

LIST OF ISSUES AND QUESTIONS TO WORK WITH THE AGENCIES IN THE PROVINCE

A. PROVINCIAL LEVEL

(i) Provincial People's Committee and People's Council

(a) Issues related to plans, strategy:

- Is the vision for 5 years or 10 years formulated by the provincial level? If yes, how is it formulated? Who participates to formulate the vision? Who is consulted? Does it need approval and if so by whom?
- How is the vision reflected in the 5-year and annual plans?
- Does the province provide guidelines for formulating (5-year and annual) plan to provincial departments, districts, and communes?
- How does annual plan connect actually to the 5-year plan?
- How are priorities of annual plan determined at the People's Council and the People's Committee?
- How are national targeted programmes integrated into the provincial plan?
- Does the province cooperate with other provinces in planning? If yes, how is cooperation conducted?
- Do public organizations participate in planning? Do any private organisations/business or citizen groups participate in the planning process i.e. is there any external dialogue?
- Is plan disclosed to the knowledge of lower level governments (district and commune level) and the public? By what means?

(b) Budget and finance

- Is there a budgetary appraisal of the plan before approval i.e. are financial or economic factors considered prior to finalisation of the plan.
- How is budget distributed and prioritized between agencies (health care, education, agriculture...)?
- What is the role of the Provincial People's Council in distributing and monitoring budget?
- When is budget plan submitted? Is there any difficulty in complying with the dateline?
- Is budget disclosed to the public? If yes, when and how is this issue implemented?
- How is the budget plan defended in commune, district and provincial level?
- Is there a final account where planned activities can be appraised financially.

(c) M&E system and information for service delivery monitoring and information for policy making

- What are indicators used in M&E on plan implementation?
- Who is responsible for formulating these indicators?
- Are these indicators appropriate?

- Is there any database on the current situation? If so are they locally or centrally set up
- Does the province issue guidelines for monitoring the implementation of plan?
- By what methodology/tool does the province evaluate fulfilment of policy targets or vision?
- Is the collected information/data analysed and used for policy making or budget distribution? In which levels?
- Where is information and data collected?
- Which information is used in long-term planning?
- Who is responsible for monitoring and evaluation?
- Are monitoring and evaluation reports relating to plan implementation prepared?

(d) Accountability

- What is the background for ratifying 5-year plan, annual plan, and annual budget?
- In which cases are plans and budgets changed or refused?

(e) Issues related to decentralisation

- The important changes on the duties decentralised after 2005 (Resolution 08/2005 of the Government). Are they carried out?
- Comments on the supplement of duties, comparison with the capacity on machinery organisation and the financial capacity.
- Are the human resources adequate in numbers and ability?
- Time schedules and diagrams of process .e.g, when is public consultation (if any) take place. When is there coordination (if any) with DoF?
- Organograms of the respective organisations - both internal and external.
- Are databases centrally or locally set up?
- Do data analysis methodologies take account of local circumstances?

(ii) Department of Planning and Investment (DPI)

(a) Organizational structure, functions and mandates

- What are functions and mandates of the DPI?
(Pay attention to the duties supplemented in the process of decentralisation since 2006)
- How many divisions are there in the DPI? Organograms
- How many staff? What is their professional education and experience? How many staff are male/female? How many staff are minority ethnic people? Age structure
- Are the staff supplemented due to the decentralised additional duties?

(b) Issues on the contents and process in planning:

- What is the planning procedure in provincial level?
- Does the DPI issue annual planning guidelines?
- Does the DPI issue frame of content and planning forms for the district and commune levels?
- Is there any cooperation between different agencies in planning? If yes, how is the cooperation conducted?
- How is the plan synthesis of the province from sectoral-departments (horizontally) and from the districts (vertically) implemented?
- How are those targets determined? Who determines? Does the Party/local government (the People's Council, the People's Committee) determine? Or how to coordinate the implementation?
- How are the plans of lower level governments integrated into the plans of higher level governments?
- How are poverty reduction targets integrated into plan?
- Do the public and user groups of public service (such as farmers, business associations, the private sector, social groups) participate in planning process? If yes, according to what way do they follow?
- How are priorities of annual plan determined? How are investment projects prioritised?
- How are prioritised investment projects checked and evaluated?
- What is the decentralization in management of investment?

