release of foreign loan	2	3	5	2.82
13. Lack of information for plan preparation implementation and evaluation.	9	8	17	9.61
14. poor infrastructure	10	8	18	10.17
15. Lack of incentive	6	5	11	6.22
16. Delay in response when problems are reported to the Regional Bureaus	8	3	11	6.22
17. Poor participation of the community in plan implementation	5	1	6	3.39
18. Inadequate project selection and preparation	7	3	10	5.65
<b>Total</b>	<b>99</b>	<b>78</b>	<b>177</b>	<b>100.00</b>

Source:-Field Survey, 1998.

From what has been pointed out above we can conclude that from both angles the following factors are the five top major ones in affecting plan implementation of Oromiya Region in order of their weight:

First, lack of qualified human resources,

Second, Poor infrastructure,

Third, lack of information for plan preparation, implementations and evaluation,

Fourth, lack of capable contractors, and

Fifth, delay in budget allocation.

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## CHAPTER VI

### SUMMARY OF THE FINDINGS AND POLICY IMPLICATIONS

#### 6.1. Summary of the Findings

Since a few years after the end of the Second World War, planning has been taken up in many underdeveloped countries with the objective of promoting development even though it is still passing through an experimental stage. In the case of Ethiopia, systematic efforts and initiatives to develop the national economy started in 1945. Since then a couple of development plans were prepared by different regimes in order to promote the development of the country. Particularly after the overthrow of the Military Government in 1991, new political, economic and administrative policies and structures were introduced. By the measures taken new regions have been established in order to ensure local administration and the development of the regional economy and culture, a decentralization strategy which has a far-reaching implications for planning and for development activities.

Oromiya is one of these new regions, which were established in 1992. It is the largest of all the nine Regional states of Ethiopia both in terms of its area coverage and population. The Region is also important in terms of production and resource endowment. However, despite the existing natural and human potentials, its production and productivity, the level of utilization and mobilizations of the Region's resource is low.

According to the Federal law, the Regional states of the country have the right to administer direct, mobilize, etc. resources of their respective region for the well being of their population. In line with this, the Regional State of Oromiya has elaborated and approved five annual development plans and one five-year development plan

based on the national development strategy and programme. However, the short development planning experience of the Region shows that there are some problems in the process of plan preparation, implementation, and monitoring and evaluation. In this regard, the performance review of plan implementation of the different social and economic sectors of Oromiya Region shows that there are some constraints and bottlenecks, which particularly affected the implementation process of the annual development plans during the last four years. This has been reflected in the amount of budget utilized, physical performance and service delivery of both the production and social sectors of the Regional economy.

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Thus this research work is aimed at an attempt to investigate and analyze the planning process of the Region with special emphasis on the plan implementation and related processes of the two dominant sectors of the Region, agriculture from the production branch and education from the social one believing that an investigation of their condition on their planning process will reflect the overall situation of the others as well. The main objective of the study therefore, is to investigate the development plan implementation of Oromiya Region in order to identify recent and current major problems that affect the performance of the public sector plans. To achieve the objective, experts and heads of Planning, Agriculture and Education Bureaus and Departments both at Regional and Zonal levels were interviewed.

As indicated, the Region is endowed both in terms of natural and human resource potentials for its development prospects. Its large area extent, great physiographic diversity, various types of agricultural soils, mineral deposits, varied agro-climatic resources, vegetation resource, extensive drainage pattern and water resources are the major natural resource bases for the Region's development. However, the level of its socio-Economic development shows that the natural resource of the Regions is by far under-utilized. Particularly the development of the agricultural sector which is the

mainstay of the Regional economy, industrial development, mining and energy resource development, water supply conditions, transport and communication infrastructures, the level of urbanization and housing conditions, the situation of social infrastructures, the revenue and public investment capacity, indicate that there is a tremendous gap between the demand for development and what is actually taking place to alleviate the development problems.

The whole of the organizational framework within which development activities are undertaken and plans are prepared and implemented based on their duties and responsibilities has been assessed. The structure of institutions involved in planning activities at various levels of territorial organization of the Region as well as their mutual functional relationships in the process of planning are presented. Three types of planning related activities to be performed at each level have been identified; the constitutionally defined decision making authorities, technical planning bodies and plan implementing agencies at all levels with horizontal and vertical relationships. Thus the overall situation of the institutional framework and the planning process of the Region shows that there is an attempt towards the decentralization of development efforts and decision-making processes. These efforts have been investigated through an assessment of the planning process of the Region with particular emphasis on the plan implementation and related processes. Primarily the plan implementation process of the Region is studied by focussing on the elements of planning activities that have direct bearings on implementation. Secondly an attempt is also made to examine resource and other constraints that relate to plan implementation. Some aspects of the plan preparation stage that have bearings on plan implementation were examined under the first sets of factors Accordingly it was found that:

There is Regional sectoral development objectives, which will enable the preparation of development plans and hence to some extent the implementation process.

