

NATIONAL DEVELOPMENT PLANNING COMMISSION

**GUIDELINES
FOR THE PREPARATION OF
SECTOR MEDIUM-TERM DEVELOPMENT PLAN
UNDER
THE GROWTH AND POVERTY REDUCTION
STRATEGY
2006-2009**



NDPC, NOVEMBER, 2006

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LIST OF ACRONYMS

AAP	-	Annual Action Plan
APRM	-	Africa Peer Review Mechanism
CBOs	-	Community Based Organisations
CEDAW	-	Convention on Elimination of all forms of Discrimination against Women
CSOs	-	Civil Society Organisations
CSPG	-	Cross-Sectoral Planning Groups
DMTDP	-	District Medium-Term Development Plan
EU	-	European Union
GPRS I	-	Ghana Poverty Reduction Strategy
GPRS II	-	Growth and Poverty Reduction Strategy
HIV/AIDS	-	Human Immunodeficiency Virus/Acquired Immuno-Deficiency
ICT	-	Information and Communication Technology
MDA	-	Ministry, Department and Agency
MDG	-	Millennium Development Goal
MTEF	-	Medium-Term Expenditure Framework
NDPC	-	National Development Planning Commission
NDPS	-	National Development Planning System
NEPAD	-	New Partnership for Africa Development
NGOs	-	Non-Governmental Organisation
NMTDP	-	National Medium-Term Development Plan
PLWHA	-	People living with HIV/AIDS
PoA	-	Programme of Action
POCC	-	Potentials, Opportunities, Constraints and Challenges
PPMED	-	Policy, Planning, Monitoring and Evaluation Division
SEA	-	Strategic Environmental Assessment
SIF	-	Social Investment Fund
SMTDP	-	Sector Medium-Term Development Plan
STI	-	Sexually Transmitted Infection Syndrome
TOR	-	Terms of Reference
VIP	-	Village Infrastructure Project

PREFACE

Sections 1, 10 and 11 of the National Development Planning (System) Act 1994 (Act 480) enjoins the National Development Planning Commission (NDPC) to issue legislative Instruments and Guidelines to regulate the Decentralized Planning System. The NDPC is also mandated to guide Ministries and Sector Agencies to prepare Development Plans which shall be compatible with the national development goals for its consideration and approval. The current national goal is captured in the Growth and Poverty Reduction Strategy (GPRS II) (2006-2009), which is a comprehensive Medium-Term National Development Policy Framework.

These Guidelines have been designed to facilitate the preparation of Sector Medium-Term Development Plans under the Growth and Poverty Reduction Strategy (GPRS II) 2006-2009.

This document is presented in Three chapters. Chapter 1 deals with the General Introduction covering the background, rationale, process of developing the Guidelines and the structure of the document. Chapter 2 focuses on the roles of key actors, particularly, the Sector Medium-Term Development Plan (SMTDP) Preparation Teams, the Minister, Heads of Departments and other Stakeholder organizations, the NDPC and a facilitator in the preparation of the SMTDP. Chapter 3 presents the detailed activities including the relevant steps for the development of the SMTDP. The chapter also contains Monitoring and Evaluation arrangement and the Development of Sector Communication Strategies/Plans.. The structure and format of the SMTDP under the GPRS II has also been provided in addition to Activity-time frame for the preparation of the SMTDP. These Guidelines have been designed to ensure that the demands of MDGs, NEPAD, gender and environmental sustainability are reflected in all sector plans.

The major development pillars as contained in GPRS-II (2006-2009) comprise: Priorities for Private Sector Competitiveness, Human Resource Development as well as Good Governance and Civic Responsibility. GPRS-II is the principal reference document, and it should be used together with these Guidelines.

The NDPC duly acknowledges the technical and logistic support provided by the UNDP and other organizations including UNICEF, Institute of Local Government Studies, Department of Planning, Kwame Nkrumah University of Science and Technology in the preparation of the Guidelines. The process of developing these Guidelines also involved the participation of the representatives of the District Planning Coordinating Units (DPCUs), Regional Planning Coordinating Units (RPCUs) and representatives of the Ministries, Departments and Agencies, particularly in the Peer Review and Pre-Testing Workshops. We wish also to acknowledge the useful contributions made by other institutions and individuals, who cannot be listed here owing to lack of space, in the formulation of these Guidelines.

THE NATIONAL DEVELOPMENT PLANNING COMMISSION

CHAPTER ONE

GENERAL INTRODUCTION

1.0. Background

Government is determined to raise the living standard of Ghanaians to a level consistent with that of a middle-income economy. This is to be achieved through the implementation of the policy objectives and the strategies outlined in the Growth and Poverty Reduction Strategy (GPRS II) (2006-2009), which is the comprehensive Medium Term National Development Policy Framework.

The GPRS II was formulated through extensive public consultative and participatory processes. The formulation process was bottom-up and top-down in which the initial draft was informed by inputs from the Ministries and sector agencies, CSOs, CBOs, the private sector, etc through the technical drafting team, referred to as Cross Sectoral Planning Group (CSPG). The initial draft was subjected to public consultations to solicit inputs from general public, the Cabinet, Parliament, Development Partners, Regional and District representatives of identifiable groups. The input from the consultations was used to finalise the GPRS II. The GPRS II also seeks to operationalise various international agreements such as MDGs, NEPAD, APRM, CEDAW, etc. Similarly cross-cutting issues like Gender, Strategic Environmental Assessment (SEA), Vulnerability and Exclusion have been mainstreamed within the three Pillars which are Priorities for Private Sector Development, Human Resource Development and Good Governance and Civil Responsibilities.

The implementation of GPRS II is the responsibility of the Sectors, Metropolitan, Municipal and District Assemblies, CSOs, the private sector, etc. These organizations are required to re-formulate their policies, strategies, programmes and actions into Sector Medium-Term Development Plans (SMTDP) in line with the GPRS II to improve the living conditions of Ghanaians.

Sections 1, 10 and 11 of the National Development Planning (System) Act 1994 (Act 480) enjoins the National Development Planning Commission (NDPC) to issue legislative Instruments and Guidelines to regulate the Decentralized Planning System. The NDPC is also mandated to guide Ministries and Sector Agencies to prepare Development Plans which shall be compatible with the national development goals for its consideration and approval (See Annex 1). Against this background, NDPC has provided these Guidelines to facilitate the preparation of Sector Medium-Term Development Plans. These Sector Guidelines have been provided as part of the process of harmonising District and Sector Medium-Term Development Plans into a National Medium-Term Development Plan under the GPRS II 2006-2009.

Box 1: Operational definition of a sector

A Sector in these Guidelines refers to Ministries, Departments and Agencies, which contribute towards the achievement of a common objective to support the national goal of the GPRS II in collaboration with the Private sector. Civil society organizations etc.

1.1. Rationale of these guidelines

These Guidelines have been designed to serve three purposes:

- (i). facilitate the preparation of :
 - SMTDP based on GPRS II (2006-2009),
 - Annual Action Plans based on the SMTDP
- (ii). ensure that SMTDPs:
 - are purposefully formulated to support the achievement of national development goals and objectives (GPRS II)
 - integrate cross-cutting issues (e.g. Gender, SEA, Vulnerability and Exclusion etc) in development policies, programmes and projects (PPP) for sustainable growth and development
 - provide the basis for preparing Annual Action Plans and Sector Ministry's budgets and the National Budget throughout the planned period based on the PoA;
 - provide the basis for effective implementation, monitoring and evaluation at the Sector level
 - serve as the basis for the preparation of proposals for donor/stakeholder support and partnership;
- (iii). provide a uniform format for the harmonization of National Medium-Term Development Plan (NMTDP).