(c) Budget and finance

- Who decides norms and priorities for distribution of investment budgets?
- How is decentralisation in management of budget for investment implemented now?
- How investment budget is distributed and calculated to the provincial departments, districts, and communes?
- Are norms for investment budget appropriate? If not appropriate, what factors should be revised?
- Does the province establish its norms for distribution of investment budget for districts? If yes, based on what criteria?

(d) M&E system and information – technical issues:

- Do the public and private organizations participate in monitoring the implementation of investment plan? If yes, how is it conducted?
- How is plan implementation evaluated and reported? Which level of local government reports to which level of local government and on what issues?
- Is there any indicator system used for monitoring and evaluating the plan implementation? What are these indicators? Are they appropriate? Who decides on these indicators?
- Is there any database on the current situation (which is often updated)?
- Are there guidelines for monitoring? What information/data is collected for monitoring? According to what forms?
- Is there a monitoring report of 3 months, 6 months or 1 year?
- Who is responsible for collecting and providing information/data?
- What are tools for collecting information and data?
- Is the collected information/data used for policy making or budget distribution? In which level?
- How about the capacity of collecting information/data at different levels?
- How about the capacity of analysing information/data at different levels?
- Is information technology used for monitoring?
- What is the progress monitoring mechanism?
- What is the mechanism for sharing information/data among functional departments at the provincial and district levels? Are statistical data on budget distribution and plan implementation reports published on the provincial homepage by the provincial government?
- Are there any mechanisms for evaluation of quality, effectiveness and impact of plan implementation, especially investment plans?

(iii) Department of Finance (DOF)

(a) Organizational structure and functions and mandates

- What are functions and mandates of the DOF?
- How many divisions are there in the DOF? Organograms
- How many staff? What is their professional education and experience? How many staff are male/female? How many staff are minority ethnic people? Age structure
- How about equipments, IT system, resources?

(b) Finance - allocation of budget for recurrent expenditure, budget allocation norms:

- Does the province officially assign expenditure tasks to provincial departments, districts, and communes? If yes, how different is the expenditure assigned to the government levels?
- What is the base for assignment of budget revenue given to provincial, district and commune levels? What is the basis for budget allocation to departments?
- Does the province use the budget allocation norms determined by the central government? If revising the norms, which criteria are used for revision purpose?
- Are budget allocation norms determined by the central government appropriate? If not, what are inappropriate norms?
- What is the budget planning procedure?
- How is budget planning integrated into socio-economic development plan?
- What is the role of ministries in setting up budget plan for industries and provinces?
- Is the province in debt? If yes, how does the province manage and settle its debt?
- Is the budget adjusted on the process of implementation? If yes, how is it adjusted? What are major difficulties faced in adjusting the budget?

(c) Finance managing and reporting

- What is the mechanism of monitoring budget implementation?
- Is there any guideline for monitoring budget implementation?
- What are strengths and weaknesses in provincial finance management?
- Is there a final account for approval at the end of the year and a comparison between planned expenditure and actual expenditure?
- How much of the provincial income is from central level?
- Do the budgets reflect the need for regular maintenance of infrastructure, roads, dykes, buildings, water etc.? If not how is this financed?

(iv) Provincial Statistics Office (PSO)

(a) Organizational structure and functions and mandates

- What are functions and mandates of the PSO?
- How many divisions are there in the PSO? Organograms
- How many staff? What is their professional education and experience? How many staff are male/female? How many staff are minority ethnic people? Age structure.
- How about equipments, IT system, resources?

(b) Planning and policy making

- How does PSO participate in the process of making policy at provincial level (for the whole province and for separated sectors)?
- How does PSO participate in the process of making annual and 5-year plans at provincial level (for the whole province and for separated sectors)?
- If applicable, what is particular contribution of the PSO?
- Can the PSO collect data for specific needs or studies required by the province?

(c) Statistical data and data collection

- What information and statistical data are collected by the District Statistics Office (DSO/DSOs)? (Statistics district branches)
- Who is responsible for the determination of information and statistical data collected by the DSOs? What is the foundation for the determination?
- Who is responsible for collecting information and statistical data?
- How are information and statistical data collected?
- What is the relationship between information and statistical data and provincial plan and budget?
- How do the DSOs analyse information and statistical data?