- Even though the co-operations and consultations among the local concerned bodies during the plan preparation process are on average “good” significant number of local agencies are not willing to co-operate at this stage. In this regard those agencies which are directly controlled and administered by the central government are not co-operative at this critical stage and their plans do not form part of the Region’s plan. Thus problems associated with wastage of resources occur in the process.
- The contents of the annual plans of the Region, zone and sectors partially indicates resources required for plan implementation, an agency or official responsible for each function, and do not adequately, define the responsibilities and evaluate the capacities before assigning the responsibilities. These information, however, are not adequately dealt in the plan document and this will increase the degree of uncertainty in implementing the projects/programmes.
- There is inadequate quantitative and qualitative information for preparing both zonal and sectoral plans of the Region due to lack of resources, weak organizational machinery, poor communication and low level of recognition for the role of information.

From the elements of plan implementation process of the Region the following major finding were revealed:

- Less than one-half of the planning offices receive action plans from the sectoral departments. This means that most of the planning offices monitor the implementation process without having clear work-plans. Thus the monitoring of the progresses or deviations of the proposed activities from the actual plan will be a difficult task and hence the decisions to be taken will also be affected.

- About 73% of the heads of the sectoral departments have an authority to set-up their own management team required for the speedy and effective execution of the projects and programmes. The rest do not have such an authority to manage the implementation process effectively.
  - About 73% of the Departments do not fully have the necessary budget at their disposal to execute the plans. Moreover, one-half of them do not have an authority to give the projects to the contractors. The combined effects of lack of these authorities will be the delay in the execution of the projects and programmes.
- 
- Even though those who said that they received the necessary cooperation from the concerned bodies while executing their plans are above average, considerable proportion of the concerned organizations are not willing to co-operate in executing the projects/programmes.
  - Even though the majority of the respondents thought people's participation as an important input in their plan implementation and do have some mechanisms to involve them, people are only "sometimes" willing to take part in the execution of the projects and programmes due to lack of awareness, past failures in implementing development promises by the Government, and weak organizational structure and the like.
  - Even though the planning agencies have limited capacities in terms of manpower and facilities they are undertaking a wide range of activities which contribute to the implementation of zonal plans. However, they do not involve in this process systematically.

- As an element of the planning process there should be a system of monitoring the progress of the plans. The survey revealed that nearly all respondents felt that they had a system to carry monitoring activity, which is used for correcting deviations. Major sources of information are field observations and progress reports from the operating units. However, both the quality and timeliness of the reports prepared out of the various sources of information by the sectoral departments are not as such satisfactory.
- There are also variations in time, presentation, and distribution and in getting quick responses from the concerned bodies while preparing and disseminating monitoring reports.
- The actions taken by respondents when problems are reported in the implementation process are many and diverse. However, all lack an authority to decide on measures to be taken by them. Even there are certain differences in time interval for discussing on the progress of projects and programmes during the plan implementation process and hence in taking the required timely actions.
- The top five major resource and other constraints, which recently gain momentum in affecting plan implementation of the Region are: lack of qualified human resources, poor infrastructure, lack of information, lack of capable contractors, and delay in budget allocation.

Thus, from the above analysis a number of conclusions can be drawn. The most important ones are stated below:

1. There are a number of factors in the plan preparation stage, which have considerable impact on the stage of plan implementation of the Region. These are

inadequate co-operation and consultations, partial incorporation of the resources required in the plan documents, inadequate definitions of responsibilities, poor capacity assessment and inadequate information for preparing plans.

2. Since the plans are aggregates of sectoral plans they are not integrated, and suffer from lack of co-ordination and hence the mobilization and coordination of the scarce resources in the desired direction will be affected
3. The low popular participation implementation stages show that the plans are mainly what the government would like to achieve in the future and not reflective of people's interest and need.
4. The planning process of the Region, particularly the plan implementation process is highly affected by: lack of experience in planning and implementation and in the decentralization process in general, lack of qualified human resources, poor infrastructural development, lack of basic information, shortage of capable contractors, delays in budget allocation, lack of co-ordination and the like.

## **6.2. Policy Implications**

This section of the thesis contains a comprehensive menu of policy interventions, strategies and measures to be taken based on the investigation of the planning process of the Region with particular emphasis on the implementation process of zonal plans and the discussions made with the staff of the three Regional Bureaus, Planning and Economic Development, Agriculture and Education Bureaus. The objective is to provide the Regional Planning Bureau and other concerned bodies with a variety of possible actions that they could undertake to strengthen the planning machinery and improve implementing capability of the Region. The suggestions are presented as a concept, and given time, they could be elaborated to address some of the problems identified in the course of the survey.

