

Planning for Sustainable Development in Senegal

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Abstract

This thesis aims to contribute to Senegal's progress towards sustainable development planning. It presents how Senegalese planning system is structured as well as its potential and its limits to change. Senegal is a West African country classified as a least developed country. Senegalese decision-makers seek to provide economic and social well-being to their population, while ensuring a rational and sustainable use of ecological resources. They have demonstrated their commitment to sustainable development in official planning documents and several development programs. However, the process towards sustainability faces several constraints. The structure of the development planning system is complex and rigid; involving a plurality of state agencies, local entities, advisory bodies, citizens, and parliamentarians whose work is uncoordinated and inefficient. Furthermore, a tension exists because the political organization is based on a social vision, while development actions are derived from a liberal policy. In addition, planners and decisions-makers do not share the same understanding of sustainable development. The situation is made more complex by international influences on the concept of sustainability that call for the integration of principles such as gender equality and universal education, making it difficult to establish a clear and commonly understood approach to sustainability . While Senegal seeks human, technical, and financial resources from international donors, the conditions of financial foreign partners further complicates the development planning system.

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Table of Contents

Abstract	i
Acknowledgements	iii
Table of Contents	iv
List of figures	vii
List of tables.....	viii
List of boxes.....	ix
List of abbreviations	x
Chapter I: Research Objectives, Questions and Limits	1
1.1 Research Objectives.....	1
1.2 Research Questions.....	1
1.3 Research Limits	2
Chapter II: Research Methods	3
2.1 Data collection	4
2.1.1. Official data collection and interviews data gathering.....	4
2.1.2. Criteria for participants' choice	4
2.2. Interviews process.....	5
2.3. Data Analysis	6
Chapter III: Background and Senegalese Development Context.....	7
3.1 Overviews on Senegalese Development Context	7
3.2 Problem Statement and Major Issues.....	9
Chapter IV: Literature Review on Sustainable Development and Development Planning. 12	
4.1 Economic Growth and Environmental Concerns	12
4.2 Eco-Development and Sustainable Development.....	14
4.3 Sustainable Development Concept and Development Planning.....	14
Chapter V: Existing and Potential Economic and Social Development Planning Tools in Senegal.....	18
5.1. Strategic Planning Tools	20
5.1.1. National strategic planning tools.....	21
5.1.2. Instruments of sectorial planning.....	28
5.1.3. Instruments of decentralized planning	29

5.2. Spatial Planning	30
Chapter VI: The Senegalese Development Planning Structure	34
6.1. Legal Framework for Development Planning.....	34
6.1.1. Senegalese legal system	34
6.1.2. Constitutional power of development planning	36
6.2. The Legal Force of Planning Documents	36
6.2.1. National plans legal force	36
6.2.2. Decentralized plans legal force	39
6.3. Institutional Structure for Sustainable Development Planning.....	40
6.3.1 State Agencies	40
6.3.2 Decentralized entities	44
6.3.3 Parliament.....	46
6.3.4 Civil society and private sector	46
6.3.5 Supreme Council for Planning (SCP)	47
6.3.6 National Commission for Sustainable Development	47
Chapter VII: Senegalese Perspective on Sustainable Development.....	50
7.1 Development and Sustainability in the Current Development Planning System.....	50
7.1.1 Identification of economic-growth-driven sectors.....	51
7.1.2 Prioritization of development objectives and the decision-making process	52
7.1.3 Implementation of environmental and social impact assessments	53
7.1.4 Implementation of participatory planning process approaches	55
7.1.5 Resource-based management tools and the development of monitoring and evaluation systems	58
7.2. Understanding(s) of “Sustainable Development” in Senegal.....	60
Chapter VIII: International Interventions and Influences on the Senegalese Development Planning system.....	66
8.1 Adoption of the Sustainable Development Concept in the Senegalese Development Planning Structure.....	66
8.2 Survival of the French Legacy and Senegalese Political Structure	68
8.3 Development Partners Support Consequences on the Senegalese Planning Structure.....	71
Chapter IX: Discussion.....	74
9.1 Value and Power of Development Plans and Strategies.....	74

9.1.1 The national level.....	74
9.1.2 At the regional, communal, and rural level.....	76
9.2 Initiative and Definition of the Development Plans	77
9.3 Inexistence of a Specific Development Model	79
9.4 Inconsistency of the Institutional Framework for Sustainable Development.....	80
9.5 The Absence of a Link between Spatial and Strategic Planning	81
9.6 Almost the Same Approach for Economic Driven Sectors since the Colonization Era ...	82
Chapter X: Suggestions and Recommendations	85
10.1 Define a Senegalese Perspective of Sustainable Development	85
10.2 Clarify the Legal Framework for Sustainable Development Planning.....	86
10.3 Improve and Reorganize the Institutional Framework for a Sustainable development....	87
10.4 Restructure Development Partners Support for Development Planning around a Single and Comprehensive Planning Instrument	88
10.5 Build and Strengthen Capabilities for Sustainable Development Planning.....	88
Chapter XI: Conclusion	89
References.....	91
Appendix A: Survey/ Questionnaire for Senegalese Participants	98
Appendix B: Survey/ Questionnaire for bi and multilateral partners and NGOs.....	101
Appendix C: Participant Consent Form.....	102
Appendix D: Virginia Tech IRB Approval.....	105

List of figures

Figure 3.1 : Problem Tree	11
Figure 5.1 : Planning Documents Hierarchy and Relationship.....	19
Figure 6.1 : Pyramid of the Hierarchy of Legal Norms	35
Figure 6.2 : Planning Instruments Legal Force and their Hierarchy.....	39
Figure 6.3 : Organization Chart of the General Department of Planning	42
Figure 7.1 : Types of Environmental Impact Assessment and their Implementation Levels	556
Figure 7.2 : A Ladder of Citizen Participation	57

List of tables

Table 2.1: Information on Interviews Conducted	5
Table 5.1 : Planning Document Characteristic and Implementation Mechanism	20
Table 5.2 : Situation of Integrated Regional Development Plans in the 14 Senegalese Regions.	30

List of boxes

Box 7.1: Senegalese Planners Perceptions of Sustainable Development.....63

Box 7.2: Decision-makers Perceptions of Sustainable Development.....65

Box 8.1: Senegalese Planners Perceptions relative to the influences of politics on development
planning processes.....70

Box 8.2: Decision-makers Perception of Development Partners Influences73

List of abbreviations

AGS	Accelerate Growth Strategy
ESDPD	Economic and Social Development Policy Document
IRDP	Integrated Regional Development Plan
IUCN	International Union for Conservation of Nature
UNISEO	International Sustainable Energy Organization
LDC	Least Developing Country
LDP	Local Development Plan
MDGs	Millennium Development Goals
MIP	Municipal Development Plan
NCSD	National Commission for Sustainable Development
NPSM	National Plan for Spatial Management
NSESD	National Strategy for Economic and Social Development
NSSD	National Strategy for Sustainable Development
OPESD	Orienting Plan for Economic and Social Development
PRSP	Poverty Reduction Strategy Paper
RDA	Regional Development Agency
RPSM	Regional Plan for Spatial Management
SAP	Structural Adjustment Policy
SCP	Supreme Council for Planning

Chapter I: Research Objectives, Questions and Limits

1.1 Research Objectives

This research aims to provide a useful contribution to Senegal's progress towards sustainable development. The intention is to identify ways in which Senegal can plan its development in a sustainable manner. Given the importance of integrating sustainable development into Senegal's development, this study will focus on the Senegalese's planning system. More specifically, it reviews the actions undertaken by the government and its different sub-entities to adopt methods and strategies to ensure a real integration of sustainable development principles in development planning. The major purpose is to analyze the current planning system in order to identify its strengths and weaknesses, and to propose solutions that could improve Senegal's planning framework for sustainable development.

1.2 Research Questions

The main research questions addressed in this research are as follows:

- What is the institutional framework within which a sustainable development strategy in Senegal would be situated?
- What are the strengths and weaknesses of this framework?
- What are Senegalese planners and decision-makers perspective of sustainable development in Senegal?
- What actions should be taken to strengthen and clarify the role of each entity involved in sustainable development planning in Senegal?

This research provides information about the extent to which planners and decisions makers understand the concept of sustainable development, and how their understanding is a

source of strength or weakness in the Senegalese planning system. From the information collected and analyzed, the thesis makes proposals to improve the Senegalese framework to promote sustainable development. It suggests actions that could be taken by authorities to strengthen and clarify the role of each entity involved in sustainable development in Senegal.

1.3 Research Limits

The principal limit of this study is its focus on the roles of state entities. The focus on government agencies' perspective of sustainable development planning is due to their centrality in defining development policies in Senegal. Thus, the analysis has not gone into the other structures involved in development planning in Senegal (i.e., private sector, civil society, etc.). Another challenge is the political context resulting from the 2010 election, which generated several institutional developments and changes that have not been taken into account in this document. For instance, the Department of Environment and Nature Protection will change to the Department of Environment and Sustainable Development, the Economic and Social Council was restructured to become the Economic, Social and Environmental Council, and the Policy for Economic and Social Development (2011-2015) was updated, and called the National Strategy for Economic and Social Development (2013-2017).

Chapter II: Research Methods

A mixed methods approach was used in this research. A literature review on sustainable development explores how the concept shapes the organization and implementation of a country's planning system (Quaddus M.A., Siddique M.A.B., 2001). Specific data about the Senegalese planning system along with the perspectives of policymakers and planners of sustainable development were collected through interviews. Relevant national and sectorial planning documents and major official reports have also been reviewed. This latter step was crucial as these documents define the framework for all development policies in Senegal.

Data was gathered from interviews with people directly involved in development planning activities within the national government. These interviews captured policy-makers and planners understanding of sustainable development.

As underlined by Moffatt et al. (2001), sustainable development is a process, an ideal to be achieved through achievable goals within a definite time scale. Obviously, there is no generic method for a development planning process (Moffatt et al., 2001). However, aspects such as a comprehensive "analytical framework of economy's structure", a clear planning level (national or local), a timeframe, and an identification of key sectors development should be taken into account (Chowdhury, A., Kirkpatrick, C., 1994). Through an internship at the International Sustainable Energy Organization (UNISEO), an accredited organization at the United Nations Office in Geneva, information was gathered on how some countries organize their legal and institutional framework towards sustainable development. This internship provided access to information about how to achieve "the ideal" of sustainability described by Moffatt et al. (Moffatt et al., 2001). It was also an opportunity to collect information about how UN agencies guide and support developing countries towards sustainable development, as part of their

missions. In addition, the internship was an opportunity to meet and discuss ideas with representatives of UN-institutions and non-governmental organizations having a consultative status at the United Nations Economic and Social Council (ECOSOC).

2.1 Data Collection

2.1.1. Official data collection and interviews data gathering

Official national and sectorial planning documents were collected in order to understand the Senegalese planning system. In addition, state agency reports, mainly from ministries of the main economic sectors (agriculture, tourism, and fisheries) were an important source of data as they highlight the successes and weaknesses of their development planning activities.

Data collection through interviews involved state agency representatives, local authorities, and Senegalese partners (bilateral and multilateral) on sustainable development matters. These interviews complied with Virginia Tech's Institutional Review Board (IRB) process.

2.1.2. Criteria for participants' choice

The criteria for choosing interviewees in Senegal were based on the position of the person and his/her involvement in the Senegalese development processes. Officers and technicians of the Ministry of Finance were targeted because of the importance of this department in the national planning system in Senegal. Key actors in the Ministry of Environment were interviewed because of their expertise in sustainable development. Since the Department of Environment is coordinating the National Commission for Sustainable Development, the experts involved in the work of the commission were interviewed. Planners and officers of the three key economic sectors (agriculture, fisheries and tourism) were also included in the group of professionals surveyed. In addition, several international NGOs and bilateral partners' representatives were contacted and interviewed. The following table provides

information about the people interviewed in each institution and their position (i.e., decision-maker or planner).

Table 2.1: Information on Interviews Conducted

Institutions visited	Number of interviewees	Position
Ministry of Economy and Finance (Senegal)	7	3 D 4 P
Ministry of Environment and Sustainable Development (Senegal)	2	P
Ministry of Tourism and Leisure (Senegal)	2	P
Ministry Of Spatial Planning and Decentralized Entities (Senegal)	2	D
Ministry of Fisheries (Senegal)	1	P
Ministry of Agriculture (Senegal)	1	P
National Commission For Sustainable Development (Senegal)	1	P
Coordinating Unit for Economic and Social Development (Senegal)	2	P
Foreign Country Embassy (Senegal)	1	P
Foreign Country Development Agency (Senegal)	1	P
International Union for Conservation of Nature (Switzerland)	3	P
United Nations Development Program (Switzerland)	1	P
United Nations Environmental Program (Switzerland)	1	P
United Nations Conference for Trade and Development	1	P
Green Cross International (Switzerland)	1	D
International Institute for Sustainable Development (IISD) (Switzerland)	1	P

Notice: D = decision-makers; P = Planners)

2.2. Interviews Process

A standardized open-ended interview format was used. Each interview was recorded with the consent of the interviewee. Ideally, each interview was conducted in two phases, a structured interview to obtain common information across participants and a more open ended interview to obtain the interviewee's perspective on sustainability-related issues (Becker, 1986; as cited in Hein, 2012a). However, given the senior position of survey respondents, it was sometimes difficult to meet a person twice. For senior planning officers both the consent form and the survey were emailed prior to the interview. This same method was used for all participants

surveyed in organizations visited in Geneva. For planners, who were more generally accessible, the interview process followed the two stages. Appendix A contains the survey administered to the Senegalese respondents while Appendix B contains the questionnaire used during discussions with foreign partners and UN representatives.

2.3. Data Analysis

The analysis of Senegalese official planning documents and laws in which these documents are enshrined informs how the objectives, time-frame, and expected results should be planned and incorporated, and how policies and programs should be implemented, monitored, and evaluated in accordance with sustainable development principles. This analysis helped to better understand the current structure of Senegalese planning system.

Data collected from interviews were analyzed using a whole text analysis as guided by Glaser and Strauss (1967, as cited in Hein, 2012c), and Corbin and Strauss (2008, as cited in Hein, 2012c). Each interview transcribed was divided into excerpts and coded in a way that summarized the deep meaning (direct and indirect) of answers given by the interviewees. The different codes were put into categories that were found relevant to the research questions. Insightful quotes have been integrated throughout this document to support the key ideas that emerged from the official documents and analysis of the interviews. The results from the analysis were used to develop a comprehensive review of sustainable development planning in Senegal that is presented in chapters V to VII. Chapters III and IV provide the context of development in Senegal and a literature review on development planning and sustainable development, respectively. Chapter IX discusses the key findings and chapter X provides recommendations to improve sustainable development planning in Senegal.

Chapter III: Background and Senegalese Development Context

3.1 Overviews on Senegalese Development Context

Senegal is a West African country covering 196,712 square kilometers, with 12,855,153 people growing at 2.5% per year (ANSD, 2012). Opened to the Atlantic Ocean along its western side, Senegal shares boundaries with the Republic of Mali to the east side, the Republic of Mauritania to the north, and both the Republics of Guinea and Guinea Bissau to the south. Senegal is divided into fourteen (14) regions, organized into administrative districts and local governments (decentralized entities named regions, municipalities and rural communities).

Senegal is considered as a Least Developing Country (LDC), but is ranked as the fourth largest economy in the West African sub-region because of its industrial network --- a legacy of the colonial economy, which is relatively large, compared to other countries in the region --- and its macroeconomic indicators which demonstrate a consistent growth. The Senegalese economic growth rate was estimated to be 4.1% in 2010 (ANSD, 2012). As for GDP, it is about \$ 1,650 per capita. Senegal's human development index is relatively good for an LDC, and was estimated at 0.459 in 2011, ranking it 155th among the 193 member states of the United Nations (UNDP, 2012).

The main economic sectors are fishing and tourism, while agricultural, which is the major activity, employs about 60% of Senegalese population. This last sector dominated by peanut production faces a drastic rainfall decline and an international market crisis. Thus, the agricultural contribution to the Senegalese economy is less than 20% of its GDP (Senegalese Report on Human Development, 2010). Moreover, it is difficult to translate the real value of GDP because of a low economic growth rate compared to high population growth. This situation reflects Senegal's challenge to achieve its goal to reduce by half its impoverished population by

2015. Although there is an attempt to implement a pro-poor growth strategy aiming to improve Senegalese living conditions, this may not be enough to reach this goal. However, Senegal manifests every day its commitment to achieve sustainable development by expressing in all its sectorial policies the necessity to take into account the importance of economic, social, and environmental impacts of government activities. The necessity of poverty reduction and the improvement of people's living conditions are central in Senegalese development policy. It is for this reason that policies and strategies are focused on achieving these objectives and to reduce or eliminate people's vulnerability to internal difficulties and external shocks. The framework composed by these policies and strategies consists of the following:

- the Millennium Development Goals Implementation National Strategy;
- the Orienting Plan for Economic and Social Development;
- the Poverty Reduction Strategies (PRS);
- the Accelerated Growth Strategy (AGS); and
- sectorial policy documents.

The effectiveness of policy and development strategies could be measured by the level of efficient implementation of sectorial development plans, the commitment of key actors (government, private sector, local authorities, and civil society), and the support of foreign development partners. Senegal has always demonstrated its commitment to move towards sustainable development by integrating economic, social, and environmental considerations into decision-making and policy development. However, the intention is not realized because of institutional, financial, and technical limits.

3.2 Problem Statement and Major Issues

After the Johannesburg Summit in 2002, Senegal strengthened its institutional framework for the development, monitoring, and evaluation of strategies and policies at national, sectorial, and local levels. While economic and social planning were covered by the Ministry of Planning, the Department of Environment was central in implementing and following the principles and criteria of sustainability in all its policies, programs, and projects. This same broad remit was also given to the Department of Finance. The numerous institutional changes due to government reshufflings made difficult to track which agency is responsible for which aspect of sustainable development. As a consequence, it has proven difficult to have a consensual document on sustainable development, which is accepted by the government's institutions and all stakeholders because of conflicting missions, competences, and roles.

A National Commission for Sustainable Development (NCSD) was created in September 8th, 2005. However, concrete measures enabling it to properly function did not follow. Currently the NCSD does not have the power to coordinate Senegalese development due to a lack of resources and limited competences. As an entity for reflection and decision-making, the Commission is limited with respect to the implementation of sustainable development actions. In addition, Senegal does not have a national strategy for sustainable development. Thus, coordination among states agencies and local collectivities, information availability, and public awareness have not been as successful as hoped for after the creation of the NCSD, because of a lack of human, material, technical, and financial resources.

A sustainable development plan was developed in 2007 but was not approved. How to proceed and adequately plan sustainable development in Senegal is quite complex since the indicators of sustainable development are monitored through the poverty reduction strategy

called the National Strategy for Economic and Social Development (NSED), which is not as comprehensive as it needs to be. The question is whether it is appropriate to update the 2007 sustainable development strategy, and to adopt it, or to follow the main orientations of the poverty reduction strategy on which the majority of Senegalese foreign partners base their support.