(d) Using and accessing information and statistical data

- Who has access to the data?
- Who is provided with information and statistical data? For what purpose is this used?
- How does the PSO provide information and statistical data to users?
- In what form are information and statistical data provided to users? Are they analysed? Or are they hard data? What are forms of information and statistical data provided?
- Do the PSO cooperate with information user in collecting and analysing data? If yes, how is the cooperation conducted? Based on what?
- Are the DSOs' information and statistical data provided to users (provincial, district, commune governments and the public)? And if yes, how are they provided (via webpage, publication, etc)?
- Do data analysis methodologies take account of local circumstances?
- Who decides what data is to be collected

- (v) **Department of Education-Training, Department of Health, DARD, DOLISA, Department of Natural Resources-Environment**
- (a) Planning task
- The capacity of Planning Division: Number of staff, educational level, experience, gender, ethnic group, etc. Age structure
 - What is the planning process of the Department?
 - Is there any guideline for planning?
 - Is there any cooperation between different agencies in planning? If yes, how is cooperation conducted?
 - What are major targets in the plan of the Department?
 - How are those targets determined?
 - How are the plans of lower level governments integrated into the plans of higher level governments?
- (b) Issues on the policy of the agencies
- What is national strategy (of the agencies) reflected in local plans? (e.g., national programmes relating to the agencies)
 - What are difficulties in the integration of national policies (of the agencies) into local policies and plans (in related fields)? What are the causes of those difficulties?
 - Which national policies are clearly understood and integrated harmoniously into local policies and plans?
 - Give recommendations on the integration of the agencies' programmes, & policies into provincial socio-economic development plan.
- (c) Budget and finance
- How is budget in the agencies distributed?
 - How is the Department's annual budgeting done?
 - How does the Department's budget integrate recurrent expenditure and investment expenditure?
- (d) M&E system and information:
- Do the public and public organizations participate in monitoring the implementation of investment plan? If yes, how is it conducted?
 - How is plan implementation evaluated and reported? Which level of local government reports to which level of local government and on what issues?
 - Which indicators are necessary for planning, M&E of plan implementation?
 - Is the PSO able to participate in supplying information and statistical data for planning and M&E of plan implementation? If yes, how is it conducted? What source is used to cover costs of data collection?
 - Does the department collect and analyse data

Do the plans reflect the needs of the departmental sector? If not why not?

(vi) Department of Home Affairs (DOHA)

(a) Organizational structure and functions and mandates

- What are functions and mandates of the DOHA?
- How many divisions are there in the DOHA? Organograms
- How many staff? What is their professional education and experience? How many staff are male/female? How many staff are minority ethnic people? Age structure.
- Is institutional or organisational development decentralised? Does the current provincial organisation reflect local needs or does it follow a centralised model?
- How great a percentage of the budget is taken up by salaries of staff?

(b) Public administrative reform

- What are the structure and contents of the plan in public administrative reform of the province?
- How is the implementation of provincial administrative reform monitored and evaluated?
- What is the decentralisation plan of the province? (Give basic information of the current decentralisation of the province).

(c) Human resource development

- Is there any human resource development plan in the province, especially in relation to management or skills training?
- If yes, how is this plan formulated?
- If yes, what is the progress in implementing the human resource plan?
- Is there any annual budget of the province for improvement and training of the provincial civil servants?
- Is there a school for improving the capacity of civil servants in the province? If yes, what are strengths and weaknesses of the school?

B. DISTRICT LEVEL

District People's Committee/Division of Planning and Finance

(a) Issues related to planning:

- Does the district clearly formulate vision for 5 to 10 coming years?
- If yes, how is the vision formulated? Who participates to formulate the vision? Who is consulted?
- Are the communes consulted? If so how?
- Are the citizens consulted? If so how?
- How is the vision/policy reflected in the 5-year and annual plans?
- What are planning steps in district?
- Does the district provide 5-year plan? If yes, how does annual plan connect actually to 5-year plan?
- Do the district plans reflect poverty needs
- How does the district determine priorities for investment list of annual plan?
- How do national targeted programs integrate into the plan?
- Does the district cooperate with other districts in planning? If yes, what is the cooperation conducted?
- Do public or private organizations participate in planning?
- Is the content of plan disclosed? If yes, according to what way is it conducted?