1.2. Process of developing these Guidelines

A Participatory process was used in the preparation of these Guidelines. The process started by reviewing a draft Sector Planning Guidelines. The Guidelines for the preparation of District Medium-Term Development Plans Under the Growth and Poverty Reduction Strategy (GPRS II) was also consulted. General comments that were received from individual stakeholders on the Zero Draft Guidelines were analyzed and incorporated. The First Draft Guidelines were further refined with the comments from the Peer Review workshop and subsequently finalized with the output of the pre-testing workshop that were organised later, prior to the orientation on the use of these Guidelines at the sector level. Participation is key to the process of planning and therefore in the use of this document, Sectors, NGOs and the Private Sector will be encouraged to ensure participation as wide as possible.

1.3. Structure of the Document:

Broadly, the document is divided into three chapters. Chapter 1 contains the background, rationale and the process of developing these Guidelines. Chapter 2 focuses on the roles of key actors in the Sector Plan Preparation exercise. Chapter 3 presents the detailed activities including the relevant steps for the development of the SMTDP including how Intra and inter-Sectoral issues would be addressed. The chapters in general contain several illustrations with tables and diagrams to facilitate the plan preparation exercise.

CHAPTER TWO

ROLE OF KEY ACTORS AND THEIR ACTIVITIES FOR PREPARING THE SMTDP

2.0. INTRODUCTION

The success of having SMTDP prepared depends to a large extent on the active participation of the key actors concerned. This Chapter therefore deals with the various actors:- the SMTDP Preparation Team, the Sector Ministers and Heads of Departments, NDPC, facilitators etc. and their respective role in the preparation of the SMTDP.

2.1. Formation of SMTDP Preparation Team (SMTDP Preparation Teams)

- i. It is recommended that SMTDP Preparation Team be set up. The membership which should be between 11 and 15 should comprise the following:
 - Chief Director of the Ministry
 - Head of the PPMED (Policy, Planning, Monitoring and Evaluation) or its equivalent of the organization
 - Head of Finance and Administration
 - Heads of Departments and Agencies (Cost Centres)
 - Heads of Projects within the MDA where relevant
 - Officers in charge of policy and/or Budget (where applicable)
 - Gender Desk officers
 - HIV/AIDS Focal Person
 - Public Relations Officers/Information Officers
 - Representatives of the relevant umbrella Networks of the Private Sector Institutions
 - Representatives of relevant umbrella Networks of Civil Society (NGOs, CBOs, Faith-based Organisations, Private Research Institutions, etc)
 - Representatives of Traditional Authorities (where applicable)

The SMTDP Preparation Teams should be chaired by the Chief Director of the Ministry. The Planning Unit of the lead Ministry (Policy, Planning, Monitoring and Evaluation [PPMED]) or its equivalent should serve as the Secretariat to the SMTDP Preparation Team. The Head of the Planning Unit of the Ministry or his/her representative should be the Secretary. The Sectors should adequately resource the SMTDP Preparation Team members including motivation to enable them perform their task.

- ii. In order to facilitate its activities, a smaller technical team made of 5 to 7 members should be formed within the SMTDP Preparation Teams to be led by the Director in charge of Planning (as the case may be) of the organisation, who should provide back-stopping to the plan preparation exercise. The output of this smaller group should be discussed by the SMTDP Preparation Teams.
- iii. In all cases, ensure gender balance in the membership.

2.2. The Role of the SMTDP Preparation Teams

In addition to other functions, prescribed under Section 10 of the National Development Planning (System) Act, 1994, (Act 480) and the prevailing Civil Service law relating to planning it is recommended that the SMTDP Preparation Teams should:

- have a detailed work plan covering the process of preparing the SMTDP:
 - activities to be carried out (what to do - including data collection analysis and synthesis etc),
 - the role of the actors, (who should do what etc)
 - time frame
 - budget
- prepare the SMTDP.

2.3. The Role of the Lead Minister

The Lead Minister in collaboration with the lead Chief Director and Heads of Organisations and Projects in the sector is to:

- Ensure that the necessary logistics are provided timely
- Ensure that members of the SMTDP Preparation Teams fully participate in the preparation exercise
- Support and motivate members of SMTDP Preparation Teams to get the SMTDP prepared on time
- Ensure that the SMTDP captures all programmes, projects and activities of the sector organisations
- Ensure that the SMTDP reflects the GPRS II development aspirations

2.4. The Role of Heads of Departments and other stakeholder Organisations

It is recommended that Heads of Departments and other Stakeholder Organisations should:

- Ensure that their representatives provide the relevant data for the review of the performance of the sector in relation to GPRS I and other interventions from 2002-2005
- Ensure that their representatives fully participate in the SMTDP preparation exercise
- Provide logistics to facilitate their participation
- Motivate their representatives

2.5. The Role of the NDPC

- The NDPC shall coordinate and facilitate the SMTDP preparation exercise by:
 - Providing these Guidelines for the preparation of SMTDP
 - Organising orientation on the use of these Guidelines

- Monitoring the SMTDP preparation exercise through meetings to ensure the following:
- agreeing on inter and intra-sector trade-offs
- ensuring synergy
- ensuring efficient use of resources
- in collaboration with the relevant agencies coordinate and provide technical backstopping for formulation and implementation of the Sector Communication Plan.

for the attainment of the objective of the sector and goal of the GPRS II.

2.6. The Role of a Facilitator

It is recommended that Sectors should ensure that the SMTDP is prepared by the members of the Team in order to encourage ownership and strengthen capacity. However, where the Sector lacks capacity relating to for example, application of Strategic Environmental Assessment (SEA) or integration of Gender and HIV/AIDS and mainstreaming Vulnerability and Exclusion in sector plans, the NDPC in collaboration the sector concerned, will facilitate the engagement of the services of a Facilitator, with the relevant expertise. The facilitator should assist the SMTDP Preparation Teams members to prepare the SMTDP and not to prepare it him/herself. He/she should have a clear Terms of Reference (TOR).

CHAPTER THREE

SEQUENCE OF ACTIVITIES FOR PREPARING THE SMTDP

3.0. Introduction

This Chapter outlines the set of activities, required to be carried out by the SMTDP Preparation Teams in preparing the SMTDP. These include, reviewing and updating the performance of the Sector with respect to the GPRS I from 2003 to 2005 and other initiatives and interventions implemented outside the GPRS I from 2002-2005. The outputs of the reviews together with other factors will provide relevant information for the compilation of the Sector Profile and also inform the linkage of GPRS I to GPRS II. Other activities include prioritization, goal setting, development projections, objectives setting, strategies and development programmes, and Joint programme, Programme of Action, Indicative Financial Plan, Annual Action Plans and Budget.

Box 3.1. Development Focus

The **Growth and Poverty Reduction Strategy (GPRS II, 2006-2009)**, which has been mainstreamed with Strategic Environment Assessment (SEA) recommendations, Millennium Development Goals (MDGs), Vulnerability, Exclusion and Gender issues, focuses on policies, strategies and programmes relating to continued macroeconomic stability, prioritized private sector-led growth, vigorous human resource development, good governance and civic responsibility that are necessary to thrust the economy into higher growth trajectory and accelerated poverty reduction.