There is a real political will to adequately plan development in Senegal. In other words, the necessity to build a strong and efficient planning framework is accepted, but there is a deep lack of understanding of the process by which to achieve this objective. Specifically, the main problem currently experienced by Senegal is a lack of integration of sustainable development principles in national, local, and sectorial development plans due to the absence of a common understanding of sustainable development planning processes. This situation has led to an inability to elaborate and conduct comprehensive development policies.

From this context come the questions driving this research: what is leading development planning institutions' understanding of sustainable development? How should the Senegalese institutional framework be strengthened to promote sustainable development planning based on a shared understanding of the concept of sustainable development by all actors, and with adequate resources (human, technical, and financial resources)?

Moreover, given that foreign partners' views (multilateral organization and foreign states cooperation agencies) impact Senegalese development through their support (aids, loans, cooperation), what should be the relationships between Senegalese government and foreign partners regarding their experience, their expertise, and their financial support for a sustainable development? In order to take into account local circumstances and ensure the compliance of local development plans with the national planning orientations, the commitment of

decentralized entities is crucial. An important question is what actions should be taken to strengthen and clarify the role of each entity involved in sustainable development planning in Senegal. Figure 3.1 provides a summary of the key challenge confronting the creation of an integrated sustainable development strategy in Senegal. The lack of leadership for sustainable development is a source of institutional conflict and weakens the planning system framework that is unable to produce and adopt a comprehensive development policy integrating all the dimensions of sustainable development.

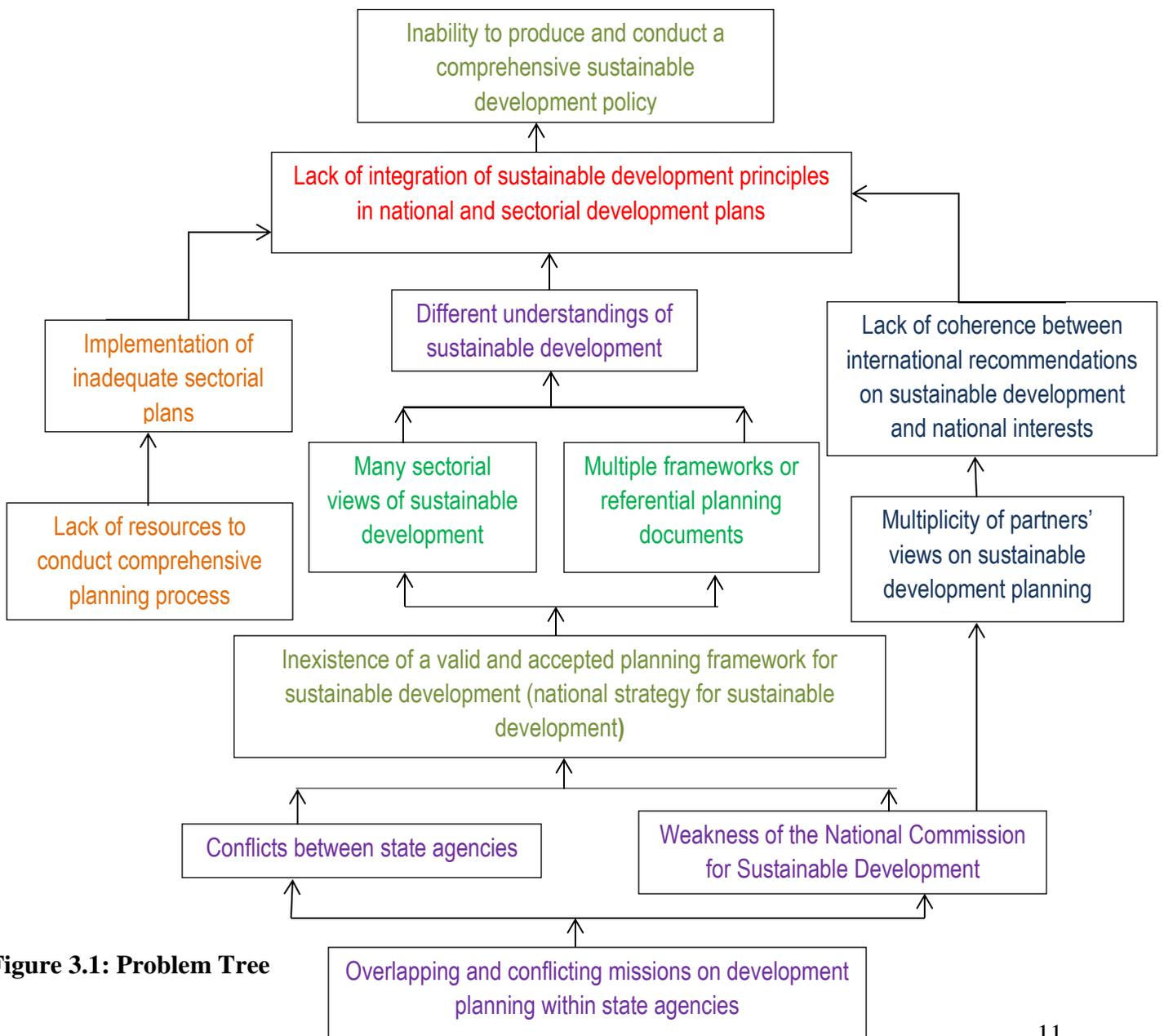


Figure 3.1: Problem Tree

Chapter IV: Literature Review on Sustainable Development and Development Planning

The history of sustainable development is linked to the rise of the 50's environmental movement and the beginning of environmentalism in the 60's. Ashford and Hall (2011) recount the evolution of sustainable development concept from the early concern of environmental and natural resources management. The most cited definition of sustainable development comes from the 1987's Brundtland report which defined sustainable development as "a development that meets the needs of the present generations without compromising the ability of future generations to meet their own needs" (WCED, 1987). This definition has been widely interpreted because of its "multidimensional nature" (Haque, 1999). It implies the need to consider both at a same level of consciousness, economic, environmental, social, and cultural concerns. Sustainability in development requires comprehensive changes that integrate economic development, environmental considerations, and social realities, ensuring equity between human beings and between humans and others species.

4.1 Economic Growth and Environmental Concerns

The necessity to integrate economic growth and natural resources use was first advocated by the International Union for Conservation of Nature (IUCN) in its report on the "State of the Environment in the World." Published in 1951, the report warned about the danger represented by the continual pursuit of economic growth for the future of our planet (IUCN, 1951). This alert was echoed in 60s and 70s as scientists and economists linked resource depletion, overexploitation, and ecological impacts to human activities (Meadows, et al. 1972).

The importance of environmental issues urged the need to adopt new development patterns that meet human needs and stay within the carrying capacity of the earth. The link between negative impacts of economic activities on the environment was strongly highlighted

during the 1960s. Rachel Carson (1962), G. Hardin (1968), B. Ward and R. Dubos (1971), and many others have drawn attention to the negative environmental impacts generated by economic activities (production of waste, air and land pollution, pollution of rivers, loss of biodiversity, etc.). Population growth was considered as one of the drivers contributing to the possible collapse of the world (Ehrlich, P. R., Ehrlich, A. H., 2009). Indeed the “bomb” created by the population overgrowth is accompanied by an overproduction and an overconsumption of natural resources, and generates high quantities of waste exceeding the capacity of the planet to assimilate them adequately.

The Club of Rome report "Limits to Growth" (Meadows, et al. 1972), prepared in anticipation of the Stockholm summit in 1972 can undoubtedly be considered as one of the most important warnings about the dangers of economic growth and an exponential population rise in terms of over-exploitation, natural resources depletion (energy, water, soil), and environmental degradation. The close relationship between environment and development was well established at the United Nations Conference on Human Environment in Stockholm (1972), and reinforced by the Rio Summit in 1992, the Johannesburg Summit in 2002, and the Rio+20 Summit in 2012. The Rio+20 Summit reconfirmed that the notion of sustainable development is based on a foundation of poverty eradication.

The main result of these meetings was the recognition of an idea of development incorporating economics, ecology, society, and culture as well as equity all over the world. Ecological disasters of the early 80s, including desertification, deforestation, ozone layer depletion, climate change, and biodiversity degradation have played a crucial role in re-considering development in a sustainable way.

4.2 Eco-Development and Sustainable Development

Prior to the word “sustainable development”, the idea of integrating the economy and environment was considered under the concept of “Eco-development”. The concept of “Eco-Development” questions both North and South countries’ development patterns that generate more poverty and ecological damages (Sachs, 1977). The “Eco-development” concept includes a “prudent” exploitation of natural resources continued with equitable social relations. However, the “Eco-Development” concept was criticized because it over emphasized a technocratic approach and it insufficiently focused on social inequalities (Pilon-Lé, 1981).

The term “sustainable development” became widely accepted following the publication of the Brundtland report (Keiner, 2006). The concept has since been accepted by international organizations, governments, private sector, civil society, local communities, researchers, scholars, etc. The acceptance of the notion of “sustainability” has been eased by the large “room of interpretation” it gives to various groups with different interests (Voss, 1997 as cited by Keiner, 2006). Sustainable development includes many concepts that can complicate its meaning and present challenge for planners. From an economic and ecological perspective, sustainable development encourages a balanced growth based on a rational use of natural resources (Klaassen & Opschoor, 1991). From social perspective, sustainable development includes many matters such as intra and inter-generational equity, human rights, poverty reduction, gender equity, good governance, participation, corporate social responsibility, etc.

4.3 Sustainable Development Concept and Development Planning

Ecological concerns highlighted during the 1960s and 1970s led to a new development model based on people’s needs rather than on an uncontrolled accumulation of economic profits. Sustainable development should promote equity. Sustainable development does not have the

same meaning for underdeveloped countries in which development policies have been oriented by the Bretton Woods Institutions (World Bank and International Monetary Funds) towards liberal ideologies that can jeopardized their development because they “over-emphasize” economic growth (Haque, 1999). As a consequence, developing countries planned their development and implemented development policies with limited opportunities to consider equity. James K. Galbraith (2002), argues that the “laissez faire” capitalist policy implemented in the Third World is *the* cause of inequality between countries. This inequality is caused by free trade, privatization, and deregulation that has impeded development, and has contributed to the unequal distribution of wealth (Galbraith, 2002). While some are richer, others remain poor and live with less than 1 dollar a day. The attempts to correct these issues highlight the concern of poverty reduction. Development policies in the Third World are currently driven by the fight against poverty. For instance, the Senegalese Economic and Social Policy objective is to develop strategies that enable an “emerging economy” and ensure a sustainable development benefits to Senegalese people through an equal redistribution of the wealth created (DPES, 2011 -2015, 2011).

Development planning is “the conscious effort of a central organization to influence, direct and in some cases, even control changes in the principal economic variables (e.g., GDP, consumption, investment, saving, etc.) of a certain country” (Tadaro (1971), as cited by Chowdhury et al. (1994)). Even though this effort requires the involvement of several entities, the central public administration appears as the key actor organizing and orienting development planning:

“The success or failure of national economic planning in the underdeveloped world depends to a significant degree upon the establishment of an effective system of public

administration capable of implementing the economic, social and political reforms and policies which the development plan entails.” (Kapp, K. William, 1960).

The lack of a comprehensive approach for development planning is one of the weaknesses of development planning in developing countries (Balogh, 1974). This issue is worsened by the fact that sustainable development is interpreted in the same way for all nations, regardless to the characteristics of the countries. However, Nwankwo et al. (2009) argue that the meaning of sustainable development should not be same for developed and developing countries since the realities and development objectives are different. This situation may have contributed to inadequate development planning.

Sustainable development planning is a process by which decision-makers decide about the different steps and strategies for integrating social, economic, and ecologic aspects that shape “the final outcome of sustainable development plans” (Quaddus et al., 2001). For Quaddus et al. (2001), a decision conference can support sustainable development planning because it helps to share the same understanding and commitment from the decision-making process to the implementation of a sustainable development plan. A decision conference is:

“a specific type of group decision support process for solving strategic decision problems, in which the owners of the problem get together for discussions that are facilitated by an analyst, a facilitator and information technologies” (Quaddus et al., 2001).

Currently, development planning processes offer more “openness, diversity and consensus [but people are] not fully equipped to offer a shared vision in political arenas dominated by fragmentation and conflict” (Berke, 2002). In addition, the broad understanding of sustainability leads to many planning approaches that are developed from the perspective of the

group involved. The involvement of different stakeholders in development planning processes is an important aspect of “participative approaches” which are a valuable sustainable development governance tool. As demonstrated by Hove (2000), a participatory approach is a “necessary ingredient of sustainable development decision-making.”

Moreover, since “making progress toward sustainability is like going to a destination we have never visited before, equipped with a sense of geography and the principles of navigation, but without a map or compass” (Prescott, 2002 as cited by Keiner, 2006), planning for sustainability is a difficult enterprise for a developing country like Senegal, even though its development planning structure offers an opportunity to plan for sustainable development. The decision-making process also presents some opportunities to promote sustainability, as it will be discussed in chapter VI.

Chapter V: Existing and Potential Economic and Social Development Planning Tools in Senegal

The planning documents described in this chapter are tools that should exist in Senegalese development planning system, but some of them are absent or outdated for reasons that will be explained later, while others are still in a production phase. Development planning tools (documents) in Senegal can be divided into two main groups: strategic planning tools and spatial planning tools. Strategic planning refers to “a process that articulates institutional missions, weighs external opportunities and threats, gauges internal strengths and weaknesses, and determines appropriate actions” to take (Shirley, 1988). Spatial planning is the spatial dimensions of development policies (Cullingworth and Nadin, 2006 cited in UNECE, 2008). Spatial planning is also strategic (Albrechts, 2006). The distinction between strategic and spatial planning is purely methodological. It is used in this research to frame the discussion in Chapter IX.

In order to better understand the planning development structure which will be explained in the next chapter, each Senegalese planning tool’s objectives and characteristics are presented. Figure 5.1 shows the (desired) relationship of development plans at national, sectorial, and decentralized levels. It demonstrates how the Orienting Plan for Economic and Social Development and the others strategies and development plans are connected. Table 5.2 summarizes the different development planning documents that should existed in Senegal’s planning system, their characteristics, their horizon-times they should cover, and their technical and financial implementation tools.

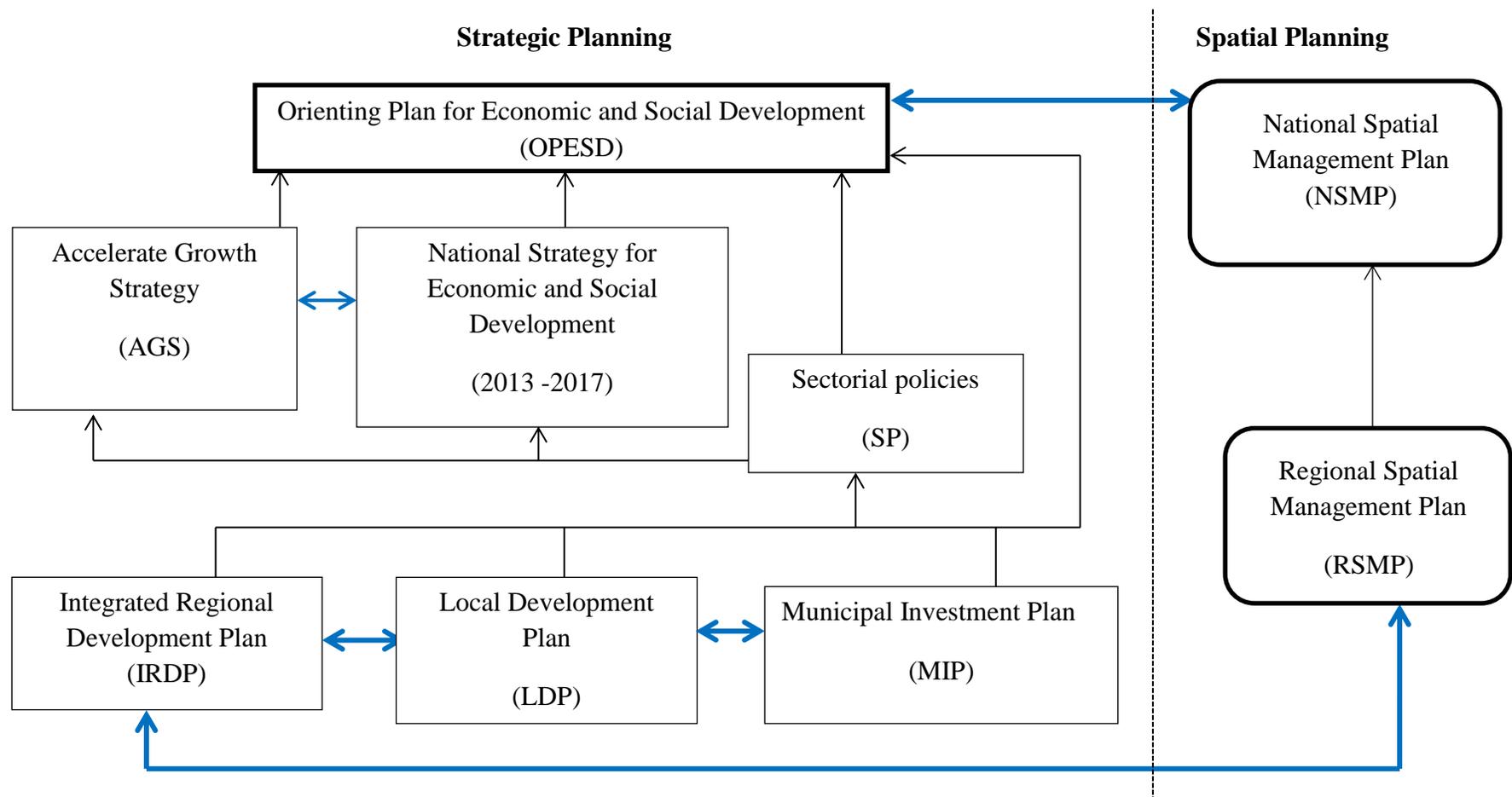


Figure 5.1: Planning Documents Hierarchy and Relationship

↑ : Indicates a mandatory reference and ascendant hierarchy to the above plan
 ↔ : Indicates a relationship of coherence

Table 5.1: Planning Document Characteristic and Implementation Mechanism

Instruments	Legal characteristic	Planning Level	Horizon Time covered	Operational Tools
Prospective Studies (PS)	Technical guidelines	national	25 years	OPESD
Orienting Plan for Economic and Social Development (OPESD)	Planning-Law	national	6 years	Sectorial policies or plan/State budget
Sectorial policy Letter/plans	Regulation or official technical guidelines	national	3-10 years	Programs and projects/State budget
National Strategy for Economic and Social Development (NSESD)	official guidelines	national	5 years	Sectorial policies or plans/ State budget
National Plan for Spatial Management (NPSM)	Decree	national	33 years	OPESD/Sectorial policies or plans/ State budget
National Strategy for Sustainable Development (NSSD)	Unavailable	Unavailable	Unavailable	Unavailable
Integrated Regional Development Plan RDP(IRDP)	State representative order	regional	4-6 years	Sectorial policies or plans/State budget
Municipal Investment Plan (MIP)	State representative order	municipal	4-6 years	Sectorial policies or plans/State budget
Local Development Plan (LDP)	State representative order	rural	4-6 years	Sectorial policies or plans/State budget
Regional Plan for Spatial Management	State representative order	regional	33 years	IRDP

Source: From an administrative memo of one of the interviewees.