**1. Development of Qualified Human Resource:-** The survey indicates that there is chronic shortage of qualified human resource for planning and plan implementation. Thus schemes for an increase in the supply of skilled and semi skilled manpower should be one of the measures to be taken to improve the planning process of the Region. Thus:

- More students should be encouraged to join key specializations which are badly needed in the Region, particularly engineering and related fields. The existing institutions should be strengthened and expanded for this purpose.
- ~~In-service personnel should be given short-duration specialized courses including~~ development management, conduct regularly scheduled seminar & training programmes, prepare experience-sharing sessions, and provide overseas training opportunities.
- The existing technical educational institutions should be expanded and strengthened, and new technical and vocational institutions should be set-up in the Region.

**2. Infrastructural Development:-** Poor basic infrastructural development, particularly roads has been identified as one of the major factors affecting the plan implementation of the Region. In order to minimize this problem and create enabling environment for other investment programmes, the Regional road network should be strengthened and expanded. The combined effort of both the central and Regional Governments are required to open-up inaccessible and resourceful areas for successful implementation of the projects and programmes indicated in the plan.

**3. Improve Budgetary Process:-** Delays in budget allocation is one of the top five hindrances that affected the timely execution of development projects and programmes

in the Region. It is suggested, therefore, that the flow of the funds for the entire plan period should be assured and allocated on time. Particularly the zonal concerned sectoral agencies should be delegated for the mobilization of financial resources. Methods should be designed for the timely arrival of foreign loans and assistances.

**4. Promoting Popular Participation:-** It is shown that popular participation in the plan implementation of the Region is low. On the other hand, it is true that with the on-going decentralization process and establishment of local governments, the grass roots approach to development has been widely accepted. Involvement of local/community contributes greatly to project sustainability. Thus the community should be mobilized in the planning process through the institutionalization of popular participation.. However, as Mulatu (1990) pointed out the citizen participation component should be a genuine representation of the local people and not a charade that is limited to symbolic representation of few individuals who have neither the influence nor the acceptability of the local people.

**5. Creating Favourable Condition for Contractors:** it has been identified that lack of capable contractors has been a major obstacle in contracting-out construction works. Even the capacity of some of the contractors is below the standard, thus resulting in poor quality work performance, delay and big variation cost. Thus both the central and Regional Governments should create favourable conditions and strategies in order to have capable and design competent contractors.

**6. Strengthening Monitoring and Information Systems:** Monitoring should lead to quick intervention, corrective as well as supportive, for resolving problems arising at

site. Similarly, adequate information will be an asset at all levels of the planning process. Thus appropriate measures should be taken in order to strengthen the monitoring and information systems. These include:

- Monitoring and evaluation department should be established within the Regional Planning Bureau and the same unit in zonal planning Offices,
  - Monitoring units should be set-up in important technical Bureaus and department at regional and zonal levels.
- 
- All the Regional Bureaus and their respective Departments at zonal level should develop and streamline their management information system, including a computerized data bank, located at one place or at various places, but inter-linked in such a manner that data flow is possible from one data bank to another.
  - Strengthen the capacity of the Regional planning Bureau and zonal planning offices, which are legally the Regional Information focal points.

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## APPENDICES

### Appendix A

#### A SURVEY OF DEVELOPMENT PLAN IMPLEMENTATION PROCESS OF OROMIYA REGION

##### Instruction for Completing the Questionnaire

Please, put an “X” mark(s) on the space provided to indicate your response(s) where applicable. In case where responses other than marks are required, please, write your responses in the spaces provided.

I would appreciate it if you would discuss the questionnaire with your associates so that your response would include the opinion of your staff.

##### Part I: Identification

###### 1. Identification information

- Administrative Zone: \_\_\_\_\_
- Profession: \_\_\_\_\_
- Position: \_\_\_\_\_
- Total service years in Planning: \_\_\_\_\_

##### Part II: Plan Preparation

2. Do you believe that Oromiya Regional Council has a clear development strategy or programme?
- Yes
  - No
  - I do not clearly know

3. Are you fully aware of the duties and responsibilities of your office?

Yes

No

4. If your response in (3) is “yes”, what are the major functions of your Office?

To formulate and revise development plans

To prepare annual plans

To Compile sectoral plans

To prepare periodic reports and evaluations of the progress of

Development plans

To supervise plan implementation

To conduct research

To collect & compile physical and socio-economic

Information

Other, please, specify \_\_\_\_\_

5. Do you receive annually up-to-date guideline on how to prepare zonal plans from Oromiya Region Planning and Economic Development Bureau?