The basic goal of the GPRS II is to ***achieve accelerated and sustainable shared growth, Poverty reduction, and promotion of gender equity, protection and empowerment of the vulnerable and excluded within a decentralised democratic environment***

The broad strategic direction for GPRS II focuses on:

1. Priorities for Private Sector Competitiveness

- modernised agriculture (reform to land acquisition and property rights, irrigation, credit and input, crop development, livestock development, agriculture mechanisation etc)
- Support services (transportation, energy and science and technology),
- Development of additional sector to support growth (Information and Communication Technology, Tourism, Garment Industry, Music Industry, Mining),
- Employment generation, improvement and expansion of safety nets, life cycle and environment related vulnerabilities.

2. Human Resource Development

- Education, Skills, Manpower and Sports Development
- Access to Health Care, Malaria Control and Prevention of HIV/AIDS
- Population Management
- Safe Water and Environmental Sanitation
- Urban Development, Housing and Slum Upgrading/Regeneration
- Social Policy framework for mainstreaming Vulnerability and Exclusion (Integrated Child Development, Strengthening the family, HIV/AIDS and Vulnerability and Exclusion, Capacity Development in Social Work and Volunteerism, Database on the Vulnerable and Excluded Groups and Institutional Strengthening, linkages and Coordination

3. Good Governance and Civic Responsibility

- Political Governance (Strengthening Parliament, enhancing Decentralisation, Protecting Rights under the Rule of Law, Ensuring Public Safety and Security, Managing Public Policy, Empowering Women, Enhancing Development Communication, Promoting Civic Responsibility)
- Economic Governance (Fiscal Policy Management, Improving Public Expenditure Management, Promoting Effective Debt Management, Improving Fiscal Resource Mobilisation, Monetary Policy Management, International Trade, Good Corporate and
- Promoting Evidence-based Decision making.
- Improved access to rights and entitlements

Gender, Environment, Vulnerability and Exclusion issues have been mainstreamed in the appropriate themes of the GPRS II.

3.1. Step 1. Performance Review

Each sector in consultation with the relevant stakeholders including the Sector District Departments and other sub-structures of the District Assemblies should collect and collate disaggregated data to review the performance of the sector. If data input was made for the preparation of the Current Situation Analysis of the GPRS II, it should be updated with very current data for the review. The Performance Review should cover:

- (a) the appropriate policies, programmes and activities relating to the thematic area of the GPRS I from 2003 to 2005.

Box 3.2. THEMES OF THE GPRS I

The Themes of the GPRS I are:

- The Macroeconomic Stability
- Production and Gainful Employment
- Human Resource Development and Basic Services
- Programmes for the vulnerable and Excluded
- Good Governance.

- (b) Other interventions (new projects and other initiatives) not covered by the GPRS I but implemented during 2002 to 2005. These may include ICT, housing and others under the oversight responsibility of the Sector like Child Labour and Trafficking, Community Based Rural Development Project, VIP, SIF, EU Micro-Projects, etc.
- (c) Implementation of cross-cutting issues such as Sectoral HIV/AIDS Plans or HIV/AIDS response initiatives/interventions, Gender equality programmes, environmental programmes, programmes for the vulnerable and excluded.

The assessment of performance should be done in relation to:

- the extent of:
 - implementation of the proposed policies, programmes and projects in terms of whether they were fully implemented, partially implemented, ongoing or not implemented,
 - achievement of set goal, objectives and targets
- reasons for any deviation regarding implementation or set targets,
- Actions taken to remedy the situation during the implementation period

- Outputs of Step 1:**
- (i) Performance status of the Sector under the appropriate theme of the GPRS 2003-2005
 - (ii) Performance status of other interventions including Cross-cutting issues from 2002 to 2005
 - (iii) Key problems/issues encountered during the implementation stage and
 - (iv) the Lessons learnt which have implication for SMTDP, 2006-2009.

3.2. Step 2. . Compilation of the Sector Profile

In relation to Step 1, the SMTDP Preparation Teams should compile and update the current state of development/baseline of the sector on the available information. The Team should be guided by the following examples:

(a) Description of the Infrastructure, Facilities and Human Resources for the development of the sector

A brief description, which should include but not limited to the stock and current state of infrastructure, facilities and human resources. The description should not be a mere narration of facts but their implications for development of the sector at the various levels and their impact on issues like environment (i.e. protection of the quality of environmental resources), gender (i.e. differentials in access to opportunities and development outcomes, availability of gender disaggregated data, capacity for gender analysis, women in decision-making positions), vulnerability, HIV/AIDS, employment, institutional development (i.e. institutional reforms within the sector including the extent of decentralization) etc.

For instance, the health sector will be expected to show the various categories of health facilities and their conditions, provision of landscaping and drains to protect the facilities as well as protecting the quality of environmental resources, meeting the different needs of men, women, boys and girls, accessibility by persons with disabilities in the country, categories of services offered, number of beds, input supply situation, staffing situation (various categories and disaggregated by sex) etc. An analysis of the situation should show the extent to which these serve as opportunities or constraints for the development of the sector.

(a.i). Spatial Distribution of Infrastructure and Facilities: Analysis of infrastructure and facilities should also cover comments on spatial distribution which should be presented on district basis in terms of equity.

(b) Analysis of Production and Distribution Characteristics

The production and distribution characteristics of the sector should be analysed and presented. This will include demand for services, service planning, management and delivery, the scale of production, categories or types, technology used, input supply, output levels, packaging, storage, transportation, marketing, etc. The implication of the production and distribution characteristics of the sector on access of goods and services to men, women, boys and girls as well as vulnerable groups such as PWDs, PLWHA, and their impact on issues like environment, HIV/AIDS, employment creation, institutional development etc should be analysed. Formal and informal activities as well as the role of the private sector in the development of the sector should be presented. An analysis of the situation should show the extent to which these serve as opportunities or constraints for the development of the sector.

Spatial Distribution : The analysis should comment on the spatial distribution of the production and distribution characteristics. This should be done on district basis.

(c) Analysis of Cross cutting issues and their implication for planning (i.e. HIV/AIDS, Gender, environment etc).

i. HIV/AIDS

Analysis of the effect of HIV/AIDS on the activities and outcomes of the sector, for instance, should cover the level of awareness among the Staff and other major actors of the sector including clients and beneficiaries, level of risk (extent to which activities of the sector and the work environment serve as a threat), high risk groups, incidence of HIV/AIDS in the sector, PLWHA, provision of VCT centres etc.

ii. Gender

Gender analysis of the sector should include access and control over resources including information, public institutions, markets, peculiar needs (practical and strategic) of men and women, challenges to access (spatial and financial) and their implication for service delivery.

iii. Environment

Sectors operate within an environmental setting with respect to natural resources, socio-cultural, economic and institutional considerations. The environmental analysis of the sector should include the opportunities and risks associated with the implementation of the sectoral programmes.

iv. Vulnerability

Analysis of risk factors (e.g. defective policy impacts, environmental, social, spatial risks) faced by the Sector's clients, a clear identification of such vulnerable groups and demonstrating how their needs will be met in response to the Social Protection Agenda of GPRS II. (Refer to the Report on Poverty and Social Impact Assessment (PSIA) on Vulnerability and Exclusion in Ghana obtainable at the NDPC).

(d) Indicators of Development of the Sector

Indicators to measure the current level of development of the sector should be identified and presented as the baseline for the SMTDP. This will also form the basis for the determination of targets to be achieved in the SMTDP and the subsequent assessment of performance. Indicators should be disaggregated in terms of sex, age, spatial (rural/urban or national, regional and district basis).

Output of Step 2: Current situation as baseline and for visioning into the desired future of the Sector.