5.1. Strategic Planning Tools

According to Shirley (1988), strategic planning promotes five important benefits. In addition to improving the image of an institution’s planners, strategic planning provides a shared vision and commitment within actors, encouragement for external entities to support a plan’s implementation, a clear perspective on the goals, priorities, and directions of future development, and a map for resources allocation and re-allocation. “The identification of...key objectives and actions needed to move from [an] existing [stage] to a desired state of affairs is the key objective

of strategic planning” (Shirley, 1988). In Senegal, strategic planning includes all development planning activities that envision the future development in economic and social sectors at national, sectorial, and decentralized levels.

5.1.1. National strategic planning tools

National strategic planning tools include the Prospective Study (PS), the Orienting Plan for Economic and Social Development (OPESD), the Strategy for Economic and Social Development, the Accelerate Growth Strategy, and the National Strategy for Sustainable Development.

5.1.1.1. The Prospective Study (PS)

The Prospective Study (PS) is a general framework providing a long-term perspective for Senegalese development. Its objective is to inform decisions-makers about a range of possible development scenarios along with the means - institutional, financial, and human - to achieve them in a generation time scale of 25 years. Considered as the first step of development planning, the Prospective Study is a framework reflecting a large review of economic, environmental, and social contexts as well as some projections of potential directions to explore for Senegal’s future development.

Senegalese planners have considered the Prospective Study as the starting point of the Senegalese planning system since the 1987 reform. The first Prospective Study was produced in the late 80s. Labeled “Senegal 2015”, this study proceeded to review of all efforts made towards economic and social development from 1960 to 1988, and identified potential development scenarios achievable by 2015. The production of the “Senegal 2035” is in progress. Its production is an opportunity to have a well-built framework to analyze in an objective way all feasible development scenarios. Scenarios developed in the Prospective Study inform the

Orienting Plan for Economic and Social Development which is technically the first stage of development planning in Senegal.

5.1.1.2. The Orientating Plan for Economic and Social Development (OPESD)

The OPESD specifies the strategic orientations for the development scenarios identified in the Prospective Study. Its objective is to give a comprehensive basis for governmental decisions. The OPESD is a medium-term 6-year planning tool defining strategic directions for the adopted development scenario detailing strategic goals and socio-economic development objectives. As a reference, it frames the criteria for development projects and programs that have to be implemented. Thus, the OPESD should be permanently reviewed in order to ensure the coherence between the planned activities and the implementation measures. The OPESD has two characteristics. First, it is a policy statement aiming to improve Senegalese living conditions. Second, it is a set of directions that have to be detailed through development strategies, sectorial policies, and development programs. The orienting plan is approved by law. Its implementation is financed through the Tri-annual Investments Plan and the national budget.

According to Ly (2002) and Sene (2010), the first independent Senegalese decision-makers and policy-makers were convinced that development planning was an essential approach to improve Senegalese living conditions. Their objective were to disconnect Senegal from a colonial economic structure and to move to a national organization integrating economic and socio-cultural concerns in all development strategies, and to ensure a balanced development among regions (Ly, 2002).

The production of an Orienting Plan for Economic and Social Development (OPESD) was one of the first steps in translating the “Senegalese independence fathers” perspective of development. The OPESD is a central document of development planning in Senegal. The first

OPESD resulted in a “catalogue of development projects.” Senegalese planners qualify this approach as rigid because the plans developed were too detailed. Indeed, all activities and infrastructure projects were identified, their location and their schedule were ascertained, and no alternatives were offered to reconsider choices made. The rigidity of such development plans were strengthened by a difficult economic context which made their implementation almost impossible. For some interviewees, the first structural adjustment policy weakened this approach because “only projects listed in the adjusted plan were ensured to get funds for their implementation”. Thus, in 1987¹ Senegal moved from a “plan-catalogue of projects”, to an “orienting plan” in order to avoid listing projects that will never get implemented and to “coordinate adjustment plans with national orientations.”

Ten orienting plans have been produced since 1960. Currently, the eleventh OPSED is in process. However, the tenth plan was never adopted because of a shift from a socialist political regime to a liberal government. According to one official, “liberalists do not believe in planning”² the way it has been done since 1960 in Senegal because liberalism limits the government’s role to ensuring a favorable environment for private entrepreneurship.

5.1.1.3. The National Strategy for Economic and Social Development Strategy: Poverty

Reduction and the Accelerate Growth Strategies

The recently reviewed poverty reduction strategy has led to a document titled National Strategy for Economic and Social Development (2013-2017). It is described as the major

¹ 1987 is an important year for development planning in Senegal. The Senegalese planning system was restructured in order to coordinate the structural adjustment plan and the orienting plan in which “projects” were totally ignored by the World Bank. As a consequence, the OPESD became less detailed and more strategic. The decision to produce a “Prospective Study” in which development orientation would be based was also made.

² Translated from french : «le libéralisme ne croit pas à la planification du développement ».

strategic policy seeking an acceleration of economic growth and an improvement of Senegalese productivity (SNDES, 2013- 2017). The NSESD:

“must provide relevant answers in order to re-position the Senegalese economy on a higher and sustainable growth through the implementation of reforms enabling a revitalization of productivity essential for development, and laying the foundation of a new economic growth model.”³

Prior to this document, two others strategies were produced: the Poverty Reduction Strategy Paper I (SPRP I, 2003-2005) and the Poverty Reduction Strategy Paper II (SPRP II, 2006-2010). Senegal became eligible to the debt reduction initiative for Heavily Indebted Poor Countries (HIPC) in 2000 (SNDES, 2013-2017). The first poverty reduction strategy (2003-2005) produced was a three-year strategy. Its objective was to reduce by half the poverty level by 2015. To reach this objective, the SPRP I identified strategic areas where additional efforts should be made to stimulate economic growth and social development. The strategy was based on the following aspects called the “priority actions” (DSRP, 2003-2005):

- wealth creation through the promotion of productive sectors such as mining, fisheries, tourism;
- capacity building and promotion of basic social services (health, education, water access); and
- improvement of vulnerable groups living conditions.

The 2003-2005 poverty reduction strategy was an opportunity to clarify the short-term development objectives, to identify development indicators of impacts and performance, and to

³ Translation from french : « La SNDES doit apporter des réponses pertinentes pour replacer l'économie sénégalaise sur un sentier de croissance plus élevée et durable. Il s'agira de mettre en œuvre les réformes aptes à provoquer les gains de productivité indispensables au développement et poser ainsi les jalons d'un nouveau modèle de croissance économique.» (SNDES, 2013-2017).

mobilize national and international resources available for the implementation of development programs. Financial resources needed for its implementation were evaluated and compared to the available resources in the national budget, and existing sectorial programs' budgets. The financial gap was covered through external resources expected from development partners, including HIPC resources. However, the objectives of this first poverty reduction strategy were not reached because the financial resources mobilized were not sufficient to implement the different programs. In addition, the implementation term was very short (three years) to formulate and implement many pro-poor programs.

The SPRP II (2006 -2010) term was extended to 5 years. It responded to the weaknesses of the first strategy and added another strategic objective related to decentralization and participatory development principles. It also integrated a section on risks and natural disaster prevention and management. However, the particularity of the second strategy (2006-2010) is its connection to the Accelerate Growth Strategy. The objective of this connection was to better “reorient the economic and social development objectives taking into account the reduction of inequalities, and to accelerate the achievement of the Millennium Development Goals” (SNDES, 2013- 2017).

All Senegalese poverty reduction strategies were approved by the World Bank and the International Monetary Fund. They have been subject to regular review and evaluation by national entities and development partners. This process was particularly important to adapt development measures projected to the international and national economic contexts, in particular the 2008 financial crisis, and to integrate some sectors that were not taken into account. For instance, the first Senegalese strategy for poverty reduction did not integrate environmental concerns. Currently the main reference for development planning in Senegal for

decision-makers and foreign financial partners is the National Strategy for Economic and Social Development (2013-2017).

5.1.1.4. The Accelerate Growth Strategy (AGS)

The Accelerate Growth Strategy (AGS) is the main component of the National Strategy for Economic and Social Development 2013 -2017. The objective of the AGS is “to develop and diversify the sources of wealth creation” by strengthening Senegalese competitiveness, in particular in traditional sectors through a better promotion of marketable Senegalese lightly manufactured products (SCA, 2004). The “traditional” sectors are comprehensive because they include the whole steps of a production chain. For instance, the agriculture sector, although traditional, is linked to the agro-industry subsector, and both are considered as one “grape”⁴ (SCA, 2004). A “Grape” can be interpreted as an economic “cluster” The other grapes are sea products and aquaculture harvesting, tourism, cultural industries and handcraft production, textiles and garment production, information and communication technologies, and teleservices. The common characteristics between these “grapes” are their high potential growth over the medium to long term, their ability to create a significant number of new jobs, and their strong international competitiveness potential.

5.1.1.5. The National Strategy for Sustainable Development

The National Strategy for Sustainability Development has never been adopted even though it has been drafted twice, in 2005 and in 2007. Based on the 2005 draft, the Senegalese strategy for sustainable development should have created “an enabling framework” to coordinate and ensure an effective synergy of all development policies and program initiatives (Draft

⁴ « Grape » is the term used in the Accelerate Growth Strategy » designating the economic sectors clustered.

SNDD, 2005). The 2007 draft mentioned that a sustainable development strategy would “help to reconcile economic growth, social equity and environmental balance”. It should be the best approach to create synergies between development actions. The two drafts identified six strategic orientations to foster sustainability:

- Increase the level of education and communication for a sustainable development;
 - Promote sustainable production and consumption patterns;
 - Promote a balance and harmonious development;
 - Strengthen sub-regional, regional and international cooperation mechanisms for sustainable development;
 - Strengthen good governance principles and mechanisms for a sustainable development;
- and
- Improve measures and actions in order to meet the Millennium Development Goals (MDGs).

The production of a national strategy for sustainable development encountered serious institutional constraints and lacked financial and political support. The Ministry of Environment and Nature Protection was primarily responsible for sustainable development matters. Thanks to the project “Capacity 21” funded by the United Nations Development Program, the Government of Senegal began to formulate its first strategy for sustainable development in 2004. In 2005, the Senegalese Strategy for Sustainable Development was drafted by the Ministry of Environment and Nature Protection in order to be approved by Senegalese authorities. Before the end of the process, the Ministry of Planning and Sustainable Development was created in May 2005, and made responsible for the formulation of the strategy, and others activities related to sustainable development. Thus, another draft was designed during the new process led by the Ministry of

Planning and Sustainable Development. This context explains the reason for the existence of two drafts of a national strategy for sustainable development. Even though the first draft has been criticized as being too environmentally-oriented, it served to formulate the second draft led by the Ministry of Planning and Sustainable Development. The second draft was not completed due to the removal of the Ministry of Planning and Sustainable Development two years after its creation. The institutional instability impeding the formulation of a national strategy for sustainable development has undermined the progress that could have been made towards an approved and implemented sustainable development strategy.

5.1.2. Instruments of sectorial planning

A sectorial planning tool analyzes the strengths and the constraints of a sector, envisions the goals to reach in accordance with the strategic directions of the orienting plan, and defines action plans that would help to develop the sector. Currently, all economic sectors have adopted sectorial policies. Sectorial policy documents are the main tools of sectorial planning. They are based on the Orienting Plan for Economic and Social Development guidelines as well as on the Poverty Reduction Strategy visions, and on international initiatives such as the Millennium Development Goals. The period covered by sectorial policies are not uniform and varies from three to ten years. Sector policy letters are documents in which sectors development strategies are described. They are developed on the behalf of the interested Ministry (environment, health, agriculture, fisheries, etc.) with the technical support of the Ministry of Economy and Finance, in particular the Department of Planning (DP).

5.1.3. Instruments of decentralized planning

In 1996, Senegal strengthened its decentralization policy by conferring to regions a moral standing. The law of decentralization provides to regions, municipalities, and rural communities a total autonomy to plan and manage their own development (Loi 96-07, 1996). Each type of decentralized entity plans its development through a specific tool. The region has an Integrated Regional Development Plan (IRDP), the municipality organizes its development through a Municipal Investment Plan (MIP), and the rural municipality produces a Local Development Plan (LDP). Currently, only two of the 14 regions have an IRDP, while there are 113 MIPS for municipalities, and 269 LDP for the 370 rural municipalities. Table 5.2 provides information about the availability of IRDP in the 14 Senegalese regions.

IRDP, MIP, and LDP are medium-term 6-year development planning tools. They highlight the economic and social characteristics of localities, identify their challenges and their development objectives as well as the measures, and actions to undertake to ensure regional, municipal, or rural development. To be considered as valid, each development tool must be adopted by the required council (regional, municipal, or rural), and be approved by a state representative who is called the “Governor” at the regional level, “Prefect” for the city, and “Sub-Prefect” for rural level.⁵ The implementation of decentralized development rests on national financial support. Decentralized entities do not have enough financial and technical resources to rightly implement their development actions. For instance, the implementation of IRDPs is widely dependent on major sectorial programs because regions cannot create taxes. Taxes are created by law. Regions rely on the national budget and on the financial support of

⁵ The Senegalese governors are not elected. They are proposed by the Minister of Interior and nominated by presidential decree. In comparison with the American system, the Senegalese Ministry of Interior does not regulate land use. Its missions are among others to ensure homeland security (police and immigration), to organize the elections and referendums, to control decentralized collectivities, and to protect people and their properties against natural risks and disasters. Prefects and Sub-Prefect are under the authority of the Governor.

decentralized cooperation partners to implement their development measures. Cities and rural municipalities rely on the national budget too, but they have other sources of income such as municipal or rural taxes which are insufficiently collected to be able to fund their development programs.

Table 5.2: Situation of Integrated Regional Development Plans in the 14 Senegalese Regions

Regions	Situation		
	Available	Not available	Observations
Dakar			No information
Diourbel	✓		
Fatick		✓	Expired
Kaffrine		✓	New region created from Kaolack
Kaolack		✓	Change of region boundaries after the creation of Kaffrine
Kedougou		✓	New region created from Tambacounda
Kolda		✓	Updated version in process
Louga	✓		Updated version in validation process
Matam		✓	Production in process
Saint Louis		✓	Updated version in process
Sedhiou		✓	
Tambacounda		✓	Expired due to a change of region boundaries after the creation of Kédougou
Thies			No information
Ziguinchor	✓		

Source : Direction de la Planification Nationale et Régionale, 2012.

5.2. Spatial Planning

For to the United Nations Organization, “spatial planning is an important lever for promoting sustainable development and improving quality of life” (UNECE, 2008). The Council of Europe Conference of Ministers Responsible for Spatial/Regional Planning (CEMAT) considers that:

“spatial planning gives geographical expression to the economic, social, cultural and ecological policies of society. It is at the same time a scientific discipline, an

administrative technique, and a policy developed as an interdisciplinary and comprehensive approach directed towards a balanced regional development and the physical organization of space according to an overall strategy”(CEMAT, 1983).

This definition of spatial planning focuses on two aspects: a balanced use of lands and natural resources within a territory and a process of decision-making aiming to position efficiently development activities in a country, a region, or a locality. spatial planning is widely used by public authorities (UNECE, 2008), and is “a public-sector-led ... socio-spatial ... process through which [the] vision, actions, and means for implementation ... produced ... shape and frame what a place is and may become (Albrechts, 2006).

Several decades ago, Senegalese decision-makers perceived the importance of spatial planning and the necessity to integrate and coordinate the spatial features of development. Indeed, it was in 1977⁶ that Senegalese authorities decided to produce a National Plan for Spatial Management (NPSP), which would support the choices made for the Orienting Plan for Economic and Social Development and for sectorial policies. The goal of such a plan is to organize land use across the country by highlighting each region’s socio-economic and environmental potential over a certain horizon-time (1988-2021). However, this planning process lasted up to 1999. The approach was revived with the 2006 Declaration of National Policy Planning and the implementation of the National Development Program for Solidarity Promotion and Territorial Competitiveness, which is the current implementation framework of the National Plan for Spatial Planning. In addition, a National Agency for Spatial Planning was created in 2009. The spatial planning process has resulted in a General Plan for Spatial Planning which

⁶ The decision to develop a national plan for spatial management was made at the Inter-ministerial Council on Planning chaired by the Prime Minister in 14 February 1977.

includes a National Plan for Spatial Planning (NPSP) that covers the spatial distribution of economic activities within the entire territory and Regional Master Plans for each region (RMP). To be enforceable, a Regional Master Plan must be adopted by the regional council and approved by the governor of the region. Just the NPSP should support the OPESD, the RMPs should be a pillar for IRDP.

Spatial planning at the community level is currently in an experimental stage through the implementation of environmental management programs which have encouraged a rational use of natural resources, including sustainable land use management. Two planning instruments have been developed: Community land-use diagrams and Community land-use management plans. Community land-use diagrams are developed for rural communities while Community land-use management plans focus on villages. Due to the positive results of many plans at the community level, a study has been undertaken in order to decide whether these rural spatial management plans should be generalized and could adequately inform Local Development Plans (LDP). The study recommended adopting a comprehensive approach consisting of integrating or enhancing spatial planning aspects into LDPs.

The development of community land use plans has been critical for the coordination of development programs affecting the use of land. It has also promoted a permanent community consultation and public participation process to support development planning. The community spatial plans have contributed tremendously “to achieve a sustainable management of space thanks to a rational allocation of lands that takes into account different activities (agriculture, livestock, forestry, housing, roads, etc.).”⁷

⁷ This is a comment obtained from an unpublished Senegalese document.

There should be a strong relationship between strategic and spatial planning in Senegal. However, despite the objective to deeply link these two aspects of development planning, there is no coordination between them. This finding will be discussed in Chapter IX.

Chapter VI: The Senegalese Development Planning Structure

This chapter presents the current development planning system in Senegal. It underlies the legal framework within which Senegalese development planning is undertaken. It identifies all the actors involved in national planning activities. The chapter also describes the duties and the responsibilities of each of the stakeholders involved in this process.

6.1. Legal Framework for Development Planning

This section describes the legal framework for development planning and sustainable development. However, before proceeding to this description, it is important to have an overview of the legal system in Senegal in order to understand the value of development plans and the legal basis of state agencies' actions.

6.1.1. Senegalese legal system

The Senegalese legal system was strongly influenced by the French civil law system. This is common for all African countries colonized by France. A country organized according to a civil law system has its legal standards codified according to a certain hierarchy. This hierarchy has been theorized by Hans Kelsen in his book "The Pure Theory of Law" (Kelsen, 1970). From this theory, legal norms are classified based on their force. Each legal norm must be subordinated to the one that is immediately above it. This is how it earns its legality and its legitimacy. Thus, when two legal texts are in conflict, the higher norm in the pyramid shall prevail as shown in Figure 6.1.

In the Senegalese legal system, the Constitution is the highest legal text. It determines the political system and enounces fundamental rights and general principles for institutions and for all citizens. The Constitution defines the rules ensuring social cohesion and national unity (Burdeau, 1980). After the constitution comes international treaties and agreements that have

been ratified or approved. They have a higher legal value than national laws (Article 108 Senegalese Constitution, 2001). As shown by Kelsen's pyramid in Figure 6.1, the constitution and the approved international treaties and agreements are followed in the hierarchy by laws, decrees, orders, and other administrative acts (circular, directives, administrative notes, and letters).