Yes

No

6. If your response in (5) is “yes, what does the guideline show? Please, briefly write the content of the guideline.

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If your response in (5) is “yes”, how would you rate the quality of the guideline in terms of:

	<u>Very Good</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>
Timeliness	_____	_____	_____	_____
Detail	_____	_____	_____	_____
Clarity	_____	_____	_____	_____
Relevance	_____	_____	_____	_____

8. Practically, what are the main stages (planning process) you follow in order to prepare and implement your zonal annual plans?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_
7. \_\_\_\_\_
8. \_\_\_\_\_

9. Does your Office help to coordinate the planning of the various sectoral departments of the zone?

Yes

No

10. How do you rate the co-operation you receive from the following organizations in terms of preparing

	<u>Adequate</u>	<u>Inadequate</u>
Regional planning Bureau	_____	_____
Zonal Administration	_____	_____
Zonal Sectoral Departments	_____	_____
Central Government Agencies at Zonal level	_____	_____

11. Who prepares the projects and programmes carried out by the sectoral departments of your zone?

- Sectoral Departments at Zonal level
- Sectoral Bureau at Regional level
- Planning Bureau at Regional level
- Jointly with Sectoral Departments at Zonal level and sectoral Bureaux at Regional level.

- NGOs
- Consultants
- Other, please, specify \_\_\_\_\_

12. Whom do you consult while preparing the annual development plans?

- Sectoral Departments at zonal level
- Sectoral Bureaus, at Regional level
- Zonal Administration
- Regional Council
- Regional Planning & Economic Development Bureau
- Wereda Council
- The people at the grass-root level
- Other, please, specify \_\_\_\_\_

13. If you consult the people, what are the mechanisms to involve them?

- Letting the target population identify their own stresses and desired
- Objectives.
- Community meeting
- Data collection through rapid assessment
- By reviewing labour, land and funds locally mobilized
- By inviting voluntary organizations
- By inviting private organizations
- By incorporating development proposals (project ideas)
- Put forward by Wereda Council in the plan.
- Other, please, specify \_\_\_\_\_

14. Does your plan embrace (include) the activities of agencies which are directly controlled by the Central Government?

- Yes
- No

Partially

15. Does your zonal development plan show total resources (finance, manpower, etc.) required for plan implementation?

Yes

No

Partially

16. Does the plan prepared by your Office chart-out which agency and official is responsible for each function and who will carry out each task?

Yes

No

Partially

17. If your response in (16) is "Yes", to what extent do you define their responsibilities?

To the extent of denoting (showing) supervising official (agency) of the project/ programme

To the extent of denoting the official (agency) responsible for control (directing) the project or programme

To the extent of denoting contact officials (agencies) who are responsible for carrying out (implementing) the project/ programme.

Other, please, specify \_\_\_\_\_

18. Do you evaluate the capacities of the sector departments while incorporating their sectoral proposals in Zonal development plans?

Yes

Yes, but not all

No

19. If your response in (18) is "Yes", how do you assess their capacity?

20. From your experience, what are the major problems/factors affecting your work?

- Lack of qualified manpower
- Shortage of facilities
- Delay of budget
- Shortage of budget
- Absence of clear planning methodology
- Lack of power (authority)
- Lack of basic information
- Interference by local authorities
- Others, please, specify \_\_\_\_\_

21. If you have considered lack of basic information as one of the major problems, what do you think the reason(s) could be?

- Poor vertical & horizontal communications with and between the concerned bodies
- Low level of recognition for the role of information in development Planning
- Lack of resources (including money and man-power) and technology available for the collection, analysis, presentation and storage of data
- Weak organizational machinery for collecting analyzing storing
- And disseminating data/information.
- Other, please, specify \_\_\_\_\_

22. From your experience, what are the major tasks of your office during plan implementation?

- To establish coordination mechanisms
- Establishing budgeting systems (total resources for the plan)
- Designing a time table of events
- Designing resource flows (including cash flows)

- Establishing monitoring and evaluation systems (methods of checking on the success of the key operations of the plan)
- Establishing system of information flows for the implementation
- Reporting the progress of the plan
- Other, please, specify \_\_\_\_\_

23. Please list the above tasks in order (in sequence).

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_
7. \_\_\_\_\_
8. \_\_\_\_\_

### Part III:- Plan Implementation

24. Do you receive any work plan (action plan) from the executive sectoral departments?

- Yes
- Yes, but not from all
- No

25. If you receive the action plan from the sectoral departments, who prepares them?

- Regional Sectoral Bureau
- Regional Planning Bureau
- Zonal Sectoral Departments
- Other, please, specify \_\_\_\_\_

26. If your response in (24) is “Yes” or “Yes, but not from all”, what are the contents of the work plan?

-

Activities and the output expected from each activity

- Personnel/staff body involved in the actual implementation process
- Time frame
- Resources, such as finance, equipment, etc.
- Other, please, specify \_\_\_\_\_

27. Generally, how do you rate the quality of work plans (action plans)?

- Very good
- Good
- Fair
- Poor

28. How do you rate the overall management of the plan implementation process in different sectoral departments of your zone?