3.3 STEP 3. LINKING IDENTIFIED KEY DEVELOPMENT PROBLEMS/ISSUES TO GPRS II

The development problems identified in Step 2 should be linked to the relevant issues of the thematic areas of the Growth and Poverty Reduction Strategy (GPRS II) namely Priorities for Private Sector Competitiveness, Human Resource Development and Good

Governance and Civic Responsibility¹. It should be noted that during the preparation of the 2006 National Budgets, organisations within Sectors were requested to link their policies to the GPRS II. Step 3 is similar to that exercise but emphasising on development issues. To ensure linkage, a list showing problems identified under each theme of the GPRS II should be provided.

Output of Step 3: A list of identified issues relating to GPRS II Pillars

3.4. Step 4. (a). Prioritisation of Identified Issues

Identified issues should be prioritized through consensus at intra-sector workshop, which should be guided by the following criteria:

- ◆ impact on a large proportion of the citizens especially, the poor and vulnerable;
- ◆ significant linkage effect on meeting basic human needs/rights – e.g. immunisation of children and quality basic schooling linked to productive citizens in future, reduction of gender discrimination linked to sustainable development, etc.;
- ◆ significant multiplier effect on the economy – attraction of investors, job creation, increases in incomes and growth, etc.

(b). Prioritisation of spatial location

In addition to (a), special consideration should be given to issues relating to spatial location of investment and activities with the aim of either reducing or bridging the rural-urban disparities/gaps in access to public goods and services or with respect to ecological zones in pursuance of poverty reduction objectives.

(c). Prioritisation of opportunities for the promotion of cross-cutting issues

Special consideration should be given to cross-cutting issues including the following:

- i. **HIV/AIDS** in terms of prioritising the target groups in the sector for targeted interventions e.g. PLWHA and other excluded groups within the sector.
- ii. **gender equality** with respect to practical and strategic needs and interests.
- iii. **environmental concerns** relating to opportunities associated with the sector programmes while mitigating their corresponding risks.

Output of Step 4: List of the prioritized issues including HIV/AIDS, Gender, environment and locations.

¹ Members of the SMTDP Preparation Teams should abreast themselves with the details of the themes of the GPRS II

3.5. Step 5. APPLICATION OF POTENTIALS, OPPORTUNITIES, CONSTRAINTS AND CHALLENGES

Identified priorities should be further subjected to the analysis of the **Potentials, Opportunities, Constraints and Challenges (POCC)** of the Sector with respect to each of the Growth and Poverty Reduction Strategy thematic areas. This will enhance formulation of appropriate strategies for more implementation-oriented plans. In all cases sector should consider the challenges posed by HIV/AIDS to the contribution of the sector to growth and poverty reduction. An example of the application of the POCC is presented below; (Also see Annex 2 for Notes)

Table 3.1. Application of POCC

Issue to be addressed	Potentials (from Baseline situation etc)	Opportunities	Constraints	Challenges
Inadequate skills and entrepreneurial development	-Entrepreneurial Training institutions - Skilled trainers	-Additional resources from development partners, - HIPC Initiative	- inadequate Curricula - inadequate logistics	- Untimely release of support from Development Partners, - Threats posed by HIV/AIDS to trainers and trainees
Conclusion: Inadequate skills and entrepreneurial development can be positively addressed since significant potentials and opportunities exist. The Constraint can be addressed through developing synergies in designing the programme. Challenges can be managed through dialogue with development partners regarding funding and adequate awareness creation in terms of HIV/AIDS.				

OUTPUTS OF STEP 5: LIST OF POTENTIALS, OPPORTUNITIES, ONSTRAINTS AND CHALLENGES OF THE SECTOR

3.6. STEP 6. FORMULATION OF SECTOR GOAL

Each sector should set a goal in relation to the national goal of the GPRS II mentioned in Box 3.10. Sector Goal and the National Goal should be subjected to compatibility analysis to ensure that they are not in conflict. Where a conflict exists, the sector goal should be reviewed to be in line with the GPRS II goal. The compatibility Matrix below may be useful in this regard.

To ensure compatibility, each sector goal should be scored against the GPRS II goal in a scale as follows:

Table.3.2. Definition of Score

Definition	Score
Strongly compatible	2
Weakly compatible	1
Not compatible	0
Weakly incompatible	-1
Strongly incompatible	-2

Table 3.3. GPRS II and sector goal compatibility matrix

	GPRS II Goal:-		
	Scoring		
Sector Goal:-			

A score of 2 indicates strong compatibility while -2 indicates strong incompatibility of sector and the national goal. A zero score indicates a neutral -compatibility. A score of 1 and below call for review of the Sector goal to be in line with the GPRS II goal.

Output of Step 6: Sector Goal set

3.7. STEP 7. DEVELOPMENT PROJECTIONS FOR 2006 – 2009

Development projections are very crucial for the attainment of Sector goal. Knowledge relating to development projection enhances informed decisions making with respect to the kind of interventions required by the Sector. Development indicators and targets already set in the GPRS II should serve as the basis for developing Sector projections. Sectors are therefore required to project into the future and state its underlining assumptions.

Output of Step 7: Sector development projections relating to indicators and targets set.

3.8. STEP 8. OBJECTIVE SETTING

Sectors are required to link their existing policy objectives to the appropriate policy objectives of the GPRS II thematic area. Once the linkage had been established, sectors are further required to adopt the policy objectives of the GPRS II thematic areas for the achievement of the national goal. To achieve a comprehensive linkage, Sectors are expected to consider the entire policy objectives of the three thematic areas of the GPRS II. For instance the education sector may find most of its policy objectives under the Human Resource Development thematic area. However, policy formulation for example, which is a core function of the Sector Ministries, is anchored in Good Governance and Civic Responsibility thematic area.

(a) Prioritisation of objectives

It is recommended that objectives should be prioritised for optimal use of resources to achieve the set Sector goal. In prioritizing Sector objectives, the following criteria may be considered:

- q Wide spread effects – reach a large proportion of the citizens especially, the poor and vulnerable;
- q Significant forward and backward linkage effects
- q Significant positive multiplier effect on cross-cutting issues such as HIV/AIDS, environment, gender, natural resources, economy and socio-cultural conditions, growth and development.
- q Opportunity for employment generation

Output of Step 8: Prioritised Broad Sector Objectives

3.9. STEP 9. SECTOR-STRATEGIES

Sectors are expected to adopt the strategies of the GPRS II to achieve the objectives and the goal of the GPRS II.

Box 3.3 An Example of a strategy

Human Resource Development:- Ensure gender balance in enrolment

Output of Step 9: Sector Strategies in line with the GPRS II.

3.10. STEP 10. FORMULATION OF SECTOR DEVELOPMENT PROGRAMME

It is recommended that each Sector formulates broad sector programmes to achieve the Sector goal and the national goal and policy objectives of the appropriate thematic area of the GPRS II. A programme may be a group of related projects, services or activities directed towards the attainment of specific (usually similar or related) objective. However, a project is a planned undertaking, designed to achieve certain specific objectives within a specified period of time.

Box 3.4. An example of Education Sector Programme Input

The Education Strategic Plan has the following as programmes under the strategy of *Increasing female enrolment and retention*

- Provision of toilet facilities for females in new constructions
- Provision of Higher capitation grant allocations for female students
- Targeting female students for greater number of scholarships
- Providing female students, Take home rations within the school feeding programmes.