The privilege to make law is exclusively attributed to the parliament (Article 67 paragraph 5 of the Constitution). In the common law system, the judge does not make laws; his/her role in this system is limited to ensuring the implementation of the appropriate set of laws in cases before him/her. Additionally, the binding legal power of each category of rules depends on the entity that has adopted it. The Constitution as the supreme legal norm is adopted by referendum voted on by citizens. Laws are exclusively adopted by the National Assembly, while decrees are taken by the President or the Prime Minister. All other administrative regulations initiated by other ministries or local governing bodies are considered as inferior legal texts.

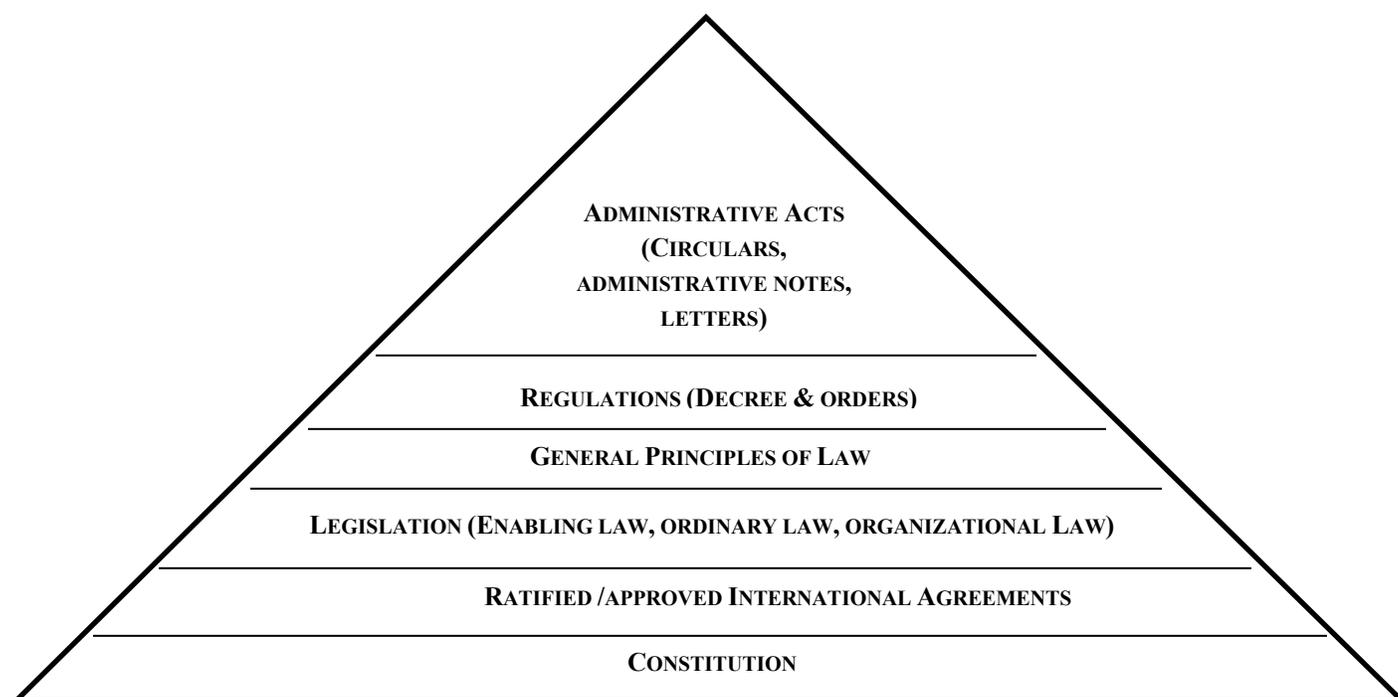


Figure 6.1: Pyramid of the hierarchy of Legal Norms (adapted from Hans Kelsen, 1970)

The categorization of legal norms is important because it informs the legal value of development plans in Senegal, especially the theoretical basis by which their statements are enforceable.

6.1.2. Constitutional power of development planning

The development vision is determined by the President (Article 47, paragraph 4, Constitution of Senegal, 2001). This means that he/she is the main decision-maker and as such has the exclusive ability to determine the sustainable development approach. Furthermore, article 67 of the Senegalese constitution expressly stipulates that economic and social policy objectives are approved by planning laws. Once the president selects one of the different development scenarios proposed to him (by the Ministry of Economy and Finance), it is incorporated into the national development plan that is approved by the parliament through a vote on the planning-law. However, the Senegalese constitution does not expressly address sustainable development planning. This term does not appear anywhere in the Senegalese constitution.

6.2. The Legal Force of Planning Documents

The legal force of development plans and strategies differs following the level of planning (central or decentralized) and the intention of decision-makers expressed in legal texts.

6.2.1. National plans legal force

Following Kelsen's categorization, national plans and development strategies do not have the same legal value. In addition, none of these plans address sustainable development in a specific manner.

6.2.1.1. The Orienting Plan for Economic and Social Development (OPESD)

The legal framework demonstrates that any development plan in Senegal has a constitutional value. However, development plans are referenced in the Constitution. The 67th article of the Constitution stipulates that development plans must be approved by the Parliament through a vote on a planning law. Based on this constitutional stipulation, the only development plan established by law is the Orienting Plan for Economic and Social Development (OPESD). The OPESD follows the same process as laws. It is first adopted by the Government and is then checked by the Supreme Court in order to see whether it complies with the Constitution's provisions. After this review, the OPESD is approved by Senegalese parliamentarians through a vote on a planning law. This process gives the OPESD the value of law, meaning that it should be implemented as described technically in its current version.

The power of the planning law with regard to Kelsen's theory faces some controversy. Some scholars deny the value of planning and programming laws, arguing that these are more political than legal. As such, they are governmental orientations and technical provisions that laws in a strict sense are not supposed to take into account (Nembot, 1999). To some extent, planning and programming laws should not be considered as laws, but as policy statements (Nembot, 1999). In contrast, others scholar like Champeil-Desplats (2007), support the value of planning laws because they comply with the law production process, and are the result of parliamentary decisions. Even though these controversies are still debated by scholars, planning laws are treated as laws. Thus, the Orienting Plan for Economic and Social Development can be considered as a law, located in the second level of Kelsen's pyramid. As such, all others development plans that have not been completed in a similar process as the OPESD must refer to it, and comply with its provisions.

6.2.1.2. National development plans

National plans of significance include the National Strategy for Economic and Social Development (2013-2017), the Accelerate Growth Strategy (AGS), the National Spatial Management Plan (NSMP), and sectorial policies. The process by which they are adopted or/and approved is different to the orienting plan. Even though they can have some similarities during their production process, such as public consultations or decision-conferencing steps, these other national development plans have less legal value than the OPESD.

While the OPESD is the only plan approved by law, the other development plans are adopted and/or approved by decree, order, or remain technical guidelines for development. Decrees are adopted by the executive. They are adopted during weekly Council of Ministers meetings chaired by the President. After their adoption, decrees are either exclusively signed by the President or by both the President and the Prime Minister in accordance with the provisions of the articles 43 and 50 of the Senegalese Constitution. For instance, the NSMP is approved by decree (Décret n° 77-982, 1977), and thus can be located on the third level of the pyramid. As such, the spatial plan must not contradict the provisions of the OPESD.

The sectorial policies and plans are co-signed by the Minister of Economy and Finance and the technical ministers involved. They have to comply with the planning laws, and mainly the OPESD. Endorsed by an inter-ministerial order, sectorial policies remain in the lower part of the pyramid.

Despite all the attention paid to the different strategies for poverty reduction, the National Strategy for Economic and Social Development and to the Accelerate Growth Strategy have never been subject to a legal act (law, decree, order, etc.). Technically, they cannot be classified in Kelsen's pyramid. Even if they result from an administrative process involving all ministerial

departments, in a strict sense they cannot be considered as a juridical act. However, they must comply with the orienting plan provisions. For instance, the NSESD (2013-2017) states that its production was based among other planning instruments on the OPESD (SNDES, 2012). This same claim can be found in the Accelerate Growth Strategy.

6.2.2. Decentralized plans legal force

Each region in Senegal must have an Integrated Regional Development Plan (IRDP). A municipality (or city) must envision its development and document it through a Municipal Investment Plan (MIP). Rural municipalities must have a Local Development Plan (LDP). All these instruments enrich the planning system and must refer to OPESD provisions and guidelines. The approval from state representatives following their adoption by the qualified council provides the instruments with their enforceability characteristics. These approvals are legal acts classified in the lower stage of Kelsen’s pyramid.

Figure 6.2 summarizes the planning documents legal force and their hierarchy. The NSESD and the AGS are represented as an independent cell because they have not been approved by a superior legal act.

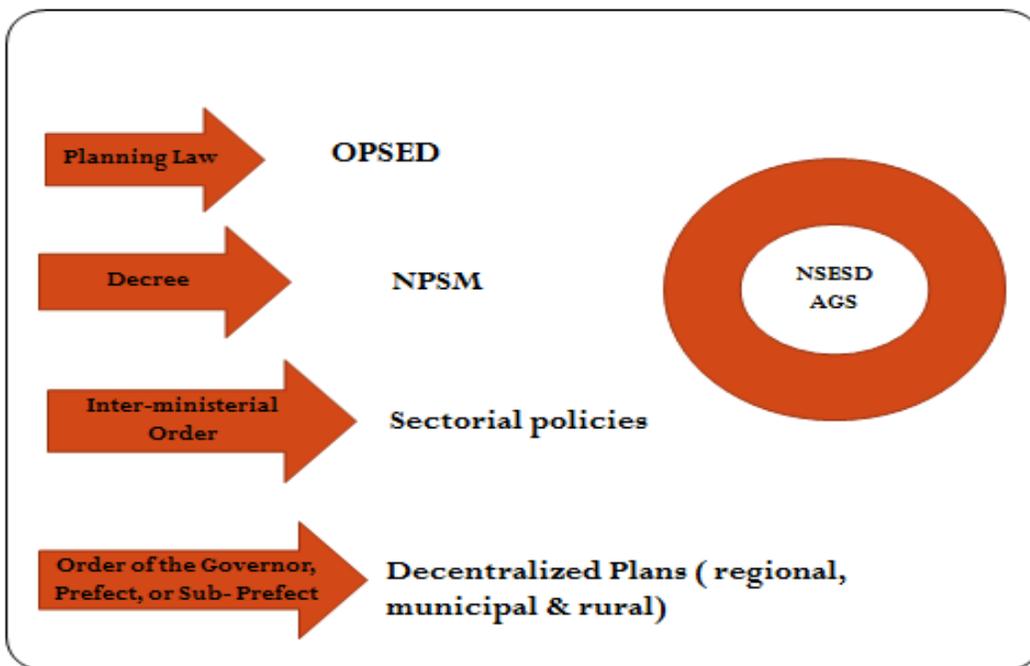


Figure 6.2: Planning Instrument Legal Force and their Hierarchy

6.3. Institutional Structure for Sustainable Development Planning

Several agencies are involved in the development planning process in Senegal. They are either involved as a matter of law or engage in a particular decision based on the relevance of the subject to their institutional missions. The intervening entities include executives (state and decentralized collectivities), legislators (Parliament), the private sector, and civil society. They also include inter-ministerial bodies involving non-state stakeholders.

6.3.1 State Agencies

6.3.1.1 Preeminence of the Ministry of Economy and Finances

The Ministry of Economy and Finances leads the development planning process. The Minister of Economy and Finance is responsible for the preparation, execution, coordination, and monitoring of planning processes and activities at the national and sectorial levels. An important aspect of its role is to ensure the consistency of regional plans with national guidelines (Décret No. 2009-568, 2009). All public policies are evaluated by the Ministry of Economy and Finance, which is also responsible for the implementation and monitoring of international economic and development agreements with foreign partners.

The Ministry of Economy and Finances is organized into several departments, each in charge of certain aspects of the planning process, economic management, and financial matters. The decree organizing the Ministry of Economy and Finance shows that the responsibility for economic and social development planning lies primarily with the General Department of Planning (Arrêté No. 06991/MEF/DGP, 2010). This department is responsible for the development of all mid-and long-term policies and strategies for economic, social, and cultural development through processes and procedures appropriately established for each level of development planning (national, local, and sectorial). Based on the “2010 Arrêté”, the General

Department of Planning develops all potential strategic options for development. It pays attention to the occurrence of ideas and approaches advocated by the international community, and how these could significantly impact Senegal's process of development. This department has the principal responsibility for strategic development planning. Its organizational structure is shown in Figure 6.3.

In addition to the General Department of Planning, the Department of Budget, the Department of Economic and Financial Cooperation, and the Department of Economic Studies provide an important support in development planning. The National Agency for Statistics and Demography also plays a significant role in providing all data needed to inform strategic development planning.

It is important to highlight that there was a Ministry exclusively dedicated to development planning activities. When Senegal gained its independence in 1960, an entire ministry was created for strategic and spatial development planning. The institutional restructuring that followed resulted to the removal of this ministry, with its responsibilities given to the Ministry of Economy and Finances in 1991. Spatial planning remained in the Ministry of Economy and Finance until 2000 when this function was linked to a ministerial department in charge of urbanism and spatial management. Two reasons explain this situation. First, it became inappropriate to maintain a department entirely dedicated to development planning activities while structural adjustment plans, which were developed by the Ministry of Economy and Finance representatives and their colleagues at the World Bank, supplanted the Orienting Plan for Economic and Social Development (Diop, 2012). Second, the administrative structure drastically changed because of the shift in the political perspective from socialism to liberalism.

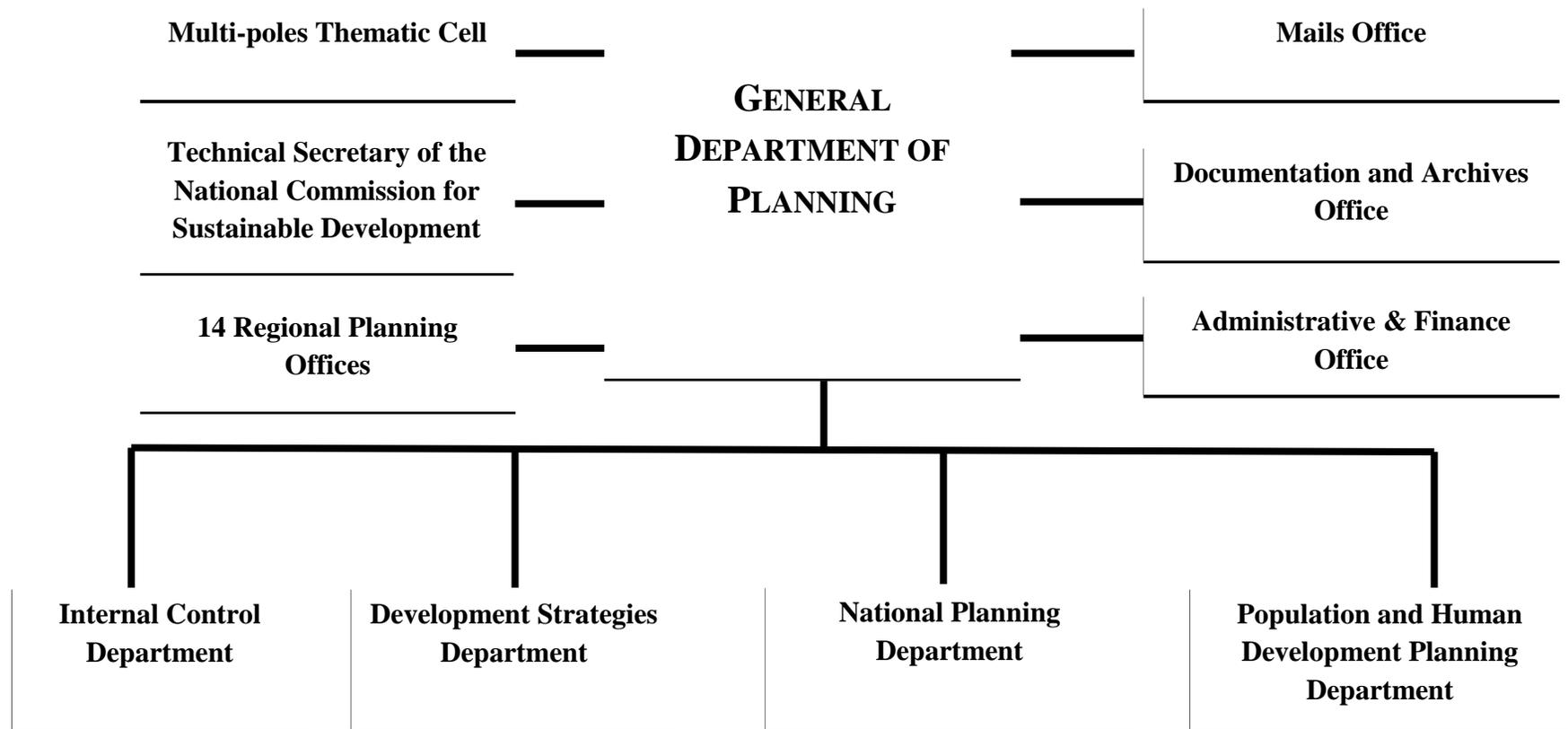


Figure 6.3: Organization Chart of the General Department of Planning (produced from the Arrêté No. 06991/MEF/DGP, 2010)

In 2005, a Ministry of Planning and Sustainable Development was created (Décret no. 2005-548, 2005) because decision-makers were convinced that planning for sustainable development was a priority, but the way it has been done since 1960 was inefficient. The Department of Planning and Sustainable Development was responsible for preparing and implementing the development policy set by the President of Senegal for economic, human, and spatial development. Three years later, this department was removed too because of political reasons. As a result, strategic and spatial development planning functions became fragmented between the Ministry of Economy and Finance and the Ministry of Decentralization, while sustainable development planning competencies were located in the Ministry of Environment and Nature Protection.

6.3.1.2 Sectorial Ministry's Planning Cells or Units

Sectors represent the different economic activities such as agriculture, environment, tourism, fisheries, etc. The term used to qualify planning activities undertaken by ministerial departments in charge these economic sectors is “technical and sectorial planning”. “Technical” ministerial departments act as development planners by default. Currently, all ministerial departments have a unit responsible for development planning, which is often combined with monitoring and evaluation functions. The objectives of creating ministerial planning cells is to guarantee a coherence and a consistency between the different economic sector plans and the national vision of development, and to link each plan to poverty reduction goals. The units have a better understanding of the actions and needed resources for the implementation of their respective sectors' policies and development strategies. The sectorial planning units are allowed to work directly with foreign technical and development partners. As a result of this connection,

these units are better equipped to develop, monitor, and evaluate sectorial development programs.