- Very good
- Good
- Fair
- Poor

29. From your experience, how do you rate the progress of plan implementation your zone during the last three years?

- Improving
- Moderately improving
- Not improving
- Worsening

30. From your experience, which projects and programmes are relatively better in their implementation? Those which are carried out by:

- The Central Government
- The Regional Bureaus
- Zonal Sectoral Departments
- Wereda Sectoral Offices
- NGOs

31. How do you rate the performance (Financial, physical and service) of the following zonal socio-economic sectors?

	(1)	(2)	(3)
	<u>Well performing</u>	<u>Satisfactory</u>	<u>Poor performing</u>
Agriculture	_____	_____	_____
Water, Mining & Energy	_____	_____	_____
Education	_____	_____	_____
Health	_____	_____	_____
Labour & Urban Devp't	_____	_____	_____
Rural Road Devp't	_____	_____	_____

32. Do you have any mechanism to involve the local people in plan implementation?

- Yes
- No

33. If "Yes", how do you rate popular participation in plan implementation of your zone?

- Very good
- Good
- Fair
- Poor

34. In what way the local people participate in plan implementation?

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35. If your response in (33) is "Fair" or "poor", why is/are the reason?

- Most of the projects & programmes do not reflect the real interests of the people
- No conducive condition for agitation
- Lack of awareness
- Security problems

- Missing sense of belongingness
- Too much politicization of development efforts
- Past failures in implementing development promises by the Government
- Weak organizational structure
- Other, please, specify \_\_\_\_\_

36. How do you control the implementation of your zonal annual plans?

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37. As a planner, how do you facilitate the implementation process of your zonal plans?

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**Part IV: Monitoring**

38. Do you have any system of monitoring the progress of your plans?

- Yes
- No

39. If your response in (38) is “Yes”, what are the sources of information for your monitoring activity?

- Field observation
- Progress reports from the operating agencies
- Rapid assessments
- Monthly review
- Case studies
- Other, please, specify \_\_\_\_\_

40. What aspect (s) do you consider while monitoring the progress of projects and programmes?

- Financial performance
- Physical performance
- Time aspect

- Problems encountered
- Other, please, specify \_\_\_\_\_

41. Who are the users of your monitoring reports?

- The Regional Council
- The Regional planning Bureau
- The Concerned Sectoral Bureau at Regional level
- Zonal Administration
- The Concerned Sectoral Departments at zonal level
- The Wereda Council
- Funders/Donors
- Other, please, specify \_\_\_\_\_

42. Do you regularly receive monitoring reports from sectoral departments?

- Yes
- Partially
- No

43. If your response in (42) is “Yes”, how do you rate the quality of the reports in terms of;

	<u>Very Good</u>	<u>Good</u>	<u>Satisfactory</u>	<u>Poor</u>
1. Adequacy	_____	_____	_____	_____
2. Accuracy	_____	_____	_____	_____
3. Timeliness	_____	_____	_____	_____
4. Detail	_____	_____	_____	_____

44. What do you do to correct plan implementation problems when reported in the process of monitoring?

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45. How do you judge the success of the plan?

- In terms of financial performance
- In terms of physical performance
- In terms of reaching the plan target
- In terms of quality
- In terms of time
- Other, please, specify \_\_\_\_\_

46. Do you use monitoring results for planning the next annual plan preparation?

- Yes
- Sometimes
- No

#### **Part V: Problems & Suggestions**

47. From your experience, what are the reasons for the delays/failure in accomplishing development projects and programmes in your zone?

- Lack of executive capability
- Lack of qualified human resources
- Lack of capable contractors
- Frequent changes in administration and management
- Lack of political support
- Unnecessary political interference
- Lack of coordination and integration of all activities
- Lack of domestic funds
- Delay in budget allocation
- Lack of sufficient external funds
- Delay in release of foreign loan & aid
- Lack of information for plan preparation, implementation and evaluation
- Poor participation of the community in local development

- Inadequate project selection and preparation
- Corruption
- Poor infrastructure
- Lack of commitment
- Delay in response when problems are reported to the
- Regional Bureaus
- Weak monitoring and evaluation system
- Lack of incentive
- Other, please, specify \_\_\_\_\_

48. From your responses in (47), please list the first five factors which recently gain momentum (becoming more influential) in order of their weight:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

49. What do you suggest in order to minimize, if not eliminate, the above implementation problems?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

50. Please, give briefly any other opinion on plan implementation process of your zone.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## Appendix B

### A SURVEY OF DEVELOPMENT PLAN IMPLEMENTATION PROCESS OF OROMIYA REGION

#### Instruction for Completing the Questionnaire

Please, put an “X” mark(s) on the space provided to indicate your response (s) where applicable. In case where responses other than marks are required, please, write your responses in the spaces provided.