These programmes are appropriate for inclusion into Sector Programming which fit under one of the strategies of the GPRS II

i. Existing Sector Policies and strategic Plans

Some Ministries and agencies have already formulated their development policy frameworks in relation to their Mission statements and instruments setting them up. Ministries and sector agencies with such existing frameworks are required to incorporate the corresponding programmes into the SMTDP in relation to the policy objectives of the GPRS II and in conformity with these Guidelines. Where the existing Sector Policies and Plan did not address cross-cutting issues like gender, HIV/AIDS, environment etc, they should be considered and relevant programmes provided in the SMTDPs

Box 3.5 Examples of Sector Policies and Strategic Plans

Trade Policy, National HIV/AIDS and STI Policy, Education Strategic Plan and An Integrated ICT-led Socio-economic development policy and Plan Development Framework.

ii. Coordinating Agencies

It is important to note that the policies of coordinating agencies like the National Population Council and the Ghana Aids Commission provide guidance to their implementing agencies. In this respect the programmes of these coordinating bodies should be precisely stated taking into consideration the programme they will be spending their budget on, for example, Advocacy Programmes, developing and issuing Guidelines etc in addition to areas expected to be implemented by their stakeholders.

Furthermore, it will be necessary for Sectors to consult the relevant agencies responsible for co-ordinating cross-cutting issues for the necessary technical backstopping.

iii. Formulation of new sector policies

On the other hand where an organisation within a sector has no Policy framework or plans with programmes, or a situation where the GPRS II has new policy objectives which are not in the existing sector policy framework with programmes, the organisation concerned may develop development programme by considering the following example:

Box 3.6 Programming

Example of a possible Programme under Priorities for Private Sector Competitiveness

An Agricultural objective may be to increase incomes by 100% through effective extension services by the year 2009. The following may be the accompanying activities:

1. Promote use of improved planting materials
2. Promote use of improved breeds of livestock
3. Promote use of irrigation facilities
4. Encourage nuclear out-grower schemes
5. Promote micro credit schemes
6. Disseminate research findings
7. Provide market information

For the purposes of programming, 1,3,4,7 can be grouped together to form a programme to deliver on the objectives. On the other hand 2,5 and 6 could stand on their own as separate projects.

Moreover, in an event where a sector organisation is formulating a new Policy framework, the sector organisation should be guided by the GPRS II.

iv. District Departmental Programmes

Some Sectors like education, Health and Agriculture operate through sector district departments or decentralised structures of the District Assemblies in terms of input soliciting and eventual implementation of those Sectors' Policies, programmes and projects. It is mandatory for such Sectors to integrate their district departmental prioritized programmes into their national programmes. Ministries in this category are:

- a. Ministry of Education, Science and Sports
- b. Ministry of Manpower Youth and Employment
- c. Ministry of Water resources, Works and Housing

- d. Ministry of Transport
- e. Ministry of Local Government, Rural Development and Environment
- f. Ministry of Finance and Economic Planning
- g. Ministry of Lands, Forestry and Mines
- h. Ministry of Information and National Orientation
- i. Ministry of Trade, Private Sector Development and the President's Special Initiative
- j. Ministry of Health
- k. Ministry of Food and Agriculture
- l. Ministry of Interior
- m. Ministry of Fisheries

v. Mainstreaming/Integrating cross cutting issues in Sector Programmes

Cross-cutting issues such as Gender, Environment, HIV/AIDS, Vulnerability and Exclusion are critical with respect to development. These are issues that can contribute to accelerating or derailing the progress of development. It is therefore required that all sectors should include cross-cutting issues in their programmes as priorities. Where a strategic plan exists without addressing cross-cutting issues, it should be reviewed and incorporated in the SMTDP in relation with the following:

v. (i). Gender

Cogent development interventions following from the gender analysis made in the sector profile as well as specific GPRS objectives regarding gender equality ought to be integrated in the SMTDPs. These interventions may be gender specific, either women or men specific, depending on the need to bridge deficits in demand for the sector's goods and services, or mainstreamed, targeting proportionally, both gender according to their populations.

v. (ii). Environment

Sectoral development activities may tend to aim mainly at achieving the sector objectives (e.g. increasing productivity), while neglecting the nature, stability and resilience of the environment (socio-cultural, economic and natural resources), upon which the long term sustainability of that sector's activities depend. Sector programmes should cover environmental concerns.

v. (iii). HIV/AIDS

Sector programmes on HIV/AIDS should cover the objectives and strategies as outlined in both the GPRS II and the HIV/AIDS National Strategic framework of the GAC.

v. (iv) Social Protection

A Clear Social protection programme, based on issues identified in the Vulnerability analysis (these may be preventive, protection, promotional, and empowerment in nature) to deal with vulnerability and exclusion relevant to the sector's area of

competence. Social Protection interventions identified in the GPRS II as well as the draft Social Protection Strategy (MMYE) may be consulted for more information.

Output of Step 10: Broad Sector programme formulated

3.11. STEP 11. FORMULATION OF JOINT-SECTOR PROGRAMMES

It should be noted that the formulation and implementation of cross-cutting Sector programmes and also ensuring synergy may require Joint-Sector approach. For that matter sectors should consult NDPC which will facilitate Joint Sector programming through joint meetings. When formulated, sectors should consider how best to cooperate and build joint capacities to achieve that common objective(s). This should be incorporated in the individual SMTDPs. (refer to National Development Planning System (NDPS) Act, 1994, (Act 480).

Box 3.9 Joint Programming

Example of an area requiring Joint Programming

Processing of agricultural products is an area which may require Joint-programming involving agriculture, industry, trade, infrastructure, energy etc. sectors.

Output of step 11: Joint Sector Programmes formulated

3.12. STEP 12. APPLICATION OF SUSTAINABILITY TOOLS

Sectors are required to ensure that their programmes are:

- internally consistent (supporting each other to achieve the sector objective).
- sustainable (thus supporting conservation of the natural environment, addressing socio-cultural and economic issues)

In this regard, Sectors are required to apply the following tools to facilitate the programming exercise (See Annex 3 for Application Notes):

- § Sustainability Test
- § Internal Consistency Matrix

The NDPC in collaboration with the relevant organizations will provide the necessary technical backstopping in this regard and ensure that various sectoral programmes are externally compatible. The output of these exercises will lead to formulation of viable and sustainable programmes.

Output of Step 12: List of sustainable programmes

3.13. STEP 13. FORMULATION OF SECTOR PROGRAMMES OF ACTION (POA)

Sectors are required to prepare broad Sector PoAs, covering the 2006-2009 planning period. Such PoAs should consist of a set of Sector Programmes and their cost, which

are intended to enhance the achievement of the prioritised Sector objectives under the GPRS II. These PoAs should provide the essential steps for ease of implementation, monitoring and evaluation.

A Sector- PoA should include the following:

- Sector Goal (Step 6)
- Sector objective (s) (Step 8)
- Sector strategies (Step 9)
- Indicators and targets (Step 2)
- Time Schedule
- Indicative budgets (Step 13)
- Implementation Arrangement (including Lead/Collaborating Agencies and their expected roles)
- Remarks (See Annex 4 for a sample of PoA Matrix)

Output of Step 13: Sector PoA.

3.14. Step 14. Preparation of Indicative Financial Plan

Sectors are required to prepare an Indicative Financial Plan that deals with resource mobilisation, strategies as well as expenditure. It provides an idea of how much the SMTDP may cost with respect to the programmes of the Sectors as well as how resources will be mobilised and then utilised over the planned period. Financing the estimate should take into consideration sources of funding including Internally Generated Funds (if any), projected GoG in-flows (including HIPC benefits), resources from development partners etc. Resource gaps should be identified and appropriate strategies embarked upon to mobilise additional resources to fill the financial gaps. Expenditure areas should be included as well as spelling out financial control mechanisms.

