

APPENDIX F

INSTITUTIONAL PLANNING CHECKLIST

Source: Robinson, R. (1998). Interview Guidelines. Produced for the Road Planning, Funding and Funds Allocation Study. Crowthorne: Transport Research Laboratory

| | | |
|------------|--|--|
| 1 | Nature of the plan | |
| 1.1 | <i>Scope and level of plan</i> | |
| 1.1.1 | Which of the following strategic documents are produced: <ul style="list-style-type: none"> • <i>Economic and social development</i> - Development plan • <i>Transport network</i> - Transport plan - Road plan - Road investment/development plan - Road maintenance plan • <i>Organisation</i> - Corporate or business plan - Departmental plans for areas such as staff development, information technology, equipment, etc • Other? | |
| 1.1.2 | At what level are these produced: <ul style="list-style-type: none"> • Nationally • Regionally • District level? | |
| 1.1.3 | In addition to strategic planning documents, are documents produced for programming (tactical planning) and project appraisal? | |
| 1.1.4 | How do the various plans related to each other? | |
| 1.2 | <i>Legal framework</i> | |
| 1.2.1 | Is there a legal requirement for the preparation of a plan? | |
| 1.2.2 | Are the plans published; can they be purchased by the general public? | |
| 1.2.3 | (Obtain copies, wherever possible, of all relevant plans.) | |

| | | |
|------------|---|--|
| 1.3 | <i>Planning term</i> | |
| 1.3.1 | What time periods do the various plans cover? | |
| 1.3.2 | At what time intervals are the various plans prepared? | |
| 2 | Preparation of the plan | |
| 2.1 | <i>Responsibilities</i> | |
| 2.1.1 | <p>Who commissions the production of the various plans:</p> <ul style="list-style-type: none"> • Cabinet/presidents office • Select committee of parliament or the legislature • Ministry of planning or economics • Ministry of finance • Ministry of transport or communications • Ministry of works • Regional or district government • Roads board • Road administration at national, regional or district level • Other? | |
| 2.1.2 | Do the commissioning organisations produce their own plans, or are these produced by others; if so, by whom? | |
| 2.1.3 | Are there documented procedures for the preparation and approval of plans (obtain a copy if possible)? | |
| 2.1.4 | (Obtain organisation charts of the commissioning and producing organisations, and show on this the flow of information and decision making in the preparation of the plan) | |
| 2.1.5 | Are reporting channels and responsibilities clear for preparation of the plan; are there any multiple reporting lines or one-on-one relationships; are there major bottle-necks? | |
| 2.1.6 | Is value added to the plan at all points in the preparation process? | |

| | | |
|------------|---|--|
| 2.1.7 | Are regional structures involved in the planning process; if so: <ul style="list-style-type: none"> • Are all functions represented • What are the reporting lines to the centre? | |
| 2.2 | <i>Socio-political factors</i> | |
| 2.2.1 | Are there historical, social, cultural or gender factors that affect the planning process? | |
| 2.2.2 | What are the implications of government policy in the preparation of plans; how is this policy defined and recorded? | |
| 2.2.3 | What priority is given to planning compared with other activities of the organisation? | |
| 2.2.4 | Who are the key players in the planning process; which individuals in the process are political appointees? | |
| 2.2.5 | To what extent are planning decisions influenced by political factors? | |
| 2.2.6 | Are planning decisions independent of nepotism, favouritism, or corruption? | |
| 2.3 | <i>Macro-economic and resource factors</i> | |
| 2.3.1 | To what extent is the national economy governed by market forces, and to what extent is it planned or controlled centrally; what impact do these factors have on the planning process? | |
| 2.3.2 | What impact does the general economy have on planning, either in terms of the planning process itself, or in terms of the ability to achieve planning targets: <ul style="list-style-type: none"> • Is the budget adequate • Can it be relied upon • Does the availability of foreign exchange have any impact • Is the availability of foreign aid a factor in the plan? | |

| | | |
|------------|--|--|
| 2.4 | <i>Related institutions</i> | |
| 2.4.1 | What is the relationship between the commissioning organisation and that producing the plan; are there good communications; is there trust and co-operation? | |
| 2.4.2 | Does the organisation producing the plan rely on information from third parties over which it has no control? | |
| 2.4.3 | What contribution does the organisation expected to implement the plan make to its formulation? | |
| 2.5 | <i>Human resources</i> | |
| 2.5.1 | Are there sufficient staff available to undertake the planning process? | |
| 2.5.2 | Are planning staff adequately educated and trained? | |
| 2.5.3 | Are compensation, benefits and incentives adequate to motivate planning staff? | |
| 2.5.4 | What are the relationship between planning staff and others in the organisation, particularly those who need to provide information to feed into the plan, or may be responsible for implementing the results of the plan; are there good communications; is there trust and co-operation? | |
| 2.6 | <i>Information and data</i> | |
| 2.6.1 | <p>What information is used as the basis of preparing a plan:</p> <ul style="list-style-type: none"> • Network and inventory details • Condition of pavements on the road network • Information on structures and their condition • Traffic levels and loadings; traffic accident details; forecast growths • Actual costs of works; likely budget availabilities; likely revenues • Existing commitments, both physical and financial • Availability of physical resources • Other? | |