Almost all ministries have a sectorial policy developed by their own planning cells which have been supported by the General Department of Planning. Sectorial development plans and strategies are co-approved by both the sector minister and the Minister of Economy and Finance. This collaboration has been fostered by the adoption of mid-and long-term public expenditure frameworks in many ministries. As a result of this approach, planning processes in “technical” ministries have become clearer, allowing a greater visibility and a better coordination within same ministerial department and also between the Ministry of Economy and Finances and the other ministries. These frameworks are based on a “results-based management” approach designed to align development objectives with actions undertaken, and the needed resources that ensure an effective and efficient implementation of the desired outcomes (UNDG, 2011).

6.3.2 Decentralized entities

Currently, each of the fourteen Senegalese regions has a Regional Development Agency (RDA). The central government supports development planning by “decentralized collectivities” by providing them with technical and financial support (Loi 96-07, 1996). The term “decentralized collectivities” is given to local entities that consist of regions, municipalities and rural communities. It is the term used in the Senegalese law of decentralization (Loi 96-07, 1996). The Senegalese decentralization law (Loi 96-06, 1996) has enabled the transfer of nine development domains⁸ to decentralized entities (Law 96-07, 1996). The decentralization law

⁸ These domains consist of : i) Land use ; ii) Environment and natural resources management; iii) Health, population and social welfare; iv) Youth policy, sport and recreations; v) Culture; vi) Education; vii) Planning; viii) Spatial management; and ix) Urbanism and Housing.

(Loi 96-07, 1996) affirms the principle of free administration of local entities by local governments composed by elected people. Each region is managed by a regional council, while communes and rural communities are administered by municipal and rural councils, respectively. Each entity is autonomous and has the task of enhancing the development of their respective territories for the good of their population. The regions, municipalities, and rural communities are responsible for their development planning (Loi 96-08, 1996). Each of the different categories of decentralized entities has equal rights, duties, and legal and moral standing (Loi 96-07, 1996). The role of decentralized entities in development planning consists of designing, planning, and implementing development actions in their respective boundaries (Décret No. 96-1133, 1996).

To implement the mandate conferred by the law transferring development planning power to decentralized entities, councils are supported by Regional Development Agencies (RDA), which provide them with technical assistance (Decret No. 2006-201, 2006). One of the RDAs' missions in development planning is to ensure a consistency between local plans and those at the national level. They also have to ensure the development programs' coherence among the regions, the communes, and the rural communities. In addition to their own expertises RDAs rely on state agency services. This collaboration is made on the basis of "conventions and protocols" which are agreements that RDAs sign with states agencies at the regional level.

Planning relating to environmental and natural resources, health, population, and social development, as well as youth matters, sports, and recreation policies at the decentralized level are undertaken by decentralized councils with the support of state agencies, and in accordance with policies and strategies implemented at the national level. This approach is used to develop culture and education programs and for planning, land use, urban planning, and housing.

6.3.3 Parliament

In development planning matters, the parliament (the National Assembly)⁹ votes the law that consecrates the Orientating Plan for Economic and Social Development (OPESD). After the production and the administrative adoption of the OPESD, the government proposes its adoption to the National Assembly. The Parliament Commission of General Economy, Finances, Planning and Economic Cooperation, which is one of the eleven permanent commissions of the National Assembly checks the proposed plan before its adoption following the same process applied to laws. This commission is one of the major, if not central, commissions in the parliament, first in terms of number (40 members) compared to others which have less than half this number (article 32, National Assembly Rules and Procedures, Loi n^o 2002 -20, 2002). Second, the centrality of this commission can be attested by the fact that it has the mandate to examine all projected laws and proposals before the parliament when they have potential financial impacts no matter the importance of such impacts (Article 41, Loi n^o 2002 -20, 2002).

6.3.4 Civil society and private sector

The involvement of civil society and the private sector in Senegalese development planning is relatively recent. It has been enabled through the development of the Senegalese poverty reduction strategies. The formulation of the poverty reduction strategy was deeply linked to the concepts of accountability, transparency, and good governance. Civil society and the private sector are viewed as a segment of society able to balance any potential inconsistency created by government decisions. The legitimacy of the poverty reduction strategy is earned through the participation of civil society and the private sector. The experience with the poverty

⁹ The Senegalese Parliament is currently one chamber: the National Assembly. The Senate (which was the second Chamber) has been removed by the last constitutional review adopted by the Congress on October 2012.

reduction strategy since 2000 has been positive in that it strengthened the participatory approach of planning in Senegal, and thus was adopted by all the other development planning processes.

6.3.5 Supreme Council for Planning (SCP)

Created in 1971, the Supreme Council for Planning (SCP) is a high council chaired by the President of Senegal and includes the Prime Minister, the President of the Economic Social, and Environmental Council, Parliamentarians, Government members, the President's General Secretary, the Regional Governors, the Regional Presidents, the Presidents of National Planning Commissions, the President of Commercial and Industrial Chamber of Dakar, University Representatives, Union Representatives, Business Organization Representatives, and Farmers Organization Representatives (Decree No. 97-1050, 1997).

The Council prepares the guidelines for the production of prospective studies, plans, and development programs, discusses the issues resulting from the implementation of development plans, and proposes measures in order to solve development planning problems. In addition to these functions, the SCP makes decisions for long-term development options, and defines the strategic perspective of development and the objectives of medium-term development options in accordance with necessary adjustment measures related to investments and to the orienting plan funding. The President of the Republic decision is preminent in approving the final decisions of the Supreme Council of Planning.

6.3.6 National Commission for Sustainable Development

Currently, the National Commission for Sustainable Development (NCSD) is under the responsibility of the Ministry of Environment and Sustainable Development (Arrêté Primatorial n° 08998 du 17 Octobre, 2008). Even though the NCSD is a weak structure because of its lack of human and financial resources, it includes all development actors: state agencies, private sectors,

decentralized entities, universities and research centers, civil society, non-governmental organizations including youth and women organizations, etc. Yet, its creation has been an important indicator of the Senegalese commitment to implement the recommendations resulting to the Rio Conference in 1992 and the Johannesburg Summit in 2002. Three years after the 2002 Johannesburg Summit, a Senegalese National Commission for Sustainable Development was created (Arrêté n° 4844 du 08 Septembre, 2005). The Commission is responsible for developing a National Strategy for Sustainable Development and for producing reports on Senegalese progress towards sustainable development, which are regularly presented to the United Nations Commissions for Sustainable Development. In addition to these functions, the NCSD should facilitate the integration of sustainability approaches in development planning. The Commission is chaired by the Ministry of Environment and is structured in three sub-commissions:

- a sub- commission on “Orientation and Evaluation”, led by the Ministry of Environment and Nature Protection;
- a sub-commission on “Finance” managed by the Ministry of Economy and Finance; and
- a sub-commission on “Sciences, Technical Aspects, and Technology” led by the Ministry in charge of scientific research.

The Permanent Secretary of the NCSD is under the responsibility of the Department of Environment and Classified Establishments. As indicated by their labels, each sub-commission has to contribute to towards sustainability from their disciplines.

The NCSD is one of the most unstable structures in the Senegalese development planning system. Indeed, it has been chaired by a Prime Minister Representative, the Minister of Foreign Affairs, the Minister of Planning and Sustainable Development, and the Minister of Environment and Nature Protection. Political manipulations, confusing regulation, and institutional conflicts

explain this situation. The instability of the NCSD is detrimental to the production of a National Strategy for Sustainable Development because its Permanent Secretary or its Presidency has to move from one ministry to another. As a result, time and resources are lost and the confidence in the role of the NCSD has declined.

Chapter VII: Senegalese Perspective on Sustainable Development

The word “sustainable development” appears in almost all in Senegalese planning documents. But how sustainability is promoted in the current Senegalese development planning system and taken into account during planning processes is a crucial question. Discussions with Senegalese respondents as well as with respondents working for development partners and international organizations, helped to identify many tools that could be used to promote sustainability during decision-making processes and policy implementation. Many of them, such as resources-based management tools, monitoring and evaluation systems, and environmental impact assessments, are used in Senegal. This chapter describes the ways in which sustainability is planned in Senegal and presents planners and policy-makers perspectives of “sustainable development”.

7.1 Development and Sustainability in the Current Development Planning System

Many of the processes by which Senegalese’s needs and concerns are expressed in development planning tend to promote sustainability. Decision-making processes in planning also are designed to guarantee a "dynamic change that responds to the basic needs of current population and to maintain and improve the basis of resources for future generations" (Diouf, 2008).¹⁰In other words, there are tools and processes aiming to ensure an effective integration of economic, social, and environmental aspects in development policy, focusing on economic growth-driven sectors, decision making processes, public consultation and participation, and technical and financial means.

¹⁰ Translation from French to English.

7.1.1 Identification of economic-growth-driven sectors

The focus on economic-growth-driven sectors consists of identifying as a first step all economic opportunities for economic activities before deciding which development options and strategies to adopt. The objective is to identify promising sectors where additional efforts should be taken in order to strengthen their contribution to economic growth. Differently named, the economic-growth-driven sectors are called “priority sectors” in the poverty reduction strategy, “grapes” or “convergent clusters” in the Accelerate Growth Strategy, and “key development areas” in many sectorial policies.

As demonstrated by the methodological approach of the Prospective Study, the process consists of three key steps to prioritize the growth-driven sectors: the identification of people’s expectations (usually done through surveys and public consultation), a description of potential development scenarios based on information resulting from consultation, and finally the formulation of strategic goals to enhance the contribution of identified sectors to economic growth (Senegal 2035, 2012).

This approach has been used for the first prospective studies as well as for the study currently in progress,¹¹ and for all other planning processes at a national, sectorial, and decentralized level. For instance the two versions of the Senegalese strategy for poverty reduction [(PRSP I (2003-2005) and PRSPII (2006 -2011))] followed a similar methodology by identifying areas that can boost economic development and significantly contribute to reduce poverty. These areas called “wealth-creation sectors” (DRSP, 2006-2010) are economic activities for which supplementary efforts have been advocated in order to enable them to play a leading role in achieving sustainable development. They include agriculture, mining, fisheries and

¹¹ The Prospective Study “Senegal 2035” is in progress.

aquaculture, tourism, handcraft and culture, information and communication technologies, and trade. To reach the expected results, planning processes should provide the opportunity to identify “supporting growth-driven sectors” (DRSP II, 2006). These sectors strengthen development measures in the growth-driven sectors. “Supporting growth-driven-sectors” are transportation, energy, and the financial sector. Even though the National Strategy for Economic and Social Development 2013-2017 (NSES) has not expressly used the words “wealth-creation sectors” or “supporting growth-driven sectors”, it takes advantage of the previous approaches of poverty reduction and accelerate-growth strategies by emphasizing the sectors that have a high potential for adding additional economic value, and by focusing on the idea of improving the productivity of such sectors and their contribution to sustainable development (SNDES, 2013-2017).

7.1.2 Prioritization of development objectives and the decision-making process

The identification of promising economic sectors prioritizes development actions. The availability of resources, the political and social context, and the time required to implement basic actions contributing to the achievement of development goals are crucial development factors. Since sustainable development planning is a “process of decision making”, the “precondition to achieve sustainable development” is to take into account “sustainability” during planning processes (Quaddus, *et al.*, 2001). To achieve this objective, decision-makers must choose the most satisfactory solution and assigned clear goals for each development plan or strategy. This requires evaluating the needed resources for each development scenario to assess the social context, and to estimate the time necessary to implement the range of scenarios proposed (Saaty, 1980). Development planning in a context of limited resources leads to the prioritization of actions. Such an approach helps to select the suitable scenario, anticipate and

resolve any potential institutional misunderstandings, and facilitate the coordination of implementation activities. It also helps to balance development priorities and objectives, and the allocation of available resources (Saaty, 1982).

To ensure sustainability during planning processes, decisions must be taken at the highest level (President or Prime Minister). Decision-making processes also require a multidimensional analysis (economic, social, environmental, cultural), and should be based on a multicriteria approach (efficiency, potential success, risk assessment). This approach facilitates the prioritization of measures (Quaddus et al., 2001). This is especially instructive for a developing country like Senegal that is trying to integrate sustainability to its planning processes in much the same way as Quaddus proposes. Indeed Senegal's major development plans are subject to state representatives' approval. For instance the OPESD is approved by the President before its adoption by the Parliament. The poverty reduction and growth acceleration strategies are approved by the Minister of Economy and Finance. In addition, the Council of Ministers, the Inter-ministerial Councils, and the Supreme Planning Council are decision-making institutions at the national level that have to ensure the coordination of national and sectorial development plans. At the decentralized level, the regional, municipal, and rural councils have to manage development planning.

7.1.3 Implementation of environmental and social impact assessments

Environmental and social impact assessments are decision-making support tools aimed at minimizing the negative impacts of plans, strategies, policies, and generally any development activity. They help to maximize the positive impact from development activities. Environmental and social impacts assessments should be completed at the very beginning of the planning process and should include all types of development activities (Wood *et al.*, 1992).

Environmental and social impact assessment supports decision-making processes with an "ultimate objective [to provide] decision-makers with an indication of the likely consequences of their choices" (Wood *et al.*, 1992). The most used environmental and social impact assessment is the Strategic Environmental Assessment (SEA) tool. A SEA is an "anticipatory, participatory, environmental management tool [that aims] to anticipate and prevent negative environmental impacts from projects" (Wilburn, 2005).

During the 80s, multilateral financial institutions, in particular the World Bank, adopted environmental policies in order to ensure an effective consideration of environmental impacts of their financial support. As a "key tool for integrating environmental considerations into policies, programs and plans" (Ahmed *et al.*, 2008), strategic environmental assessments include social, institutional, legal, and political aspects. Currently, they take into account the components of policies related to poverty reduction, gender, and good governance (Wilburn, PG, 2005). In Senegal, since 2001, the integration of environmental assessments into projects, programs, development plans and policies planning is mandatory with the adoption of the updated Environmental Code (Loi 2001-01, 2001).¹² The 2001 Senegalese Environmental Code establishes a mandate to complete prior or post environmental assessment:

"Any project or activity that may affect the environment, as well as policies, plans, programs, and regional and sectorial studies will be subject to an environmental assessment" (Article L 48, Loi 2001-01, 2001).¹³

The process by which environmental impact assessments are implemented for policies and development activities is described in the Decree No. 2001-282 of 12 April 2001, in

¹² The first Senegalese Environmental Code was adopted in 1983 (Loi n° 83-05 du 28 Janvier 1983, 1983).

¹³ Translate from French to English : « Tout projet de développement ou activité susceptible de porter atteinte à l'Environnement, de même que les politiques, les plans, les programmes, les études régionales et sectorielles devront faire l'objet d'une évaluation environnementale »

particularly by articles R 38 and R 40 (Décret 2001-282, 2001). In Senegal, policies are macro-economic and social visions of development expressed in institutional and financial allocation frameworks. Policies are operationalized through strategies or plans, which in turn are detailed through programs and projects. A development program is usually based on a plan or a strategy and focuses on a specific area (health, agriculture, water, fisheries, education, environment, etc.). Projects are a set of activities / measures implemented in order to achieve development goals. Environmental and social impact assessments are applied to each level of these planning tools. According to the Environmental Code there are three types of preliminary environmental assessments and one category of environmental assessment as a post-ante analysis in Senegal (Loi 2001-01, 2001):

- Strategic Environmental Assessment for policies, plans, and programs;
- Environmental Assessment for projects with important impacts;
- Initial Environmental Assessment for project with minimal impacts; and
- Environmental Audit for projects in implementation but not yet completed.

Figure 7.1 pictures the different types of environmental and social assessment and the type of planning tools for which it is applied.

7.1.4 Implementation of participatory planning process approaches

Planning processes are important forums for participatory democracy (Conroy, 2004). The effective involvement of socio-economic actors in development planning processes is necessary because of the complex nature of issues treated and the necessity to ensure a democratic decision-making process. Stakeholders' participation has several functions and objectives. First, participation is a means of communication (Leeuwis, 2000). It provides information to both citizens and to authorities

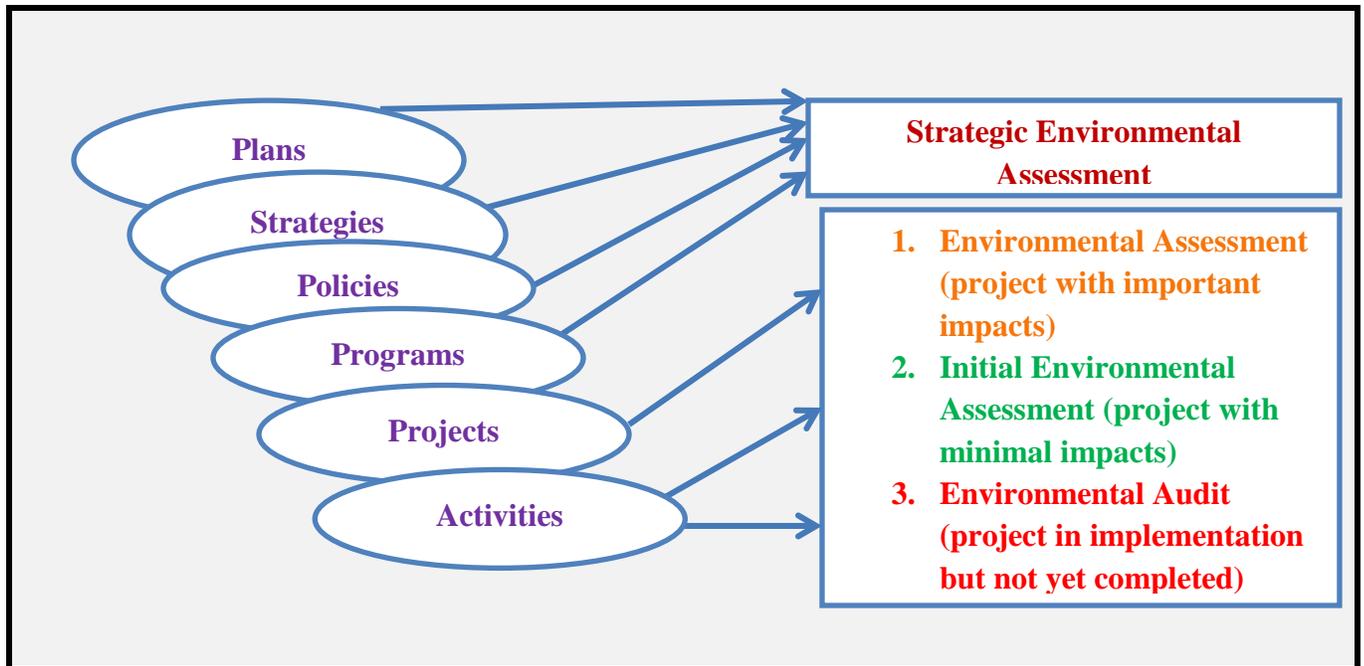


Figure 7.1: Types of Environmental Impact Assessments and their Implementation Levels in Senegal (Produced from the Environmental Code).

From the citizens' side, participation familiarizes stakeholders with the proposed/desired future changes. As a result, they contribute to improving the quality of the planning process by introducing more insights and alternatives to the planning outcomes. Finally, stakeholders become more involved and "supportive" during plans' development and implementation (Conroy *et al.*, 2004). From the authorities' perspective, participatory planning processes are useful to gather relevant aspirations and visions from stakeholders (Leeuwis, 2000). It helps them to identify, anticipate, and solve potential conflicts. Leeuwis assimilates participation as a "phase" of planning and decision making that stimulates information exchange and opened discussions (Leeuwis, 2000). The most important result of participation in planning is undoubtedly the social acceptance and the legitimacy it gives to the development policy, plan, or strategy. However, participation presents some limits because it can lead to imbalance power between groups (Conroy, 2004) and to conflicts particularly difficult to solve (Leeuwis, 2000).