Clear budget lines should be provided for cross-cutting programmes relating HIV/AIDS, the environment, employment, gender equality and social protection among others.

Output of Step 14: Broad Indicative Financial Plan prepared

3.15. Step 15. Implementation of Sector Annual Action Plans

The Sector-PoA should be phased out into Annual Action Plans (AAPs) with a budget, which should be implemented by the respective Sector organizations. Implementation involves translating the Sector Policies and programmes into activities to improve the living conditions of the target citizenry. The implementation arrangement should provide information about:

- § what action to be taken,
- § who to take that action,
- § at what time, and
- § who is the responsible or principal action agent, as well as
- § collaborating agent (s) including development partners and their roles and

§ a budget. (See Annex 5 for a sample of AAP Matrix

Implementation of activities should match up with the timely inflow of resources in order not to distort implementation schedules. A timetable to facilitate participation of other stakeholders in the implementation of the SMTDP should be drawn. Recognition should be given to changes and/or improvements to roles/functions, procedures and institutional structures. Proposals for improvement (including capacity building) of institutional, administrative and legal framework within the Sector may also be included here. Experience shows that failure to deal with these institutional/administrative matters, seriously hamper implementation.

Output of Step 15: Sector Annual Action Plan developed.

3.16. Step 16. Linking the Sector Plan to the Annual Budget

The budget should be considered as allocating financial resources for the implementation of the SMTDP and as such a link to the achievement of the policy objectives of the Sector. The Medium-Term Expenditure Framework (MTEF) process should be used, since it links Sector's expenditure to the Sector's goal, objectives, activities, output and outcomes as outlined in the SMTDP.

Output of Step 16: Sector Plan linked to Annual Budget

BOX 3.11. PROGRAMMES FOR YEAR 2006 AND 2007

It should be noted that the implementation of the GPRS II took-off since January 2006 with Sector programmes and activities. These programmes and activities should be capture and incorporated in the SMTDP as the Programmes for year 2006 and 2007 of the planned period.

4. Monitoring and Evaluation (M&E)

Sectors are required to monitor and evaluate the implementation of their Medium-Term Development Plans. The NDPC shall provide the appropriate Monitoring and Evaluation Guidelines to that effect.

5. DEVELOPMENT OF SECTOR COMMUNICATION STRATEGIES/PLANS

Sectors are expected to formulate Communication Plans among others to:

- § disseminate sector policies, programmes, projects and progress reports to inform/create awareness
- § Create awareness on the expected roles of the stakeholders in the implementation of the sector programmes
- § Promote dialogue and generate feedback on the performance of the sector
- § Promote access and manage expectations of the public concerning the services of the sector

MDAs are requested to form Development Communication Units to be headed by Public Relations Officers/Information Officers, who will coordinate the formulation and implementation of the Communication Plans. The NDPC, in collaboration with the relevant Ministry will coordinate and provide technical backstopping for the activities of MDA Development Communication Units at the national level.

6. OUTLINE OF SECTOR MEDIUM-TERM DEVELOPMENT PLAN

The SMTDP should follow the outline below:

i. Table of Contents

ii. List of acronyms

iii. Executive Summary

1. General background to the preparation of the SMTDP including brief description of the process and participation of key stakeholders.
2. A brief insight into the scope and direction of the development policies, programmes and projects for 2006-2009
3. Indicative budget, financial plan and expected outcomes.

iv. Chapter 1. Profile/Current Situation/baseline :- A statement on the:

- a. Analysed status of the performance of the Sector in implementing programmes and projects under the five GPRS I themes 2003 – 2005 and other interventions from 2002 to 2005.
- b. Analysed current situation or baseline/profile of the Sector as informed by the GPRS I and other factors
- c. A summary of key development problems/issues/gaps identified from the situation analysis

v. Chapter 2. Development Priorities :- A statement on the Sector development priorities linked to the appropriate theme of the GPRS II with respect to;

- a. Priorities for Private Sector competitiveness
- b. Human Resource Development
- c. Good Governance and Civic Responsibility

vi. Chapter 3. Development Goal, Objectives and Strategies:- A statement on:

- a. a clear Sector Goal consistent with the Goal of the Growth and Poverty Reduction Strategy (GPRS II).
- b. Development projections for 2006-2009
- c. Broad objectives in relation to the appropriate theme of the GPRS II.
- d. Strategies to achieve the objectives

vii. Chapter 4. Development Programmes :- Statement on

- a. adopted broad Sectoral Development Programmes for 2006-2009 (including Joint Programmes if any).
- b. Indicative Financial Plan.

- viii. **Chapter 5. Implementation of Annual Action Plan:-** A statement on
- a. Arrangement made to implement the Sector-PoA through Annual Action Plans
 - b. Linking Plan to the Annual Budget using the MTEF process
- ix. **Chapter 6. Monitoring and Evaluation Arrangements :-** A statement on
- a. Monitoring and Evaluation Plan for the SMTDP
- x. **Chapter 7. Communication Strategy**
- Communication Strategy relating to:
- a. Dissemination of the SMTDP and Annual Progress Report of the implementation of the SMTDP.
 - b. Creation of awareness on the expected roles of the stakeholders in the implementation of the sector programmes
 - c. Promotion of dialogue and generation of feedback on the performance of the sector
 - d. Promotion of access and management of expectations of the public concerning the services of the sector

7. ACTIVITY TIME FRAME FOR PREPARATION OF SMTDP

STEP	ACTIVITY	TIME FRAME
Step 1	Performance Review	Week One after Orientation
Step 2	Compilation of the Sector Profile	Week Two
Step 3	Linking Identified Key Development Problems/Issues to the GPRS (GPRS I)	Week Three
Step 4	(a) Prioritisation of Identified Issues (b) Prioritisation of Spatial Location (c) Prioritisation of Opportunities for the promotion of cross-cutting issues	
Step 5	Application of Potentials, Opportunities, Constraints and Challenges	
Step 6	Formulation of Sector goals	Week Four and Five (Excluding Christmas Holidays)
Step 7	Development Projections for Year 2006-2009	
Step 8	Objective setting	
Step 9	Sector Strategies	
Step 10	Formulation of Sector Development Programme	Week Six and Seven
Step 11	Formulation of Joint Programme	
Step 12	Application of Sustainability Tools	
Step 13	Formulation of Sector Development Programme of Action (PoA)	
Step 14	Preparation of Indicative Financial Plan	
Step 15	Implementation of Sector Annual Action Plans	
Step 16	Linking the Sector Plan with the Annual Budget	
	Submission of first draft of SMTDP to NDPC	January 31,2007
	Submission of copies of final SMTDP to NDPC	February 28, 2007

8. ANNEXES

ANNEX 1. NATIONAL DEVELOPMENT PLANNING SYSTEM ACT, 1994

Act 480

National Development Planning (System) Act, 1994

Planning functions of ministries and sector agencies.

(ii) matters relating to development planning in the region, including spatial and sectoral policies and;

(b) provide a secretariat for the Regional Co-ordinating Council to perform its functions as specified under section 8 (1) of this Act.

10. (1) A ministry shall undertake development planning functions in consultation with the Commission in accordance with the Civil Service Law, 1993 (P.N.D.C.L. 327).

(2) A ministry or sector agency shall at the request of the Commission prepare a development plan.

(3) The development planning undertaken by a ministry or a sector agency shall be based on national development goals and sectoral development guidelines issued by the Commission.

(4) The development plan of a ministry or a sector agency shall be submitted to the Commission for consideration and approval.