| | | |
|------------|---|--|
| 2.6.2 | Where is this information available; how is it stored; are computer-based systems used for processing data? | |
| 2.6.3 | What is the quality of the information available in terms of: <ul style="list-style-type: none"> • Relevance • Appropriateness • Reliability - accuracy and bias - spatial coverage - completeness - currentness • Affordability? | |
| 2.6.4 | Is account taken of risk; are plans subject to sensitivity or scenario analysis to reflect data reliabilities; how does this reflect in the final approval stage? | |
| 2.7 | <i>Monitoring and feed-back</i> | |
| 2.7.1 | Is the plan based on assessed or measured need; is need based on <ul style="list-style-type: none"> • Physical measurements of past works and current requirements • Realistic costs in terms of equipment, labour, materials and overheads • Projections of future scenarios • Defined road standards? | |
| 2.7.2 | How do the results of monitoring past achievement or performance feed into the planning process? | |
| 2.7.3 | Are there any performance indicators or other performance criteria that should be reflected in the plan? | |
| 2.8 | <i>Access to research and information</i> | |
| 2.8.1 | Do planning procedures reflect knowledge of current research work and good practice from other organisations or research centres? | |
| 2.8.2 | Is relevant research on planning currently carried out within the organisation? | |
| 2.8.3 | Are new techniques and practices introduced as a result of research results? | |

| | | |
|------------|--|--|
| 2.9 | <i>Summary</i> | |
| 2.9.1 | (Provide a detailed summary of the planning process: the staff involved; the decisions taken at each step; the information, models and tools used) | |
| 3 | Contents and use of the plan | |
| 3.1 | <i>Relationship to policy framework</i> | |
| 3.1.1 | Does the plan relate to a policy framework defined in terms of a mission, objectives and standards for the road sub-sector; who formulates the policy, is the policy documented, and what is the relationship to the plan? | |
| 3.1.2 | Are all planning objectives from the policy framework: <ul style="list-style-type: none"> • Measurable • Relevant • Specific • Achievable? | |
| 3.1.3 | What are the real goals as opposed to those formally stated (hidden agenda); how are these seen and resolved? | |
| 3.1.4 | Does the policy follow from the plan, or the plan follow from the policy? | |
| 3.2 | <i>Relationship between plans</i> | |
| 3.2.1 | What role does the plan play in national development; are the various plans produced consistent with each other? | |
| 3.2.2 | Does the national plan provide an appropriate policy framework for the internal plan, and for complementary roles of other institutions? | |
| 3.3 | <i>Quality of plan</i> | |
| 3.3.1 | Are consistent and formal procedures used in the plan, or are they based on ad hoc or political considerations? | |

| | | |
|------------|--|--|
| 3.3.2 | <p>Are all plans, and all components of the plan, subject to the same criteria; and are all projects and budgets subject to the same planning criteria:</p> <ul style="list-style-type: none"> • Donor-funded capital projects • Domestically-funded capital projects • Works funded from the recurrent budget • Other works? | |
| 3.3.3 | Are the planning assumptions realistic and reasonable, and are the plans achievable? | |
| 3.3.4 | How are priorities, including expenditure priorities, set in the plan; does the use of programming (pavement and bridge management) systems give similar results? | |
| 3.3.5 | Are the financial implications of the plan clear? | |
| 3.3.6 | <p>What outputs does the plan contain:</p> <ul style="list-style-type: none"> • Projected annual capital and recurrent budget requirements to meet road administration standards over a defined period into the future • Projected road conditions resulting from the application of pre-defined annual budgets for a defined period into the future • Projected road administration costs and road user costs for pre-defined standards, or annual budgets, for a defined period • Incremental net present value (NPV) of adopting one set of standards compared with another, or of adopting one particular stream of annual budgets compared with another • Other? | |
| 3.3.7 | How are the outputs from the plan presented, and are they in a standard format? | |
| 3.3.8 | Are plans subject to revision during the planning period? | |
| 3.4 | <i>Use and users</i> | |
| 3.4.1 | What are the various plans used for; or are operations undertaken with little or no reference to the plan? | |

| | | |
|-------|---|--|
| 3.4.2 | Who uses the various plans produced at each level; at what level in the organisation are they? | |
| 3.4.3 | Do any procedural conflicts arise from use, or non-use, of the plan; what is the relationship between the professional and political processes; what other constraints exist? | |
| 3.4.4 | Is the process of using the plan transparent? | |
| 3.4.5 | Are there any differences in use of the plan at national, regional or local level, or with major or minor roads, or urban or rural roads? | |
| 3.4.6 | Are performance indicators used to judge accomplishment against the plan? | |