b) Budget and finance

- Has the district had budget for investment recently (three years)? If yes, how much and what are the purposes for using investment budget?
- Does the district allocate investment and administrative and public service expenditure on the base of predetermined budget share?
- How is budget distributed and prioritized?
- Are the issues of poverty reduction and social affairs presented in district budget? If yes, how is it mentioned?
- What is the role of the district People's Council in distributing and monitoring budget?
- When is budget plan submitted? Is there any difficulty in complying with the dateline?
- What are the form and contents of budget plan submitted to the district People's Council?
- When and how is budget disclosed to the public and what is disclosed?
- How is the budget plan defended in commune and district level?
- Is there a final account for approval at the end of the year and a comparison between planned expenditure and actual expenditure?
- How much of the provincial income is from central level?
- Do the budgets reflect the need for regular maintenance of infrastructure, roads, dykes, buildings, water etc.? If not how is thid financed?

(c) M&E system and information for service delivery monitoring and information for policy making

- What are indicators used in M&E on plan implementation?
- Are these indicators appropriate?
- Who is responsible for formulating these indicators?
- Is there any database on the current situation?
- Does the district issue guidelines for monitoring the implementation of plan?
- How does the district evaluate fulfilment of policy targets or vision?
- Is the collected information/data used for policy making or budget distribution? In which levels?
- Where is information/data collected?
- Which information is used in long-term planning?
- Is there any dialogue with communes or district departments in monitoring or evaluation
- Is there any dialogue with private citizens or mass organisations in monitoring or evaluation? If so how is this done?

(d) Accountability

- Who is responsible for ratifying 5-year plan? What is the background for ratifying 5-year plan?
- Who is responsible for ratifying annual plan? What is the background for ratifying annual plan?
- Do persons, who are responsible for ratifying plan and budget, understand plan and budget ratified by them?
- Have the persons, who responsible for ratifying plan and/or budget, ever changed or refused to ratify the plan and/or budget? If yes, when and why?

C. COMMUNE LEVEL

Commune People's Committee

(a) Planning

- The capacity of the commune authority machinery: number of commune authorities, educational level, gender, ethnic group, etc. Age structure
- Who is regularly responsible for commune planning?
- How is planning in commune level implemented?
- Is there inter-agencies cooperation in planning procedure? If yes, how is the cooperation conducted?
- What are major targets in provincial, district, and commune plans?
- How are those targets determined? (Who determines? The party or local government?)
- How are the village targets integrated into the commune targets?
- How are poverty reduction targets integrated into plan?
- How do the public participate in planning process?
- How are priorities of annual plan determined?

(b) Budget and finance

- How is budget distributed and prioritized between agencies (health care, education, agriculture...)?
- Do the budgeted activities relate to the plans?
- Are poverty reduction and overall social issues reflected in the commune budget? If yes, how?
- What is the role of the district People's Council in distributing and monitoring budget?

- When is budget plan submitted? Is there any difficulty in complying with the dateline?
- What are the form and contents of budget plan submitted to the People's Council?
- When and how is budget disclosed to the public in commune and what is disclosed?
- How is the budget plan defended in commune level?

(c) M&E system and information – technical issues

- Do the public and public organisations participate in monitoring the implementation of investment plan? If yes, why?
- How is plan implementation evaluated and reported? Which level of local government reports to which level of local government and on what issues?
- What indicators are used in monitoring and evaluating the implementation of plan?
- Is there any database on the current situation?
- Who is responsible for collecting information/data?
- What are tools for collecting information and data?
- Is the collected information/data used for policy making or budget distribution? In which level?

D. SUPPORTING DOCUMENTS

(i) From the provincial People's Committee, DPI, DOF

- Guideline for planning of provincial departments, districts, and communes
- 5-year plan 2006-2010
- Annual plan 2007, 2008
- Budget of the province 2006, 2007
- Revenue and expenditure report 2006, 2007
- Sectoral budget norms
- Budget distribution share (province, district, and commune)
- Expenditure assignment of province/district/commune
- Guideline for budget plan formulation

(ii) From provincial departments (Department of Health, Department of Education&Training, Department of Transportation, DARD)

- Plan of the sector 2007, 2008
- Budget of the sector 2006, 2007

(iii) From district people's committee

- Plan 2007, 2008
- Budget of the district 2006, 2007
- Revenue and expenditure report of the district 2005

(iv) From commune people's committee

- Plan of the commune 2007, 2008
- Budget of the commune 2006, 2007
- Revenue and expenditure report of the commune 2005