(5) The ministry or sector agency shall ensure that the plans are compatible with national development goals.

(6) A ministry or sector agency shall monitor the implementation of approved development plans and submit a monitoring report to the Commission in the prescribed form.

(7) The monitoring report shall be submitted at intervals determined by the Commission.

Functions of Commission relating to development plans for districts, ministries, and sector agencies.

11. The National Development Planning Commission shall—

(a) prescribe the format and content of development plans for the districts, ministries and sector agencies;

(b) co-ordinate district development plans and programmes submitted through the Regional Co-ordinating Councils and ensure that these plans and programmes are compatible with national development objectives;

(c) integrate economic, spatial and sectoral plans of ministries and sector agencies and ensure that these plans are compatible with national development objectives;

(d) advise relevant agencies on the formulation of guidelines for the regulation of physical development;

(e) in collaboration with relevant agencies, monitor physical development to ensure that any proposed development conforms with the approved development plan for the respective area;

ANNEX 2. NOTES ON POTENTIAL, OPPORTUNITIES, CONSTRAINTS AND CHALLENGES (POCC) ANALYSIS

Potentials of a Sector refer to factors; advantages and resources (within the sector) which when utilised can enable a sector to enhance its sustained socio-economic development or to overcome its challenges

Opportunities are external factors (beyond the sector) that positively influence development of a sector.

Constraints are disadvantages emanating from internal factors such as institutional, human and physical resources that act against development. Examples are regular ethnic conflicts, an uneducated and unskilled labour force, environmental hazards, rapid population growth, etc.

Challenges may be external factors or obstacles (beyond the sector) that may hamper smooth development effort. (e.g. declining cocoa prices, bush-fires from neighbouring countries, in-migration of job seekers without skills and resources for decent employment and livelihood, influx of refugees etc).

APPLICATION OF POCC ANALYSIS

- Step 1. For each PPP (from Annex 4) identify its corresponding potentials, opportunities, constraints and challenges.
- Step 2. Relate the PPP against the identified Potentials, opportunity, constraints and challenges to determine its feasibility/viability.

EXAMPLE

Revised/ New Initiative, Programme & Project	Policy &	Potentials (from Baseline situation etc)	Opportunity	Constraints	Challenge
Increase land under irrigation		- Acreage of available arable/irrigable land, - Volume of water for irrigation	- Additional resources from development partners, - HIPC Initiative	- Land litigation, Environmental concerns, - inadequate marketing avenues	- Untimely release of support from Development Partners, - Bushfires
Conclusion: Increase land under irrigation is a feasible/viable revised policies/new policy Initiatives. Significant potentials and opportunities exist to support the policy. Constraints can be addressed through developing synergies in programme design; Challenges can be managed through intervention by Bilateral and Multilateral arrangements.					

The result of such an analysis would lead to the following:



- list of feasible/viable issues to be addressed
- list of the Potentials of the sector, which can be developed to achieve the sector objective and goal.

- list of opportunities (beyond the sector), but which are essential to meeting development needs such that Development Partners have to be lobbied for relevant support.
- list of constraints of the sector, which have to be synergised in programme/project design to tackle the problems.
- list of challenges that can hinder development or resource utilization, which must be addressed.

ANNEX 3. NOTES ON THE APPLICATION OF SUSTAINABLE TOOLS

3.1. INTERNAL CONSISTENCY MATRIX-EXPLANATORY NOTES

Each sector should analyse its own programmes against one another to determine their consistency. The purpose of this exercise is to examine the sector Programmes to ensure that they support each other within the sector for the achievement of the sector objectives. To do this a matrix should be formulated which:

- should list a set of programmes of the sector from Steps 9 and 10 in the rows in the first column.
- These same programmes should be listed across the columns in the top row.
- The SMTDP Preparation Teams should examine the interactions of programme 1 identified in the first column with each of the remaining programmes numbered 2 upwards appearing across the top of the matrix.
- Where two programmes are mutually supportive with each other this should be recorded by marking an (X) in the relevant box.
- Where two programmes have the potential to conflict with each other this should be record by marking an () in the relevant box.
- If there is no significant interaction this should be recorded by an (O).
- If the interaction is doubtful it should be recorded as both (X) and ()

A record sheet should be completed to describe the nature of any significant interactions. (It is not necessary to record reasons for no interactions). An example of a completed record sheet is attached.

The record sheet is helpful in communicating to people who have not been involved in the discussions, the reasons why the interactions between particular programme have been identified as having positive, negative or neutral impacts.

Record sheets can also be used for checking revisions and refinements of programmes on an on-going basis.

3.1.2. INTERNAL CONSISTENCY MATRIX FOR THE ANALYSIS OF SECTOR PROGRAMMES

		1	2	3	4	5	6	7	8	9
NO.	SECTOR PROGRAMMES									
	SAME Sector PROGRAMMES									
1										
2										
3										
4										
5										
6										
7										
8										
9										

ii. Assess the performance of the programme in relation to each criterion, and score that performance using a scale of '(0),1 -5' as set out below.

iii. Summarise the findings in a report to decision-makers.

For each indicator, a scale of 0-5 is used to reflect the extent to which the activity supports, is neutral to, or works against the sustainability aim. The scale is as follows:

0	1	2	3	4	5
Not Relevant	Works strongly against the aim	Works against the aim	On balance has neutral effects on the aim	Supports the aim	Strongly supports the aim

The Matrix gives an instant visual impression of the overall performance of the programme – but care must be taken in summing or aggregating scores (because not all of the criteria would warrant equal weight).

The tool is particularly valuable when it is used to support revisions to programme since alternatives can be tested by comparing their relative performance.

3.2.1. APPLICATION OF THE SUSTAINABILITY TEST

Step 1: An initial checklist of the main characteristics of the programmes should be prepared

Step 2: The likely effects of the policy should be discussed against each criterion in turn. A consensus of opinion should be used to arrive at the appropriate score.

3.2.2. Notes:

The validity of the outcome is enhanced when the matrix is completed independently by more than one group of stakeholders (i.e. MDAs, developers, local community representatives and professional staff).

It can be helpful to get stakeholders to prepare their own list of sustainability criteria (through a public participation exercise) before using the matrix. This allows local circumstances to be taken into account.

It is also important to complete a record sheet assigning reasons for all the scores in the matrix.