Participatory planning processes raise the question of the acceptable level of participation which varies from “weak” to “strong” (Conroy *et al.*, 2004). Arnstein’s “ladder” describes nine forms of participation (Arnstein, 2007). Figure 7.2 illustrates the different types of participation from no involvement to a strong degree of involvement in the decision-making process. Overall, the ideal is to not hold to symbolic or “token participation” or to a deep engagement by stakeholders, but to a balance representation of sensibilities resulting in a socially acceptable decision.

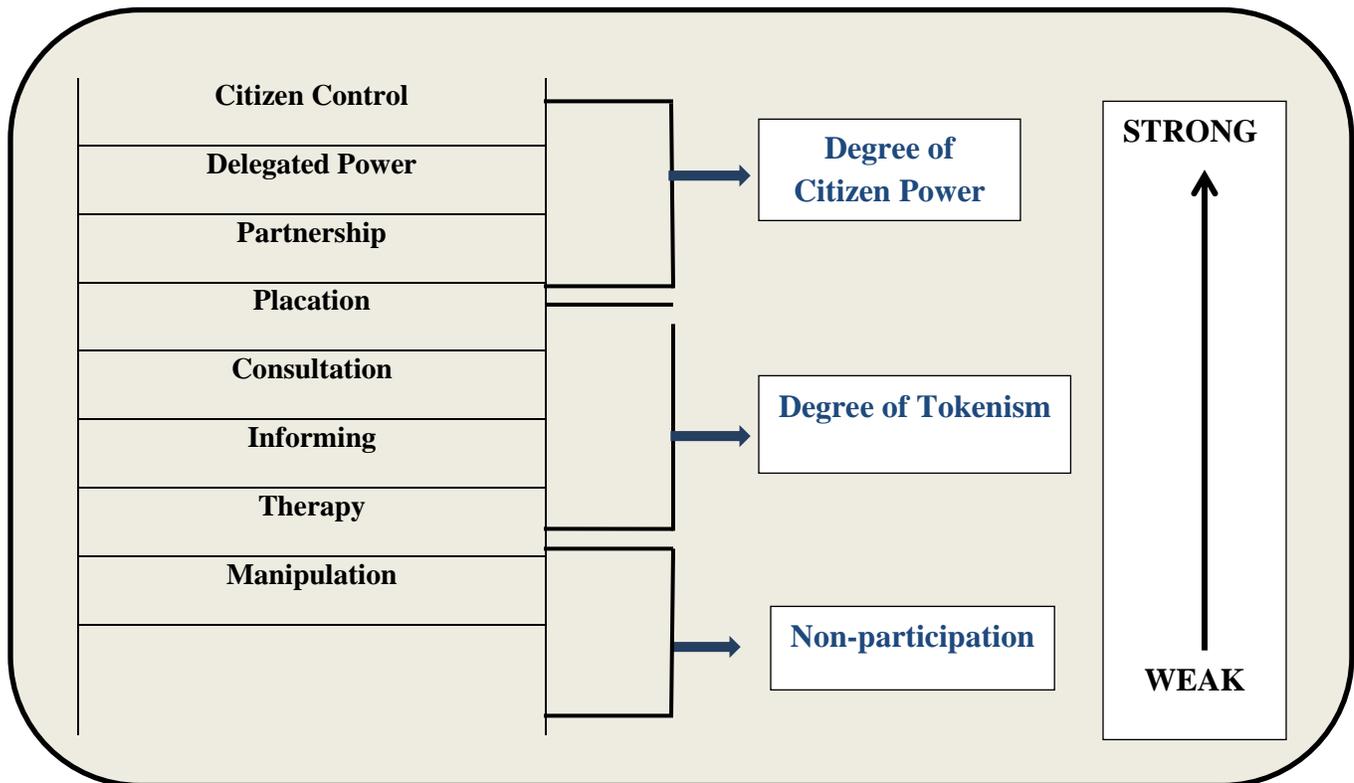


Figure 7.2: “A Ladder of Citizen Participation” (Adapted from Sherry R. Arnstein, 2007)

In Senegal, public participation in planning processes is a reality. All development plans and strategies require public participation as a fundamental phase of the planning process. The formulation of the first development plans were subject to consultations across the country. The objective was to gather enough information in order to formulate strategic directions in concordance with the socio-economic context. Sene (2010) states that the Minister in charge of planning discussed the orienting plan in each Senegalese region with all relevant entities. This

“informing” top-down approach has prevailed for the last four decades. Currently, participatory approaches in development planning are evident because of the level of democracy in Senegal. Private sector, civil society, and local community involvement in development activities are central. Almost all of the categories of participation in Arnstein’s ladder can be identified in Senegal. For instance, environmental assessments should comply with mandatory public participation (articles L 52 and L 53 Loi 2001-01, 2001). The Environmental Code states that information, consultation, and public hearings are three required phases of public participation. The orienting plans produced after 1987 and the different poverty reduction strategies have organized participatory processes by creating autonomous commissions representing each category of development actors (administration, private sector, decentralized entities, civil society, and foreign partners). The Accelerate Growth Strategy insists on promoting partnership mechanisms approaches to develop projects and implement economic activities (SCA, 2006).

7.1.5 Resource-based management tools and the development of monitoring and evaluation systems

In 2003, Senegalese authorities decided to articulate sectorial policies to poverty reduction strategies using a resource-based management tool aiming to allocate the needed resources to each development objective to meet the expected results. The United Nations Development Group defines resource-based management as “a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the achievement of desired results (outputs, outcomes and higher level goals or impact” (UNDP, 2011). The resource-based management tool used in Senegal is the Sectorial Medium-Term Expenditure Framework (S-MTEF) which links sectorial policy planning to the necessary budget in order to ensure an effective implementation

of activities that contribute to meeting the development goals. The S-MTEF approach was implemented in selected ministries.¹⁴ Over time, the S-MTEF will be implemented in all ministries in order to develop a global Medium-Term Expenditure Framework at national level.

The S-MTEFs improve and strengthen low-income countries policy planning capacities and ensure transparent budget allocations (Raffinot *et al.*, 2006). The S-MTEF is a three year planning tool implemented through the annual budget. The objective is to articulate the means by which the annual budget contributes to the achievement of medium and long-term development objectives. The S-MTEF approach contributes to sustainability planning by aligning sectorial objectives to available resources. Another aspect that S-MTEFs strengthen is the coordination of technical objectives with financial resources, which in turn has improved the collaboration between the Ministry of Economy and Finance and other departments. In developing countries the use of S-MTEF implies that resources are allocated based on the prioritization of development objectives. In Senegal, budget arbitration is conducted by the Ministry of Economy and Finance, which annually decides the budget for sectorial departments. However, competing interests/objectives result in funding being sent to some ministries to the detriment of others. As a result, the efforts or the progress of an “unlucky ministry” towards sustainability can be seriously jeopardized. Overall, S-MTEF has positive as well as negative results. One of the positive results is the systematization of monitoring and evaluation even though the idea of control has always existed in Senegal.

Monitoring and evaluation are essential phases of the Senegalese planning system. Aw (2012) demonstrates how monitoring and evaluation mainly emphasizes on aspects of control in

¹⁴ The S-MTEF was first tested in four ministries, the Ministry of Economy and Finances, the Ministry of Education, the Ministry of Health, and the Ministry of Environment.

which the parliament, the judicial power, and the administration each have a specific role. Currently, ministerial departments have monitoring and evaluation structures which are also assigned to planning missions. These “planning-monitoring and evaluation” entities conduct joint monitoring and evaluation activities with the department in charge of planning, the development partners and the beneficiaries of development programs. Monitoring and evaluation results are important in orienting policy, to inform budgetary arbitration, and to improve policy performances.

Moreover, development programs are regularly evaluated by state agency and foreign fundraisers, and involve stakeholders and development program beneficiaries. This evaluation approach also called “joined-evaluation” is performed at least twice: during mid-term implementation and at the end of development programs. When an evaluation demonstrates positive impacts, a project can usually justify receiving additional funds to sustain its impacts. Evaluations are opportunities to implement institutional, juridical, and methodological approaches in the Senegalese planning system. For instance, the recommendations resulting from the poverty reduction strategy annual evaluations have been important in increasing the temporal scale from 3 to 5 years. Another important example is the evaluation of the Senegalese planning system in 1987, which was an opportunity to re-structure and coordinate the structural adjustment plan with the orienting development plan.

7.2. Understanding(s) of “Sustainable Development” in Senegal

The Brundtland definition is the definition that all Senegalese officials referenced at first when they answered the question about the meaning of sustainable development. Indeed, the recurrent answer given by interviewees generally referred to “a development that reflects the needs of the present generation without compromising the needs of future generations”. This

definition is inscribed in the Senegalese Environmental Code (Loi 2001-01, 2001). The UN definition of sustainable development is adapted to each sector because “the concept [of sustainable development] is general enough to find applicability in a variety of areas, which makes it both widely accepted and widely disputed” (Conroy et al. 2004). This explains why interviewees’ answers were as diverse as their specialties or the institutions they belonged to. For instance, sustainable development in the fisheries sector is defined as “an exploitation of fishery resources aiming to satisfy current users and populations needs (food and income) in a sense that do not jeopardize the ability of future generations to meet their needs.”¹⁵ Another widely given response from the interviews and which is also claimed in official documents describes sustainable development as “development that is economically viable, socially equitable, and environmentally acceptable.” This definition focuses on economic and social changes, and on the preservation of natural resources basis.

In Senegal, an analysis of official documents demonstrated that sustainable development was primarily the satisfaction of basic needs and the opportunity for people to enjoy a better life. This perspective includes improving people’s living conditions, ensuring a good quality of life, and equal access to resources. Diouf (2008) classifies people needs in physical, social, and individual aspirations consisting of economic, social, and ecological needs. According to Diouf, social needs mainly concern areas such as health, education, energy, and transportation. Individual aspirations are related to freedom, security, well-being, and equity. Ecological needs include a good quality of life, a sustainable use of natural resources, and an equitable sharing of benefits resulting from natural resources exploitation (Diouf, 2008).

¹⁵ Translate from French to English: «Le développement durable dans la pêche est vu comme une exploitation des ressources halieutiques qui vise à satisfaire les besoins actuels (nourriture et revenus) des usagers et des populations de façon à ne pas compromettre leurs capacités à satisfaire les besoins des futures générations »

The Senegalese Constitution emphasizes the aspects that Diouf considers as essential in achieving sustainable development: equity, freedom, and access to property. The preamble of the Constitution highlights the necessity of ensuring an equal access to public services such as access to education, water, and health care (Constitution du Senegal, 2008). Title II of the Constitution provides more details on guaranties for individual and collective freedoms and for economic and social rights. Articles 7 to 25 of Title II of the Constitution list and detail the economic and social rights in Senegal. They include freedom of speech, equal access to property and housing, gender equity, and security. They also consist of equal access to jobs, education and health care, and guaranties for food security. The Constitution's provisions reflect many Senegalese officials' perspective of development who believe that:

“sustainable development is development that meets people's basic needs. It is a stage in which people eat when they are hungry, drink when they are thirsty, are healed and have access to medicine when are sick, and have access to education”.

Besides official documents discussing sustainable development and the initial answer given by all interviewees, all decision-makers as well as planners of the Ministry of Economy and Finance and the Ministry of Environment interviewed criticized the approach. Two interviewees from international organizations visited at Switzerland were also critical of the concept of sustainable development, arguing that it has been diverted from its real meaning and “diluted” to a meaningless approach. Box 7.1 provides two definitions of sustainable development given by planners in Senegal. They show how the concept is interpreted in quite different ways.

Box 7.1. Perceptions of Sustainable Development: Senegalese Planners

1. “Sustainable development is a technical matter linked to environmental questions. For instance, 95% of issues addressed in Local Agenda 21 are related to environmental matters.” (Ministry of Environment Planner).
2. “Sustainable Development is a multi-sectorial development approach; it should go further than ecological aspects.” (Ministry of Economy and Finance Planner)

Yet, all development plans implemented have not significantly contributed to Senegalese economic growth, to poverty reduction, or sustainable development. For instance, a 2011 analysis of the economic and social trends demonstrates an insufficient satisfaction of basic needs (food, education, health, water, and sanitation), a high unemployment rate (10.2%), and a slow and slight decrease of the number of Senegalese population living below the poverty threshold (SNDES, 2013 -2017).¹⁶

Thus, despite the number of development programs already implemented, many development objectives have not been met. This situation can be explained by the fact that planning approaches do not include a deep analysis of the social, local, and regional context, and do not recommend measures able to lead Senegal towards development pathways (Ly, 2002). For example, integrating a former education program that has not met its objectives into the poverty reduction strategy illustrates how the planning approach failed to integrate the exact causes of education issues in Senegal (Ly, 2002). As a consequence, there is less trust and less

¹⁶ The objective of the poverty reduction strategies was to reduce by half the proportion of population living below poverty threshold by 2015, to meet MDGs’ objectives such as universal education, gender equality, and improved access to health care especially for women, infants and teens. These objectives were not fully met. The poverty level was estimated to be 55.2% of the population in 2001, and decreased to 48.3 in 2005 and 46.7% in 2011 (SNDES, 2013 -2017).

conviction to concepts such as “poverty reduction” or sustainable development. This skepticism affects many Senegalese officials. For instance some policy-planners interviewed qualified “sustainable development as an institutional gadget, such as gender equity and poverty reduction. It is a word that needs to be included in official documents in order to get development programs funded.” They added:

“We have the ability to justify the reasons that sustainable development principles must be adopted but we do not have the means to apply it in our context because to pretend to sustain a development, a stage of development must be met first.”

These doubts about sustainable development and the noticeable influence of UN perspective of this concept demonstrate that sustainable development does not have a single meaning in Senegal. The interviews undertaken for this research show how the concept is not fully understood and commonly shared by policy-makers and decision-makers. Box 7.2 provides several examples of how decisions-makers described the concept of sustainable development. Even if the concept of “sustainable development” is broadly accepted, it seems to be more a political concept than an approach duly integrated into development planning.

The concept of sustainable development in Senegal has become a political discourse and has failed to be realized because of its link to so many areas, interpretations, principles, requirements, and pre-requisites that makes it both comprehensive and meaningless at the same time. In Senegal sustainability is at risk of dying. As Atkisson (2006) describes:

“few concerted attempts have been made to enshrine a deeper understanding of the word in intellectual and political discourse, to defend the word from misappropriation, or to bring the word to public attention in a positive and exciting light. Sustainability is dying of misuse, and dryness, and reduction to buzzword. It is dying because it is attached to

too many initiatives that are failing to achieve their stated goals, or even, in many cases, to make any significant progress in that direction. It is dying because other initiatives, more cynically, pretend to be ‘sustainable’ when they are demonstrably not.”

Box 7.2. Perceptions of Sustainable Development: Decision-makers

1. “Sustainable development is the “diplomacy daughter”, born through United Nations discussions.”
2. “Sustainable development is not only an environmental question. It is a matter of development and economic choices.”
3. “I am taking sustainable development with lot of caution. As it is conceptualized, it is an ideal. It is countries that are already developed that push us to use such an approach.”
4. “Sustainability means responsibility and freedom in development choices.”

Chapter VIII: International Interventions and Influences on the Senegalese Development

Planning System

Senegal's commitment to sustainable development is reflected by its presence at all major international environmental and development events. Indeed, Senegal has taken part in all the international meetings on environment and sustainable development since the 1972 Stockholm Summit. Senegalese authorities have worked to implement the international community's recommendations towards a sustainable socio-economic development based on a rational use of natural resources. Yet, none of the development measures taken since the 70s have been effective. Financial, institutional, technical, and methodological issues have limited progresses towards economic and social development and the sustainable management of ecological resources. Two reasons explain this situation. Firstly, the concept of sustainable development is broad and continues to evolve, placing new demands on the planning system. Second, the planning system is very complex because of the Senegalese political structure, the legacy of the French legal system, and the conditions linked to development support.

8.1 Adoption of the Sustainable Development Concept in the Senegalese Development

Planning Structure

Following the 1992 Rio recommendations, Senegalese authorities created a Ministry of Environment which was also responsible for the production of a National Strategy for Sustainable Development (NSSD) in 2005. In addition to this ministerial department, the institutional framework for sustainable development planning was enriched by the creation of the National Commission for Sustainable Development. Development planning functions already fragmented within the Ministry of Economy and Finance structures for reasons that will be explained in the next section, become more "jumbled" among state agencies, despite the

objective claimed to not substitute a NSSD to existing plans. The Ministry of Environment and Nature Protection which is a “new and sectorial structure” was tasked with leading the production of a development planning instrument that had to be as comprehensive as possible. However, the collaboration and the solidarity needed to produce such a comprehensive plan were missing. The leading role of the Ministry of Environment resulted in institutional conflicts between agencies, especially between the Department of Planning and the Department of Environment. In 2008, the Prime Minister settled this conflict and designated the Ministry of Environment as being responsible for the process.

While the NSSD is still a work in progress, new planning tools have emerged, namely the different versions of the poverty reduction strategy, the Accelerate Growth Strategy, in addition to the updated version of the Orienting Plan for Economy and Social Development. These plans all refer to the concept of sustainable development, but this reference is more commonly made in a sentence in which references the economy, environment, and society (Hulmann, 2003). Currently, the Strategy for Economic and Social Development 2013-2017 is the more comprehensive development plan, but it fails to effectively integrate all the dimensions of sustainable development. For instance, the strategy demonstrates a narrow perception of sustainable development by focusing on “human sustainable development” in one section and “sustainable development and environmental management” in another. The dimension of human and environmental elements in development have not been rightly perceived in this strategy, in which the focus is mostly on economic strategies and some social aspects such as education and health care, rather than on environmental concerns.

8.2 Survival of the French Legacy and Senegalese Political Structure

The type of colonization implemented by the French promoted a complete assimilation of the “French style” by Africans (Moss, 2007). This explains why despite independence, former colonies remain economically close to France through the CFA,¹⁷ and through an active presence of French advisers for African security and policymaking processes (Moss, 2007). Like its West African counterparts, Senegal has never broken its “ties” with its former colonizer after gaining its independence in 1960 (Ly, 2002). The Senegalese economy remains “tied” to the French market. For instance, the Senegalese interior market is dominated by the French who are the leading foreign direct investors (World Bank, 2007, France Diplomatie, 2012). Moss demonstrates that in some cases French bureaucrats have drawn-up a country’s budgets (Moss, 2008).

In Senegal for example, there has always been a French technical counselor in several ministries (e.g., economy, environment, agriculture), closely involved with the production and implementation of development policies. For instance, the Ministry of Environment had a technical advisor until 2008. In addition, some environmental projects such as the depollution of Hann Bay in Dakar¹⁸ have been technically led by a French agent. This approach is not particular to France because there has also been a German agent in the Ministry of Environment as well. This context explains to some extent how the policy-making process can be influenced by foreign countries under the name of bilateral cooperation.