I would appreciate it if you would discuss the questionnaire with your associates so that your response would include the opinion of your staff.

#### Part I: Identification

##### 1. Identification information

- Administrative Zone: \_\_\_\_\_
- Sector:            Agriculture  
                           Education
- Profession:       \_\_\_\_\_
- Position:         \_\_\_\_\_
- Total service years in your sector: \_\_\_\_\_

#### Part II: Plan Preparation

2. Does your sector have clear development strategy or programme at the Regional level?

- Yes
- No
- I do not clearly know

3. In your opinion, what is/are the main objectives of your sector?

- Economic
- Social
- Political
- Environmental
- Other, please, specify \_\_\_\_\_

4. Do you have planning/programming unit in your Department?

- Yes
- No

5. If your response in (4) "Yes" how many staff members does it have and what is the professional composition of the staff members?"

5 Are you fully aware of your duties and responsibilities in connection to planning and plan implementation?

- Yes
- No

6 If your response in (6) is "yes", what are the major functions of your sectoral department in relation to planning & plan implementation?

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7 Who prepares the projects and programmes undertaken by your Department?

- Your Department & Regional Sectoral Bureau
- Your Department alone
- Your Regional sectoral Bureau alone
- Regional Planning Bureau at the center
- Zonal Planning & Economic Development Office
- Consultants
- NGOs
- Other, please, specify \_\_\_\_\_

8 Do you believe that agencies and departments who are likely to be involved in the project/programmes have been consulted during the preparation stage?

- Yes
- Yes, but not all
- No

9 Does your sector plan chart out (spell out) which agency or official is responsible for the implementation of specific project/programme?

- Yes
- No
- Partially

10 If your response in (10) is "Yes", to what extent do you define their responsibilities?

- To the extent of denoting (showing) supervising official of the project/programme
- To the extent of denoting the official responsible for control (directing) the project or programme
- To the extent of denoting contact officials who are responsible for carrying out (implementing) the project/programme
- Other, please, specify \_\_\_\_\_

11 While assigning the responsibilities, do you assess the capacity of the responsible agencies?

- Yes

- No
- Partially

12 If your response in (12) is “Yes”, how do you assess their capacity?

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13 While preparing your annual sectoral plan, do you receive any technical assistance from Zonal Planning & Economic Development Office?

- Yes
- No

14 If your response in (14) is “No”, why is the reason?

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15 If you receive any planning formats (guidelines) from Zonal Planning Office, how would you rate the quality of the guidelines in terms of:

	<u>Very good</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>
Timeliness	_____	_____	_____	_____
Clarity	_____	_____	_____	_____
Relevance	_____	_____	_____	_____
Detail	_____	_____	_____	_____

16 How would you rate the support you receive from the following institutions in terms of preparing your sectoral plan?

	<u>Very good</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>
Zonal Planning Office	_____	_____	_____	_____
Regional Bureau of your sector	_____	_____	_____	_____
Zonal Administration	_____	_____	_____	_____

Other Sectoral Departments of  
your Zone \_\_\_\_\_

Your Branch Office at Wereda level \_\_\_\_\_

17 Your sectoral plan includes:

- Physical activities
- Service delivery
- Other, please, specify \_\_\_\_\_

18 How would you rate the availability of quantitative and qualitative information for your sectoral plan preparation?

- Very good
- Good
- Fair
- Poor

19 If you have felt that availability of information is “fair” or “poor”, what do you think the reason(s) could be?

- Poor vertical & horizontal communications with the concerned bodies
- Low level of recognition for the role of information in development activities
- Lack of resources (including money and man-power) and technology available for the collection, analysis, presentation distribution and storage of data
- Weak organizational machinery for collecting, analyzing and storing data

Other, please, specify \_\_\_\_\_

20 Is there an attempt to involve the public in your sectora annual plan preparation?

- Yes
- Sometimes
- No

21 If your response in (21) is “Yes” or “Sometimes”, what are the mechanism(s) to involve the public?

- Letting the people identify their own stresses and desired objectives
- Community meetings
- Data collection through rapid assessment
- By reviewing labour, land and funds locally mobilized
- By inviting voluntary organizations
- By incorporating development proposals put for war by Wereda Council in your sectoral plan
- Other, please, specify \_\_\_\_\_