3.2.3. EXAMPLE - SUSTAINABILITY TEST MATRIX

Policy Statement:		
CRITERIA – BASIC AIMS AND OBJECTIVES	INDICATORS	PERFORMANCE MEASURE
EFFECTS ON NATURAL RESOURCES		
Protected Areas and Wildlife: should be conserved, and these resources should be enhanced where practical.	Sensitive areas shown on GIS map	(0) 1 2 3 4 5
Degraded Land: Areas vulnerable to degradation should be avoided, and already degraded land should be enhanced.	Vulnerable areas shown on GIS map	(0) 1 2 3 4 5
Energy: The PROGRAMME should encourage efficient energy use, and maximize use of renewable rather than fossil fuels.	Quantity /type of fuel/energy required	(0) 1 2 3 4 5
Pollution: Discharges of pollutants and waste products to the atmosphere, water and land should be avoided or minimised.	Quantity /type of pollutants and waste	(0) 1 2 3 4 5
Use of Raw Materials: All raw materials should be used with maximum efficiency, and recycled where practical.	Quantity and type of materials	(0) 1 2 3 4 5
Rivers and Water-bodies: should retain their natural character.	Minimum flows/ water levels set	(0) 1 2 3 4 5
		(0) 1 2 3 4 5
EFFECTS ON SOCIAL AND CULTURAL CONDITIONS		
Local Character: and cohesion of local communities should be maintained and enhanced where practical.	Use of GIS / database to highlight sensitive areas	(0) 1 2 3 4 5
Health and Well-being: The PROGRAMME should benefit the work force, and local communities in terms of health and well-being, nutrition, shelter, education and cultural expression.	Financial or other contribution	(0) 1 2 3 4 5
Gender: The PROGRAMME should empower women.	Number of women empowered	(0) 1 2 3 4 5
Work for Local People: Priority should be given to providing jobs for local people and particularly women and young people.	Number of people employed	(0) 1 2 3 4 5
Participation: Active participation and involvement of local communities should be encouraged (especially vulnerable and excluded sections).	Description of proposals to meet this aim	(0) 1 2 3 4 5
Access: to land should be improved.	Number of people assisted	(0) 1 2 3 4 5
Access: to water should be improved.	Number of people assisted	(0) 1 2 3 4 5
Access: to transport should be improved.	Number of people assisted	(0) 1 2 3 4 5
Sanitation: Should be improved.	Number of people assisted	(0) 1 2 3 4 5
Equity: Adverse and beneficial impacts from development should be distributed equitably and should not discriminate against any groups, especially vulnerable	Environmental Report (or EIA)	(0) 1 2 3 4 5

and excluded people.		
Vulnerability and Risk: of drought, bushfire, floods crises and conflicts and epidemics should be reduced.	Occurrence monitored	(0) 1 2 3 4 5
		(0) 1 2 3 4 5
EFFECTS ON THE ECONOMY		
Growth: The PROGRAMME should result in development that encourages strong and stable conditions of economic growth.	Financial Plan showing projected growth and monitoring	(0) 1 2 3 4 5
Use of local materials and services: The PROGRAMME should result in the use of raw materials and services from local industries where possible.	Description of sources	(0) 1 2 3 4 5
Local Investment of Capital: Development should encourage the local retention of capital and the development of downstream industries, utilising local raw materials, products and labour.	Description of investment strategy	(0) 1 2 3 4 5

3.2.4. SUSTAINABILITY TEST RECORD SHEET

Description of PPP/Activity:		
CRITERIA – BASIC AIMS AND OBJECTIVES	SCORE	REASONS
EFFECTS ON NATURAL RESOURCES		
Protected Areas and Wildlife: should be conserved, and these resources should be enhanced where practical.		
Degraded Land: Areas vulnerable to degradation should be avoided, and already degraded land should be enhanced.		
Energy: The Activity should encourage efficient energy use, and maximize use of renewable rather than fossil fuels.		
Pollution: Discharges of pollutants and waste products to the atmosphere, water and land should be avoided or minimised.		
Use of Raw Materials: All raw materials should be used with maximum efficiency, and recycled where practical.		
Rivers and Water bodies: should retain their natural character.		
EFFECTS ON SOCIAL AND CULTURAL CONDITIONS		
Local Character: and cohesion of local communities should be and enhanced where practical.		
Health and Well-being: The Activity should benefit the work force, and local communities in terms of health and well-being, nutrition, shelter, education and cultural expression.		
Gender: The Activity should empower women.		
Job Creation: The activity should create jobs for local people particularly women and young people.		
Participation: Active participation and involvement of local communities should be encouraged (especially vulnerable and excluded sections).		
Access to Land: Activity should improve access to land.		
Access to Water: Activity should improve access to		

water.		
Access to Transport: Activity should improve access to transport.		
Sanitation: Activity should improve sanitation.		
Equity: Adverse and beneficial impacts from development should be distributed equitably and should not discriminate against any groups, especially vulnerable and excluded people.		
Vulnerability and Risk: of drought, bushfire, floods crises and conflicts and epidemics should be reduced.		
EFFECTS ON THE ECONOMY		
Growth: The PPP should result in development that encourages strong and stable conditions of economic growth.		
Use of local materials and services: The PPP should result in the use of raw materials and services from local industries where possible.		
Local Investment of Capital: Development should encourage the local retention of capital and the development of downstream industries, utilising local raw materials, products and labour.		

ANNEX 4. SECTOR PROGRAMME OF ACTION

Sector goal:

Sector objectives	Sector strategies	Indicators	Time frame				Indicative Budget		Implementing Agencies	
			2006	2007	2008	2009	GoG	Donor	Lead	Collaborating

ANNEX 5 SECTOR ANNUAL ACTION PLAN

Sector Goal:

Sector objectives	Annual Activities	Location	Indicators	Quarterly Time schedule				Indicative Budget		Implementing Agencies	
				1st	2nd	3rd	4th	GoG	Donor	Lead	Collaborating

9. GLOSSARY

A baseline situation/condition: refers to a situation at a certain moment, and can be used as a reference point to establish trends (e.g. as a result of policy, programme and project interventions).

Environment: the physical environment, or the ecological system, including the totality of environmental functions (not only natural resources) that are functional for human society (and which are generally being influenced by human activities).

Environmental assessment: a systematic process of evaluating and documenting information on the potentials, capacities and functions of natural systems and resources in order to facilitate sustainable development planning and decision making in general, and to anticipate and manage the adverse effects and consequences of proposed undertakings in particular (Sadler, 1996).

Environmental Impact Assessment (EIA): a process of identifying, predicting, evaluating and mitigating the biophysical, social and other relevant effects of proposed projects and physical activities prior to major decisions and commitments being made.

Environmental sustainability: the management and protection of the ecological system in such a condition and to such a degree that environmental functions (the ability to provide goods and services) are maintained over time, at levels sufficient to avoid and reduce risks of future catastrophes, and which give future generations the opportunity to enjoy an equal measure of utilisation of environmental functions.

Impact: this is the result of the outputs.

Outputs: these are goods and services to be produced in a given period in order to achieve stated objectives. They establish the activities that should be carried out and completed and should therefore set out:

- § What is to be accomplished,
- § How much is to be accomplished,
- § By whom, and
- § When the activities should be accomplished.

In other words, the outputs should be specific, measurable, achievable, realizable, and time-bound.

Policy: a general course of action or proposed overall direction that a government or other institution is, or would be, pursuing and which guides ongoing decision making

Programme: a coherent, organised agenda or schedule of commitments, proposals, instruments and/or activities that elaborates and implements policy, eventually comprising several projects.

Project: a proposed capital undertaking, typically involving the planning, design and implementation of specified activities.

Stakeholder: a functional category of actors with a direct dependency on certain environmental resources, in terms of their use and management for specific goals. In many cases the stakeholder is also the 'primary actor'.

Strategic Environmental Assessment: a systematic process for evaluating the environmental consequences of proposed policy, plan or programme initiatives to ensure they are properly included and appropriately addressed at the earliest possible stage of decision making, on a par with economic and social considerations (Sadler & Verheem, 1996).

Strategic planning: a process that aims to provide insights that allows one to take decisions on what would need to be done in the future, and to formulate realistic objectives for the organisation(s) involved to reach in the future.

Sustainable development (SD) a process of change in which the exploitation of resources, the direction of investments, and the orientation of technological development and institutional changes are in harmony, and enhance both current and future potential to meet human needs and aspirations.

Sustainable development (SD) dimensions: the ecological, social, economic (and institutional) issues involved in defining sustainable development.

Threshold: the point at which the use of an environmental function exceeds sustainability criteria (i.e. exceeds its capacity to regenerate, reproduce or function properly), gradually or suddenly leading to its collapse.

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