¹⁷ The CFA is the African Financial Community Currency [Franc de la Communaute Financiere Africaine (CFA)]. The CFA currency is guaranteed by the French Treasury. There are two forms of CFA Franc, the West African CFA and the Central Africa CFA. Both currencies are interchangeable and have a fixed rate to the Euro. One euro equals to 655.957 CFA francs in 2013.

¹⁸ Hann Bay located in Dakar is facing to serious environmental problems due to industrial and domestic activities. The government of Senegal is supported by the “Agence Française de Développement” (French Development Agency) to implement depollution measures in the Bay.

Even though the influences of colonization on development planning policies should not be over-emphasized (Moss, 2007), they are still prevalent in West African francophone countries.

In addition to the consequences of colonialism on Senegalese development planning, the structure of the political regime was, and still is an important factor of confusion. Indeed, Senegalese development was initially based on a socialist perspective. The attraction towards socialism can be explained by cultural reasons such as “communal treatment of land ownership” and the tradition of “collective decision-making” which are more close to socialism than to liberalism (Moss, 2007). Moreover, the necessity to mobilize resources towards the construction of a Senegalese nation led decision-makers to centralize the political and economic power at the state level, to make decision about all measures at a national and local level.

For over forty years, a socialist political regime was in power. As a result, Senegal plans its development based on a socialist perspective even though it has implemented liberal policies (Diouf, 2004). The first orienting plans for economic and social development were developed from a socialist perspective. This explains their detailed character. One of the interviewees found that the first development plans tried to integrate the Senegalese culture of “sharing” and was critical of the approach of planners and decision-makers who focus on “wells in villages” in national development plans. This detailed blueprint planning approach has been one of the weaknesses of the early development plans in Senegal. Another limit of development planning was the limited internal financial resources to implement the plans. As a result, decision-makers have been in a “constant” search for external funds to fulfill their commitments to improve Senegalese living conditions, which in turn drove Senegal towards structural adjustment policies for thirty years (Ly, 2000). This socialist perspective is reflected in the current Senegalese legal

system. Indeed, the Constitution states in its first line that “the Republic of Senegal is . . . social”.¹⁹

Moreover, politics was found to causes great confusion with regards to the expectations of the Senegalese people. The majority of planners interviewed discussed how politics was a source of dysfunction in the Senegalese planning system. Box 8.1 provides five perceptions of planners relative to the influences of politics on development planning processes.

Box 8.1. Senegalese Planners Perception of the Influences of Politics on Development Planning Processes

1. “The imbalance of power between institutions and plans is grounded in politics, making us stuck, thus we are not progressing.”
2. “Mainly politics is one of the important aspects that undermine our development progress. Often, decision-makers ask technical advice but do not wait for our conclusions to take decision because of political concerns. This kind of attitude undermines the planning development processes and sustainability.”
3. “Politics impede the planning process and do not allow ensuring sustainability, and we have political leaders who do not really decide for us. That is the reason why even though our plans present some sustainability characteristics they are not implemented.”
4. “The concern of decision makers is more focus on financial, economic, and social aspects than environmental issues.”
5. “Social needs and partners’ conditions are two types of pressures on decision-makers that do not help to ensure sustainability.”

¹⁹ Translation from French to English of the Article 1 of the Senegalese Constitution : « La République du Sénégal est laïque, démocratique et sociale» (Article 1 Senegalese Constitution, 2008).

8.3 Development Partners Support Consequences on the Senegalese Planning Structure

The involvement of bilateral and multilateral development partners has led to positive and negative impacts on the Senegalese planning system. On one hand, foreign development partners' actions have been essential to produce and implement development programs through their technical and financial supports. In the other hand, their support has been a factor of confusion in development planning because they lead to “a parallel development planning structure”. 100% of Senegalese interviewees pointed out the negative impacts of Structural Adjustment Policies on the Senegalese planning system. They viewed these policies as “a diktat of international financial institutions.”

The oil crisis and the harsh economic context of 1970s meant that public expenditures increased and the price of imported goods (oil, rice, milk, and others cereals) skyrocketed. As a result, Senegal became the first West African country to experiment with structural adjustment policies to stimulate economic growth (Ly, 2002).

Three phases of Structural Adjustment Policies (SAPs) have been implemented to rebuild the basis of the economy, to improve the management of public finance, and to redefine the limits of state interventions. An immediate consequence of SAPs is the influence of the World Bank and the International Monetary Fund in shaping the strategic direction of Senegalese economic development (Diop et.al, 2004). Like many countries that have experienced SAPs, Senegal went through a set of measures such as the privatization of public enterprises, the liberalization of trade, and the reduction of state expenditures for health care and education that had the effect of reducing Senegalese living-conditions (Diop et. al, 2004). Regarding the planning system, there was a co-existence between the national development plan that the OPESD constituted and the Bretton Woods SAPs. This “double planning” led to a separation of

economic and financial adjustment from development planning (Direction de la Planification, 1994).

SAPs weakened the planning structure and prompted decisions-makers to rethink the design of development plans (Diop, 2004). In contrast to the national orienting plan, SAPs wanted more targeted interventions and focused on creating an attractive environment for private entrepreneurship. This action led to an era of privatization, but its consequences were negatively felt by Senegalese (Diagne in Diop, 2004). Despite the “humanization” of SAPs, the development objectives were never met because SAPs were not planned according to people needs, but according to economic efficiency. In addition, SAPs were based on external perspectives that frequently did not understand the Senegalese context (Ly, 2002). A respondent caricatured the situation as followed:

“SAPs marginalized the OPESD. At one moment, the dialogue was like: we have problems; can you help us to overcome them? The answer was: we can help you, but you must comply with our conditions.”

All decision-makers interviewed believe that Senegal is still experiencing “the tyranny of development institutions such as the World Bank and the International Monetary Funds.” Box 8.2 provides two decisions-makers perception of development partners’ approach in Senegal. These perceptions indicate that the development approach adopted can dictate the type of projects that are undertaken, undermining the autonomy of government agencies to pursue what they believe to be sustainable development. . The confusing situation of “parallel planning” still exists between the Orienting Plan for Economic and Social Development and the National Strategy for Economic and Social Development (2013-2017).

Box 8.2 Decision-makers Perception of Development Partners Influences

1. “Development partners should not impose the sector or the area in which they want to support Senegal. Instead, it is Senegalese authorities that have to decide the type of support wanted from development partners and the sectors in which they should orient their support.”
2. “If an international development agency is not able to support Senegal in the way it wants to, this means it has failed. But this is always the case, they impose their approach on us, the sector in which to focus the intervention, and the location where to implement their development projects.”

The promotion of poverty reduction supported by the World Bank led to poverty reduction policies which have become the reference point for development actions. Overall, all Senegalese planners highlighted the current situation between what they call a “legitimate development plan” represented by NSESD and a “legal plan” symbolized by the OPESD. They also impute the confusion to international influences. Two of the interviewees considered “the coexistence” of NSESD and the OPESD as a “weird situation” because the first is legitimated by its participatory approach and the support of development partners and decision-makers, while the second is “legalized” by the Constitution. A decision-maker commented that:

“The weirdest aspect is that history is repeating itself; currently there is the same marginalization of the OPESD to the benefit of the NSESD, as there was from the SAPs in the past.”

Chapter IX: Discussion

The previous chapters show that development planning in Senegal suffers from many issues that impair planning efforts. This chapter discusses the limits of sustainable development planning in Senegal. First, the multitude of development plans and strategies was found to be a source of tremendous confusions. This situation is worsened by the lack of clarity in legal texts that often contradict each other and by an institutional instability mostly driven by politics. As a consequence, there are “a plethora of strategies which instead of reinforcing themselves are concurrent” (as noticed by a respondent).

Yet, all of them promote sustainable development principles, poverty alleviation, and have a deep respect for a gender oriented development. In addition, all planning documents refer to the OPESD, which has not been updated as required by law.

9.1 Value and Power of Development Plans and Strategies

The value of development plans in Senegal can be assessed by looking at their legal characteristics, the political and financial support received by each of them from decision-makers and development partners, and their legitimacy.

9.1.1 The national level

9.1.1.1 The Economic and Social Orientation Development Plan (OPESD) and its

Obsolescence

Following the general principle, the OPESD (a law) should be the reference for all development strategies. It is the only plan that has been explicitly referenced by the Senegalese Constitution. However, this document has not been updated as required making it impossible to respect the legal hierarchy. From this situation, the legal power of all plans that have to refer to it

is questionable. The analysis of sectorial plans as well as the poverty reduction and accelerate growth strategies reveals that they refer to the obsolete OPESD.

One of the reasons that the OPESD has not been updated (based on the data collected in this research) is the transition from a socialist vision to liberalism after the liberal party won the 2000 presidential election. Thus, the liberal policies that the new administration implemented did not pay enough attention to a planning process that began under the socialist era. But this is not the only problem. The OPESD has been subject to multiple “parallel planning processes” since the implementation of Structural Adjustments Policies (SAPs).

9.1.1.2 Poverty reduction strategies and their evolution

Despite being the main development plan in Senegal, the National Strategy for Economic and Social Development as shown in Chapter 6 is in the lowest level of the legal norms hierarchy. However, it has been developed and implemented in the last 10 years due to decision-makers support, mainly driven by the support of bilateral and multilateral financial partners. As a consequence, it earned a supremacy over all other development plans and strategies. The interviews undertaken for this research revealed that the poverty reduction plan was not meant to substitute for the OPESD. Poverty reduction matters were first managed by the National Planning Department before being administrated by a Coordinating Unit completely independent to the others departments of the Ministry of Economy and Finance. The support received by the poverty reduction strategy from decision-makers (mainly the minister of finance) gave it value above the OPESD.

Furthermore, based on the World Bank classification, Senegal has changed from a low-income to a low-middle income country. As a consequence, the World Bank is no longer supporting the poverty reduction strategy as it has done over the past ten years. This is one

reason that the poverty reduction plan was changed to the Economic and Social Development Policy (ESDP 2011-2015). The updated ESDP is currently called the National Strategy for Economic and Social Development (NSES 2013-2017, 2012).

9.1.2 At the regional, communal, and rural level

The situation of development at the decentralized level is more critical. Currently, from a total of 14 regions, only two have an updated integrated development plan. All other regions have either ongoing processes or obsolete plans. The poor progress in updating their development plans may be due to the lack of funding for their implementation. Decentralized collectivities financial resources are mainly provided from the state budget.

Furthermore, the process of developing the decentralized plans is not often initiated by decentralized entities; rather the process appears as needed for compliance with the state development programs or to receive foreign partner support. Their production involves state agencies so that even if the DRAs' human and technical resources are adequate (which is not always the case), the decentralized plans reflect the central administration perspectives of development at the regional, municipal, or rural levels instead of reflecting the concerns of decentralized entities.

Another issue is linked to the outdated OPESD on which local entities should rely. As a consequence, any plan at the decentralized level could be neither relevant nor adequately prepared to address economic and social development issues, much less would be able to integrate actions to achieve sustainable development. The absence of the OPESD drives decentralized entities to search blindly through the meanders of local development.

One important aspect observed in the current context of local development planning is the dominance of state agencies. Indeed, decentralized entities rely heavily on state agency

services mainly for regional planning, but also for other responsibilities and tasks that have been transferred to them. With regard to sectorial policies, it can be observed that all state agencies have the duty to ensure the implementation of their ministries plans and strategies. Thus, state agency representatives are more inclined to ensure their department's plans are implemented than supporting regions, municipalities, and rural communities to develop their own plan.

Finally, the biggest constraints of decentralized planning are related to the weakness of local government financial and human resources. Today, authorities attach great importance in having to two levels of planning with a macro-economic planning at the top complemented by more operational regional planning. However, this objective is not realized if we consider the sum of all issues described above.

9.2 Initiative and Definition of the Development Plans

Beside the OPESD, many development plans at the national, sectorial, and decentralized level were produced with significant foreign influences. For instance, SAPs and the poverty reduction strategies were Bretton Woods's conditions for receiving financial support. Some development plans have been supported by multilateral organizations or bilateral cooperation agencies. This was the case for the National Strategy for Sustainable Development that was funded by the United Nation Development Program (UNDP) and the Senegalese Ten-Year Framework for Sustainable Production and Consumption Patterns funded by the United Nations Environmental Program. In a study on Medium Term Expenditure Frameworks (MTEFs), Schiavo-Campo (2009) argues that:

“MTEFs have been pushed onto reluctant developing countries by donor institutions. In a majority of cases, recipient governments simply had to accept the initiative as part of the price of a policy-based loan or technical assistance grant. In some cases, they were

persuaded that the initiative would help fix their basic budget problems; and in other cases they were influenced by the same desire for modernity that motivated donor agency staff and their managers. In most countries, ownership turned out to be a ventriloquist act.”

The same comment can be made for many development planning exercises in developing countries. From the above analysis, it can be argued that since its independence, Senegal has never planned its economic and social development without external influences. For instance a decision-maker affirms:

“The big pain in Senegalese development planning is that we have never had our own development model. We do not have a proactive approach, instead we always react to the influence of the international environment which permanently imposes a perspective, a way of thinking or doing things, but we never analyze our own context before taking development steps.”

The OPESD has suffered a lot from “parallel planning processes” (SAPS, PRSP). One of the reasons for this situation is the high dependency of Senegal on external resources. The orientation of donors, therefore, often triumphs national guidelines set by Senegal’s expertise. Currently, this situation persists with the National Strategy for Economic and Social Development and other planning tools. However, the downside of such a situation is that donors suggest certain sectors, letting down the others that are not the focus of their attention.

The adoption of structural adjustment policies weakened the state of Senegal which became an executor of donors’ decisions that were often unpopular and found to be inefficient. Currently, policies aiming to reduce poverty seem to be a continuation of the adjustment measures (Ly, 2002). Even if they initially mobilize resources to improve the satisfaction of

basic needs, such as access to water and sanitation, they have not significantly reduced the poverty rate. One decision-maker interviewed was very skeptical about the ability of the poverty reduction strategies to meet their objectives, arguing that that:

“[Senegal] cannot meet in five years all the development objectives identified in the poverty reduction strategy, in all sectors targeted, and for all the issues addressed. This is not possible.”

Although the approach for poverty reduction planning is as inclusive and participatory as possible, it has not paid enough attention to the notion of sustainable development. First, the objectives are ambitious but not enough to solve all the problems that a sector can face. For instance, a sector like education presents several issues with regard to the sub-sectors it encompasses (primary education, high education, research and development). However, the poverty reduction strategy focuses on the sub-sector of primary education and pays less attention to a sector like research, which is important to boost development and needs more resources than primary education. Thus, a sector may have several important issues, but the strategy addresses only one, which is unlikely to be solved in five -years.

The consequence of not having the ability to freely plan and decide for the future is the production of plans and strategies that will not be implemented, despite their good quality. For instance the Senegalese National Action Plan for Environment has never been implemented despite the resources spent on its production (Hulmann et al., 2003).

9.3 Inexistence of a Specific Development Model

Currently, Senegal does not have its own development model. Implementing a typical Senegalese approach of development was an objective of decision-makers during the first years of independence. However, the nationalist perspective of development was undermined by the

impacts of the 70's economic crisis. As a consequence, Senegal relied on international resources to develop. By doing so, Senegal had to frame its request for support according to donor's guidelines. This led to donors' perspectives driving development instead of a development model based on Senegalese realities, successes, and failures. Actually, it seems that all development projection models have been exported from developed countries or proposed to Senegal by multilateral agencies. Of course, there is no need to "recreate the wheel" when a development model is available and adaptable to a developing country like Senegal. However, the evolution of planning models occurred without input from developing countries that had to adopt the approach being proposed or imposed on them.

9.4 Inconsistency of the Institutional Framework for Sustainable Development

The responsibility of state agencies to formulate and develop plans and strategies are dictated by legal norms (the Constitution, laws, decrees, or orders). While the Ministry of Economy and Finance is responsible for development planning in Senegal, the Ministry of Environment and Sustainable Development has to lead the production of the Sustainable Development Strategy. However, The National Commission for Sustainable Development (NCSD) was created by a Prime Minister's order, which also stated that the Permanent Secretary for the NCSD is coordinated by the Department of Environment. At the same time, a decree organizing the Ministry of Economy and Finance creates a Permanent Technical Secretary for the National Commission for Sustainable Development (NCSD), coordinated by General Department of Planning.

The creation of the NCSD was done by a legal act (a Prime Minister's Order), inferior to the text organizing the Department in charge of Finance (a Presidential decree). With regard to the hierarchy of legal texts, a decree is superior to an order. Thus, NCSD was created by a legal

rule inferior to the legal text organizing the Department of Economy and Finance. As a result, it is legally difficult to require the Department of Economy and Finance to comply with the act creating the NCSD. In addition, two terms are used to designate a same entity. In the Prime Minister's order, the term "Permanent Secretary" is used, while in the presidential decree, the term "Permanent Technical Secretary" is employed. This may lead to think that there are two different secretaries in the NCSD, one in the Department of Planning, and another one in the Department of Environment. This confusing institutional arrangement that is worsened by an unclear legal basis, weakens the efforts to promote sustainable development planning.

The legal uncertainty surrounding the creation and the management of the NCSD is very problematic and is worsened by the recent transition of the Ministry Environment and Nature Protection into the Ministry of Environment and Sustainable Development.²⁰

9.5 The Absence of a Link between Spatial and Strategic Planning

The "Senegalese independence fathers" envisioned spatial planning as a means of development (Sene, 2010), but spatial management plans have been poorly implemented since their production. There is no doubt that a spatially balanced development is an important factor ensuring equity between the national, regional, and local territories, as well as between urban and rural zones. The data collected during this research demonstrate a belief that "economic planning should be linked with spatial planning." "Social infrastructure" (schools, hospitals, roads, water, or electric network systems) should be balanced between regions. Good spatial planning encourages "the emergence of particular development trajectories" (Balducciet.al, 2011), and promotes sustainability. An imbalance in the distribution of economic activities is the major weakness of Senegalese spatial planning. For instance, 95% of industries and business activities

²⁰ A government reshuffle occurred on October, 29th, 2012.

are concentrated in Dakar, the capital city of Senegal, resulting in negative environmental and socio-economic consequences (urban poverty, high rate of unemployment, pollution, violence, etc.). At the same time, other Senegalese regions lack “social infrastructure” and experience a degradation of living conditions, limiting their contribution to national development.

Strategic development planning is not aligned with its spatial dimension in Senegal. Budget allocations also do not align with the spatial planning policy. In this context sustainable development is unlikely to be realized.

9.6 Almost the Same Approach for Economic Driven Sectors since the Colonization Era

The Poverty Reduction Strategy and the Accelerate Growth Strategy demonstrate that there are at least two factors that defined as sector a “an economic driven-growth sector”: the potential for export and the potential for new job creation. The potential for an economic sector to create wealth has been a critical criterion of development planning. For instance, different versions of the poverty reduction strategy have focused on the ability for an economic sector to generate substantial income for populations. This potential, however, depends mainly on exports. The agriculture sector played a central role during the period of colonization because of its “specialization” in peanut products for the benefit of France (Diop, 2004). Peanut production has been heavily subsidized and supported by the government after independence. The “peanut economy” (Diagne, in Diop, 2004) collapsed with the decreased value of peanut oil at the end of the 70s, and with the liberalization policies advocated by the World Bank through Structural Adjustment Policies. However, Senegalese authorities continue to financially support the sector despite the significant constraints it faces (unfavorable international market, drought, and decrease of land productivity), neglecting other agriculture sub-sectors. Even though more diversification is currently advocated in the agriculture sector, the approach by which it drives

growth in Senegal is based on the export market. This approach stems from the Poverty Reduction Strategy and the Accelerate Growth Strategy.