22 From your experience, what are the major problems affecting your work in relation to plan preparation?

- Shortage of time to prepare plans
- Shortage of qualified man-power
- Shortage of budget
- Frequent change in administration & management staff
- Lack of information
- Interference by local authorities
- Shortage of facilities (such as vehicle,....etc.)
- Inadequate co-operation with the concerned institutions
- Others, please, specify \_\_\_\_\_

### Part III:- Plan Implementation

23 Do you prepare any action plan (work plan) which shows your annual plan implementation?

- Yes
- No

24 If your response in (24) is “Yes”, what are the contents of your action plans?

- Activities and output expected from each activity
- Personnel/staff body involved in the actual implementation  
Process
- Time frame
- Other, please, specify \_\_\_\_\_  
\_\_\_\_\_

25 Does the head of your Department have an authority to set up his own management team required for the speedy and effective execution of the projects/programmes?

- Yes
- No

26 Do you have the necessary budget at your disposal to execute the projects and programmes?

- Yes
- Yes, but partially
- No

27 Do you have an authority to give the projects to the contractors if the need arises?

- Yes
- Yes, but partially
- No

28 Are all the concerned government organizations willing to co-operate while executing the projects and programmes?

- Yes
- Yes, but not all
- No

29 How do you rate the flow of the necessary information during your plan implementation?

- Very good
- Good
- Fair
- Poor
- Very poor

30 Do you think people's participation as an important input in your plan implementation activity?

- Yes
- No
- Sometimes

31 What do you do to involve the people in the implementation process?

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32 Are people willing to participate in the implementation of projects and programmes?

- Yes
- No
- Sometimes

33 If your response in (33) is “yes” or “Sometimes”, how do you rate their participation?

- Very good
- Good
- Fair
- Poor

34 If your response in (34) is “Fair” or “Poor”, why is the reason (s)?

- Most of the projects / programmes do not reflect the real
- Interest of the people

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- No conducive condition for agitation
- Lack of awareness
- Missing sense of belongingness
- Too much politicization of development efforts
- Past failures in implementing development Promises by the Government
- Weak organizational structure
- Other, please, specify \_\_\_\_\_

#### **Part IV: Monitoring**

35 From your experience, how do you rate plan performance (financial, physical and service delivery) of your sector during the last three years?

- Highly improving
- Improving
- Moderately improving
- Worsening

36 Do you have any system of monitoring the progress of your plan?

- Yes

No

37 If your response in (37) is "Yes", what is/are your sources of information?

- Field observation
- Progress reports from operating units
- Rapid assessments
- Monthly review
- Other, please, specify \_\_\_\_\_  
\_\_\_\_\_

38 What aspect(s) do you consider while monitoring the progress of projects/ programmes?

- Budget expenditure
- Physical inputs
- Expected outcomes/out pus
- Problems encountered
- Other, please, specify \_\_\_\_\_

39 Do you receive reporting forms from Zonal Planning Office?

- Yes
- No

41. If your response in (40) is "Yes", how would you rate the quality of the forms in terms of

	<u>Very good</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>
1. Timeliness	_____	_____	_____	_____
2. Clarity	_____	_____	_____	_____
3. Relevance	_____	_____	_____	_____
4. Detail	_____	_____	_____	_____

42. What is/are your reporting period (s)?

- Monthly
- Quarterly
- Annually

43. How do you present your report?

- Describing the events
- By using tables
- By using charts
- Other, please, specify \_\_\_\_\_

44. To which organization you distribute your monitoring reports?

- To your Regional Sectoral Bureau
- To Zonal Administration
- To Zonal Planning Office
- To Zonal Finance Department
- To the Regional Council
- Other, please, specify \_\_\_\_\_

45. Do you get quick response from the concerned body when you report the problems encountered in projects and programmes implementation

- Yes
- No
- Sometimes

46. What is your opinion on the supervisory role of the planning Office/Bureau?

- It is a positive intervention
- It is a negative interference
- Has no contribution of the success of the plan
- No opinion
- Other, please, specify \_\_\_\_\_

47. Do you make regular meetings for discussing on the progress of projects and programmes?

- Yes
- No

48. If your response in (47) is "Yes", how often?

- Weekly
- Monthly
- Quarterly
- Annually
- Depending on the condition

49. Generally, how do you judge the success of your plan?

- In terms of financial performance
- In terms of physical performance
- In terms of reaching the plan target
- In terms of quality
- In terms of time
- Other, please, specify \_\_\_\_\_

50. What do you do if your plan fully or partially has failed?

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## **Part V: Problems & Suggestions**

51. From your experience, what are the reasons for the delays or failures in implementing development projects and programmes in hour sector?