Furthermore, fisheries and tourism are two economic sectors considered as central because of their ability to generate tremendous income to the Senegalese economy. They have both been identified by the Poverty Reduction Strategy and the Accelerate Growth Strategy as central. However, the fisheries and tourism sectors have a limit because of the high concurrence of other countries in the West African sub-regional active in these markets.

All new development plans and strategies promote the participation of the private sector in the same way that Structural Adjustment Policies did in Senegal. Indeed, the pathway for development in Senegal is seen through the promotion of private entrepreneurship, especially through a welcoming business environment. This approach is noted in the Poverty Reduction Strategy as well as in the Accelerate Growth Strategy. This may be one of the reasons that the two strategies have been easily integrated into the National Strategy for Economic and Social Development (2013-2017).

However, economic growth cannot lead to poverty reduction if the benefits of growth are not equally shared in a society. The Senegalese Accelerate Growth Strategy has been criticized as not being “pro-poor” (Cabral, 2010). An analysis of the Senegalese Accelerated Growth Strategy or Poverty Reduction Strategy shows that economic driven -growth- sectors are still those defined since the colonialism period, namely agriculture activities focusing on peanuts and oilseed products, phosphate production, and fisheries and sea-food products.

Based on the comparative advantage of the Senegalese economy, planners and decision-makers maintain the colonial heritage, although they have tried to include some innovations or to promote sub-sectors. The problem with this approach is that a sector like agriculture faces severe

constraints such as rainfall, high sanitary standards and trade regulations, and limited financial resources that prevent it from contributing to Senegalese economic growth.

Chapter X: Suggestions and Recommendations

Sustainable development should not be only a political discourse or “an institutional gadget” but a reality. The following suggestions result from the findings and are intended to give some pathways to improve sustainable development planning in Senegal. The recommendations and suggestions made here are not exhaustive. However, they should provide a starting point from which to address the challenge faced by the legal and institutional framework, the decision-making process, and the role of development partners in the planning process.

I share two principal concerns expressed by Senegalese respondents. First, both the decision-makers and planners interviewed insisted on the need to clarify the legal framework and reorganize the institutional framework for development planning, so that sustainable development principles could be fully taken into account during the planning process and implementation stage of development policies. Second, all of the respondents expressed the need to adopt a Senegalese approach to development that is grounded on the country’s economic, social, and environmental context.

10.1 Define a Senegalese Perspective of Sustainable Development

I believe that concept of sustainable development is sufficiently broad that Senegal can have its own definition of sustainability without deviating from the basic principles of the concept. To move from a juxtaposition of words to a practical implementation, the development planning tools should state the meaning of sustainability in the area where development is being planned. At the national level, development plans should demonstrate an effective integration of economic, social, and environmental targets instead of vague reference to the phrase sustainable development. Sectorial plans should state the pillar (economic, social, or environmental) on which the focus is primarily oriented without neglecting the effects of the focal area on the two

others dimensions. The objectives of poverty reduction, good governance, transparency, human rights, and gender equity are central, and should be taken into account in development planning.

An efficient planning structure ensuring a practical implementation of sustainable development in Senegal requires a performance measurement framework to monitor progress. This framework will require a set of Senegalese indicators developed during planning process that are regularly updated and evaluated. All planners highlighted the need to have a good monitoring system. The benefit of such an approach would be to allow Senegal to be more focused on national development objectives than on meeting international indicators.

10.2 Clarify the Legal Framework for Sustainable Development Planning

The legal framework for sustainable development planning in Senegal should be strengthened and the provisions of legal texts clarified. The political commitment of decision-makers should be expressed at the highest level of the legal framework. To that end, an article related to sustainable development can be included in the Constitution. This article should state what Senegal seeks in terms of sustainability such as balanced economic growth which equally benefits the Senegalese people and is based on a rational use of natural resources allowing space for regeneration, along with the adoption of technology adapted to Senegal's context. At the decentralized level, legal texts should refer to sustainable development objectives; however, these objectives should be framed according to the local context.

The legal framework should not be a source of ambiguity and diverse interpretations. Thus, a law clearly defining the department responsible for coordinating sustainable development planning is needed. This law should include the role of all other key departments. Finally, all conflicting legal texts should be revised in order to avoid a permanent back and forth between ministries.

10.3 Improve and Reorganize the Institutional Framework for a Sustainable development

The National Commission for Sustainable Development, the Supreme Council of Planning, and the Coordinate Unit for Economic Policies should be unified into one structure in order to effectively integrate all the dimensions of sustainable development. Such a structure has to be positioned at the presidential level, in order to give to its decisions more authority. This would minimize the institutional conflicts among state agencies. Such a structure would also have decentralized units at regional, communal, and rural levels which would inform decisions at the national level.

Ministerial planning units or cells should include personal with expertise in sustainable development planning. Planning cells often include economists, planners, or evaluators, but not environmentalists or sociologists. It is recommended that at least each of these categories of experts is included in planning cells so that these can transform into sustainable development planning units.

With regard to who should lead the preparation of sustainable development plans, it is recommended that an entity is established under the Prime Minister, and which would closely cooperate with ministries planners/experts who better understand the concerns in their sector. An experienced planner from the Ministry of Economy and Finance could be chosen to lead the proposed unit, but he/she should be supported by environmentalists, spatial planners, and socio-economist experts.

10.4 Restructure Development Partners Support for Development Planning around a Single and Comprehensive Planning Instrument

It is recommended that a comprehensive planning instrument is established at the national level. This instrument would need to integrate national perspectives of development with those of development partners. There is no need to go through another production process for a new planning instrument. The suggestion is to combine the directions and perspectives included in each national development plan into one comprehensive instrument. For example, the process by which the National Strategy for Economic and Social Development has integrated with the Accelerate Growth Strategy provides an example of what can be achieved in this area. Further, the Prospective Study could be an exploring tool, used to inform the development scenarios that have to be implemented. The development scenarios should also integrate poverty reduction concerns, social equity, economic growth, environmental aspect, basic need satisfactions, etc.

10.5 Build and Strengthen Capabilities for Sustainable Development Planning

The development of sustainable development planning capabilities and expertise is essential to addressing the development challenge in Senegal. It is also essential to support decision-making processes at the local, regional, and national level. Education about sustainable development is a critical need if Senegalese authorities want to actively promote sustainable development. The education about sustainable development should be based on the Senegalese socio-economic and environmental context. This approach would encourage the emergence of a “Senegalese sense” of sustainability. It would also create knowledgeable citizens and informed political decision-makers in achieving a sustainable future. Educating government employees is critical if Senegal wants to move towards sustainable development.

Chapter XI: Conclusion

To conclude, it is important to revisit the four objectives that underlie this research study, which are:

- to understand the institutional framework within which a sustainable development strategy in Senegal would be situated;
- to identify the strengths and the weaknesses of this framework;
- to understand planners and decision-makers perspective of sustainable development in Senegal; and
- to suggest actions that strengthen and clarify the role of each entity involved in sustainable development planning in Senegal, based on a shared understanding of the concept of sustainable development.

In an effort to have a clear perspective of sustainable development planning Senegal, understanding the institutional framework within which sustainable development planning occurs was essential. This step revealed that development planning in Senegal consists of a plethora of entities each of which having their own development planning functions. While the institutional structure demonstrated an effort to take into account all development actors, its effectiveness was undermined by concurrent planning functions within and between state agencies. This situation led to institutional instability due to the different points of view of decision-makers who had authority to shape development decisions. As a consequence, the structural organization toward sustainable development planning is complex and uncoordinated, despite the collaboration that exists between ministerial departments. The solution to this problem lies in the creation of a comprehensive development planning instrument for Senegal. To be effective, such a tool would require a shared understanding of sustainability to be held by

government agents and decision-makers. To this end, building and strengthening knowledge in sustainable development through the implementation of education programs would be essential.

Understand planners and decision-makers' perspectives of sustainable development in Senegal was not an easy task. Yet, many approaches adopted in the current development planning processes demonstrate valuable ways to promote sustainability such as resource-based management, environmental assessment, and participatory processes. These approaches point to the strengths of the Senegalese development planning structure. The weaknesses that were found were due primarily to the attention paid to some development plans to the exclusion of others, reinforcing the conflicting planning functions of state departments, and the imprecision of the legal framework concerning the leadership for sustainable development planning. In addition to these issues, development planning faces the negative influences of development partners who can change the perspective of decision-makers away from actions that might have been more in line with social realities.

The challenge of sustainable development planning in Senegal is to “break” the inconsistencies of development planning at all levels and to integrate sufficiently economic, social, and environmental matters that are achievable within a time-scale that is autonomously defined by Senegalese authorities, rather than development partners. Another challenge is to take into account the integration of relevant major development themes such as transparency, good governance, social and gender equity, human rights. Overall, Senegal must find its own development pathway based on its realities, its potential, and its limits, and avoid adopting implanted ideas and concepts without a critical review of how these ideas and concepts might impact it. This could start by “fighting for wealth” with justice instead of fighting for “poverty reduction” (Goudiaby, 2010).

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Appendix A: Survey/ Questionnaire for Senegalese Participants

**VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY
SURVEY FOR SENEGALESE AGENCIES / ORGANIZATIONS**

**Title of the thesis: Planning Sustainable Development for Developing Countries
Reflections and Proposal in Senegalese Context**

**Investigator: Yakhya Aicha Diagne, Candidate for the Master on Urban and Regional
Department of Urban Studies, Virginia Polytechnic
Institute and State University**

I. General information

Organization:

Position of the interviewee / respondent in the organization:

Background (education, previous positions):

Presentation and missions of the organization:

- 1. Structuration of the development planning system**
- 2. Level of intervention of the organization in the planning system**
- 3. Relationships with other agencies/ organizations**

II. Perspectives of Sustainable development

- 1. Organization perspective on sustainable development concept and principles in practice**
- 2. Organization process on the integration of sustainable development in the planning system**
 - What understanding of SD?
 - How is SD taken into account during the planning process?
- 3. Organization perspectives on the integration of sustainable development in practice (implementation)**

- What are the links between the global development strategy and the sectorial policy?
- How sectorial policies are integrated in practice?

4. Sustainable Development Modeling and Measuring (models used and indicators)

- What is the means of development modeling? Do you have a model?
- What is the means of development measuring? Do you have a model?
- Which indicators are used to model the development? Why?
- Which indicators are used to measure the development? Why?
- How are modeling indicators developed?
- How are measuring indicators developed?
- Do modeling means integrate SD? If yes how?
- Do measuring means integrate SD? If yes, how?

5. Sustainable Development Monitoring and Evaluation (models used and indicators)

- What is/are the mean(s) of development monitoring?
- What is/are the mean(s) of development evaluation?
- How is the monitoring system designed?
- How is the evaluation system designed?

6. Limits identified during the development planning process

- What kind limits are experiencing the organization?

7. Strategy to overcome the limits identified during the development planning process

8. Successes identified during the development planning process

III. Resources for the development and the implementation of a sustainable development planning process?

• Pre-requisites before developing a SDS (data needed)?

- What kinds of resources are needed to produce development plan?
- What kinds of data are needed?
- What kinds of data are used?
- How data used are collected and analyzed?
- How data are used to feed the planning process?

• Human Resources

- How many people are involved?
- What is the level of education and the specialty of people involved in development planning?

- **Financial costs**

- How much financial resources are needed to produce a development plan?
- How many financial resources (budget) do you have?
- How is articulated the development objectives and the financial resources?
- How much is costing the implementation of the development plan?

IV. Stakeholders' participation in the development and the implementation of the development planning process

- What strategy is used to frame development actors' involvement into the development strategy/plan?
- What strategy is used to frame development actors' involvement into the development strategy/plan implementation?

V. Management of conflicts and interests during the development planning process

- Do the organization experience conflicts during the planning process?
- What kinds of conflicts are experienced?
- With whom conflicts are experience? Why?
- At what level(s) final decisions are taken when a conflict is experienced?
- How conflicts between the different levels of decision making are managed? (Means and strategies)?
- How communication is done through the different levels?

Appendix B: Survey/ Questionnaire for bi and multilateral partners and NGOs

VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY SURVEY FOR SENEGALESE AGENCIES / ORGANIZATIONS

**Title of the thesis: Planning Sustainable Development for Developing Countries
Reflections and Proposal in Senegalese Context**

**Investigator: Yakhya Aicha Diagne, Candidate for the Master on Urban and Regional
Department of Urban Studies, Virginia Polytechnic
Institute and State University**

1. Organization

2. Position of the interviewee / respondent in the organization

3. Presentation of the organization and its missions in developing countries

- In general
- In Africa
- In Sub –Saharan countries
- In Senegal?

4. Level of intervention in developing countries

- Planning
- Implementation
- Monitoring
- Evaluation

5. Organization relationships with African countries

- Technical
- Political
- Financial
- Advisor
- Partnership
- Other

6. Organization perspectives on the current context of development in African countries

7. Organization perspectives and ideas on how to improve sustainable development in Sub – Saharan African countries

Appendix C: Participant Consent Form

VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY

Informed Consent for Participants in Research Projects

Involving Human Subjects

**Title of the thesis: Planning Sustainable Development for Developing Countries
Reflections and Proposal in Senegalese Context**

I. Purpose of this Research

The purpose of this research is to analyze the current national planning system in Senegal, in order to identify its strengths and weaknesses, and to propose solutions in order to improve Senegal's planning framework for sustainable development. Part of this study will consist of interviewing participants involved in development planning and implementation in developing countries, especially in Sub-Saharan countries, and/ or in Senegal. During the interview, respondents will be asked to communicate their organization's/agency's perspective on sustainable development. Secondly, they will be asked to describe their experiences with development planning and implementation. When a one- on one interview is not possible, respondents will be asked to answer the survey sent by e-mail along with this consent form.

II. Procedures

Your participation in this research will involve sharing with the investigator both your organization's perspective and your experience with sustainable development planning and implementation as a decision-maker, planner, or implementer. The interview will take no more than one hour in total and will take place in a mutually agreed upon location.

III. Risks

The risks associated with participating in this study are considered to be minimal.

IV. Benefits

No promise or guarantee of benefits has been made to encourage your participation in this research. The data collected will be used for a thesis on sustainable development planning in a Senegal. The investigator will provide you with a copy of the thesis after it has been completed in May 2013.

V. Extent of Anonymity and Confidentiality

Your identity, and that of any individuals who you mention, will be kept confidential at all times and will be known only to the investigator. The interview will be audio recorded and later transcribed by the investigator. When the audio recording is transcribed, pseudonyms (i.e., false names) will be used for your name and for the names of any other individuals mentioned. Any details in the audio recording that could potentially identify you or anyone mentioned will also be altered during the transcription process. After the transcribing is complete, the audio recording will be stored securely. This audio recording, all paper and electronic copies of the interview transcript, and this consent form will be erased or shredded promptly after the thesis has been completed.

The Institutional Review Board (IRB) at Virginia Tech has reviewed the research protocol for this study. The IRB is responsible for overseeing the protection of human subjects who are involved in research.

VI. Compensation

I will not receive any form of compensation for participating in this study.

VII. Freedom to Withdraw

Your participation in this study is entirely voluntary, and a refusal to participate will involve no penalty or loss of benefits to which you are otherwise entitled. Similarly, you are free to withdraw from this study at any time without penalty or loss of benefits to which you are otherwise entitled. If you choose to withdraw from the study, any information you have provided will be destroyed. You are also free to choose to not answer any question, or to not complete any activity, and this choice will result in no penalty or loss of benefits to which you are otherwise entitled.

VIII. Participant's Responsibilities

I voluntarily agree to participate in this study. I have the following responsibilities: to participate in a one-on-one interview of no more than one hour, as described in Section II above, or to answer to a survey provided with this consent form.

IX. Participant's Permission

I have read and understand the *Informed Consent* and the conditions of this study. I have also had all of my questions answered. I hereby acknowledge the above and give my voluntary consent:

_____ Date _____

Printed Name and Signature of Participant

Should you have any questions about this study or its conduct, or participants' rights, you may contact:

Yakhya A. Diagne _____ email : yakhyad@vt.edu; diagneyakhya@yahoo.fr

Co - Investigator

Dr Ralph P. Hall _____ email: rphall@vt.edu Tel: (540) 231-7332

Principal - Investigator

Faculty Advisor, Committee Chair

Appendix D: Virginia Tech IRB Approval



Office of Research Compliance
Institutional Review Board
2000 Kraft Drive, Suite 2000 (0497)
Blacksburg, VA 24060
540/231-4606 Fax 540/231-0959
email irb@vt.edu
website <http://www.irb.vt.edu>

MEMORANDUM

DATE: July 11, 2012
TO: Ralph P Hall, Yakhya Aicha Diagne yakhya
FROM: Virginia Tech Institutional Review Board (FWA00000572, expires May 31, 2014)
PROTOCOL TITLE: Planning Sustainable Development in Developing Countries : Reflections and Proposals in Senegalese Context
IRB NUMBER: 12-630

Effective July 11, 2012, the Virginia Tech Institution Review Board (IRB) Chair, David M Moore, approved the New Application request for the above-mentioned research protocol.

This approval provides permission to begin the human subject activities outlined in the IRB-approved protocol and supporting documents.

Plans to deviate from the approved protocol and/or supporting documents must be submitted to the IRB as an amendment request and approved by the IRB prior to the implementation of any changes, regardless of how minor, except where necessary to eliminate apparent immediate hazards to the subjects. Report within 5 business days to the IRB any injuries or other unanticipated or adverse events involving risks or harms to human research subjects or others.

All investigators (listed above) are required to comply with the researcher requirements outlined at:

<http://www.irb.vt.edu/pages/responsibilities.htm>

(Please review responsibilities before the commencement of your research.)

PROTOCOL INFORMATION:

Approved As: **Expedited, under 45 CFR 46.110 category(ies) 6,7**
Protocol Approval Date: **July 11, 2012**
Protocol Expiration Date: **July 10, 2013**
Continuing Review Due Date*: **June 26, 2013**

*Date a Continuing Review application is due to the IRB office if human subject activities covered under this protocol, including data analysis, are to continue beyond the Protocol Expiration Date.

FEDERALLY FUNDED RESEARCH REQUIREMENTS:

Per federal regulations, 45 CFR 46.103(f), the IRB is required to compare all federally funded grant proposals/work statements to the IRB protocol(s) which cover the human research activities included in the proposal / work statement before funds are released. Note that this requirement does not apply to Exempt and Interim IRB protocols, or grants for which VT is not the primary awardee.

The table on the following page indicates whether grant proposals are related to this IRB protocol, and which of the listed proposals, if any, have been compared to this IRB protocol, if required.

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