- Lack of executive capability
- Lack of qualified human resources
- Lack of capable contractors
- Frequent changes in administration and management
- Lack of political support
- Unnecessary political interference

- Lack of coordination and integration of all activities
- Lack of domestic funds
- Delay in budget allocation
- Shortage of recurrent budget
- Lack of sufficient external funds
- Delay in release of foreign loan/aid
- Lack of information for plan preparation, implementation and evaluation
- Poor infrastructure
- Lack of incentive
- Delay in response when problems are reported to the Regional Bureaus
- Poor participation of the community in plan implementation
- Inadequate project selection and preparation
- Other, please, specify \_\_\_\_\_

52. From your responses in (51), please, list the first five factors which recently gain momentum (becoming more influential) in order of their weight.

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

53. What do suggest in order to minimize, if not eliminate, the above implementation problems.

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

54. Please, give briefly any other opinion on plan implementation process of your sector.

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Appendix C  
 A Summary of Reasons Indicated by  
 Respondents (Appendix B-20)

Reasons	ZADs' Rank (a)	ZEDs' Rank (b)	(a-b) d	d <sup>2</sup>
1	3.5	3.0	0.5	0.25
2	3.5	4.0	-0.5	0.25
3	1.0	1.0	0.0	0.00
4	2.0	2.0	0.0	0.00
$\Sigma d^2$				0.50

$$\Sigma d^2 = 0.50$$

$$N = 4$$

$$r = 1 - \left[ \frac{6 \times 0.50}{4^3 - 4} \right] = 1 - \left[ \frac{3}{60} \right] = 1.0 - 0.05$$

$$r = +0.95$$

## Appendix D

### Summary of the Responses for the Reasons of Lower Popular Participation in Plan Implementation (Appendix B-35)

Reasons	ZADs' Rank (a)	ZEDs' Rank (b)	(a-b) d	d <sup>2</sup>
1	4.0	6.5	-2.5	6.25
2	4.0	4.5	-0.50	0.25
3	1.0	2.0	-1.0	1.0
4	6.5	2.0	4.5	20.25
5	6.5	4.5	2.0	4.0
6	2.0	2.0	0.0	0.0
7	4.0	6.5	-2.5	6.25
Σ d <sup>2</sup>				38.0

$$\Sigma d^2 = 38.0$$

$$N = 7$$

$$r = 1 - \left[ \frac{6 \times 38.0}{7^3 - 7} \right] = 1 - \left[ \frac{228}{336} \right] = 1 - 0.68$$

$$r = +0.32$$

Appendix E  
 Summary of the Responses for the Distribution of  
 Monitoring Reports (Appendix B-44)

Organization	ZADs' Rank (a)	ZEDs Rank (b)	(a-b) d	d <sup>2</sup>
1	1.5	1.0	0.5	0.25
2	2.0	2.5	-0.5	0.25
3	1.5	2.5	-1.0	1.00
4	4.0	4.0	0.0	0.00
5	5.0	5.0	0.0	0.00
$\Sigma d^2$				1.50

$$\Sigma d^2 = 1.50$$

$$N = 5$$

$$r = 1 - \frac{\left[ \frac{6 \times 1.5}{5^3 - 5} \right]}{1 - \frac{9}{120}}$$

$$r = +0.93$$

Appendix F  
Summary of Reasons Indicated by Respondents  
(Appendix B-51)

Reasons	ZADs Rank (a)	ZEDs Rank (b)	(a-b) d	d <sup>2</sup>
1	11.0	10.0	1.0	1.0
2	3.0	1.0	2.0	4.0
3	3.0	6.0	-3.0	9.0
4	15.0	14.0	1.0	1.0
5	18.0	14.0	4.0	16.0
6	15.0	17.0	-2.0	4.0
7	11.0	17.0	-6.0	36.0
8	15.0	14.0	1.0	1.0
9	6.0	3.5	2.5	6.25
10	6.0	3.5	2.5	6.25
11	16.0	10.0	6.0	36.0
12	15.0	10.0	5.0	25.0
13	3.0	3.5	-0.5	0.25
14	1.0	3.5	-2.5	6.25
15	9.0	7.0	2.0	4.0
16	6.0	10.0	-4.0	16.0
17	11.0	17.0	-6.0	36.0
18	8.0	10.0	-2.0	4.0
$\Sigma d^2$				212.0

$$\Sigma d^2 = 212$$

$$N = 18$$

$$r = 1 - \left[ \frac{6 \times 212}{18^3 - 18} \right] = 1 - \left[ \frac{1272}{5814} \right] = 1.0 - 0.22$$

$$r = +0.78$$