

Strategic Planning For Management For Results In A Local Government In Northern Peru

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Abstract

The application of strategic planning today cannot be implemented adequately in institutions at the public level due to lack of efficient management, therefore the objective of the research study was to propose a strategic planning model for results-based management in a local government in northern Peru, the methodology carried out is basic with a basic transversal and descriptive quantitative approach at a propositional level, the sample population of the research was 57 officials of the institution, for which the technique was applied of the survey and with the instrument the questionnaire, Cronbach's alpha coefficient was used for its respective validation with a reliability level of 0.914. It was concluded that the evaluation of management by results at the level of its dimensions, strategic planning, budget by results, reporting and accountability, monitoring and evaluation, audit report and evaluation of officials resulted in an efficient management level of 25.49 %, followed by a regular level of 56.86% and a poor level of 17.65%. Thus, a strategic planning model is proposed based on the state modernization framework law No. 27658 and the theory of organizational development with which it is determined to improve results-based management in the municipal institution, allowing to obtain

the planned objectives.

Keywords: *Strategic planning, management for results, local governments, strategies, planning.*

INTRODUCTION

Planning as a tool is important within the administration through which different objectives and goals are established at the level of an organization, whether it is state or private. In the research carried out by Johnsen (2021), in Norway at the municipal level they showed that the majority of municipalities have not finished preparing their strategic plan 100%, representing more than 60%. Guyadeen et al. (2023), in Canada, identified in their study that in municipalities, strategic plans lack quality elaboration, since they did not include the important actors for their formulation. Benavent and Vivanco (2021), when carrying out a study in Ecuador, tell us that the planning of localities at the municipal level tends to make an error when directly relating their development and land use plans

According to Salas et al. (2021) mention that the provision of public services in Rionacha Colombia, it was found that the implementation of strategies by officials does not give the necessary assessment in the execution of their different policies to be implemented during their mandate. Milanesi (2018) indicates that in Latin America, despite the fact that

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institutional planning is being implemented, the reform in public administration processes must start from the political aspect, which should consider the application of these changes as the final benefit of a society, since in many cases these reforms are for their own interests or for campaigns to a certain sector of the population

In Peru there is a National Strategic Planning System, however, according to Saldaña (2020), all the attempts made to achieve better results with the System in terms of planning are not yet an effective instrument to guide the country. According to Jimenez (2021), in Ayacucho it was evident that the staff of public institutions do not have knowledge about the implementation of strategic planning. Vargas and Zavaleta (2020) in the Region of La Libertad, Peru, indicate that the results-based management process is not allowing the budget process to be oriented towards the social impact results that are intended to be achieved.

According to research by Ordoñez (2020), the goals and objectives identified in the organization's strategic plan were not achieved in the municipality of Chiclayo. Espinoza (2020) indicates that the worker of the municipality of Chiclayo does not have leadership or decision-making capacity and this is reflected when implementing planning or planning.

For this reason, the following problems have been identified: How does strategic planning improve results-based management in a local government in northern Peru, 2023?; The general objective is to formulate a strategic planning model to improve results-based management in a local government in northern Peru, in order to achieve this general objective, the specific objectives were proposed: To identify the levels of the dimensions of results-based management from the analysis of its dimensions; To design a proposal for a planning model for results-based management in a local government in northern Peru and its respective validation.

STRATEGIC PLANNING AND RESULTS-BASED MANAGEMENT AT THE LOCAL GOVERNMENT LEVEL

The planning process has been implemented in different institutions as a management instrument that allows directing the actions and activities to be carried out by the staff through different strategies implemented. Guyadeen et al. (2023) in their research in Ontario - Canada, came to the following conclusions: that in several cases of the plans carried out, the strategies developed were not the most appropriate as a result of a poor quality plan, however, what is salvageable is that in the plans analyzed they could be directed for better management.

Desmidt and Meyfrootd, Spain (2021) in their research have resulted that at the level of politicians' decisions, they tend to use the strategic plan correctly, so it is stated that before developing a plan, the behavior and capabilities of the personnel who will be in charge of planning must be evaluated, On the other hand, Thomson et al(2020), in their study carried out in Sweden, identified that a process of change in an institution requires the permanent participation of different sectors, so they must complement their strategic operation in coordination with the different social sectors.

Ramírez (2019) in his study on the "characterization of strategic planning instruments in Chilean municipalities" reached the following analysis: In Chilean municipalities, the development of tools at the level of plans is carried out but only to comply with existing regulations, but it is not carried out efficiently, on the other hand Jiménez (2019) also states in his research applied to the decentralized autonomous government of the canton of Guaranda" carried out in Ecuador that with regard to its planning as an entity, there is no strategic management model that allows it to direct its different activities, there is a lack of knowledge on the part of the officials of the vision, mission and strategic objectives, and the lack of participation of society is also noted.

Ramos et al (2021) in their research called Impact of Strategic Planning on Public

Investment in a Local Government In Peru, determined that the management capacity at the level of expenditures in investment projects is scarce and inefficient, since it presents different weaknesses at the institutional level, such as the acts of corruption that occur. political management over a period of time and poor management in the allocation of budgets. Chapoñan (2020) in his study "Design of a strategic plan to improve the public management of the Lambayeque regional agriculture management", the following conclusions were obtained: 14% of the officials indicated that the vision and mission of the institution are sometimes considered in the decisions to be made, while 43% do so frequently and the remaining 43% always take these two aspects into consideration. Regarding the internal communication in the institution of the plans to be carried out, 45% of the officials indicated that they are sometimes communicated, 31% frequently and only 23% always do so, which would be resulting in a partial planning by the senior management of the entity, who are the ones who make the decisions to be carried out.

Strategic planning is a management tool which has taken on significant importance in institutions both at the private and public level, allowing decisions to be made based on a whole process of elaborated plans, in Peru the National Center for Strategic Planning (2013), defines strategic planning as that management tool to be used by public institutions, which will allow to formulate and specify the different objectives that are of priority for the closing of a gap or existing need of the population, for which different economic resources must be allocated efficiently and effectively, it has to be emphasized that by having a quality plan, the uncertainty in external situations could reduce the negative impact that by not having a certain plan with clear strategies and dynamics.

The mining chamber of Peru (2019), indicates that planning is a process of constant dynamism where different actions are executed, in which the objectives that must be achieved by the organization must be defined, so that this planning allows to draw a map with future projection in which the different activities are delimited that allow the objectives to act operationally through different actions.

Results-Based Management is considered as a strategy that focuses on the management of permanent improvements in the application of policies and plans of public institutions, this implies that MfR is a new form of approach as a result of the modernization in the management of the State that leads to the best use of budgeted resources that ensure as the sole purpose of organizational activity, thus producing an impact in favor of society's quality of life. According to Milanesi (2018), results-based management is part of the state's reform process, in which entities establish their different objectives and indicators.

According to Quiroga (2019), Organizational development in the process in which it develops integrates aspects of the behavior of the organization's employees, which seeks to analyze the change in values, as well as Gutiérrez et al (2021) point out that organizational development analyzes and studies the way of interacting and adapting in organizational relationships. Warner (2022) points out that organizational development is the process that generates an institutional change in a planned manner, which is manifested in its culture and leadership. According to Adrianzen (2022), the theory of New Public Management (NPM), the economic, efficiency and effectiveness aspects of institutions at the public level must be aimed at improving the levels of quality in the provision of the different services offered to the population, which allows for different tools to make the best decisions for the solution to an existing reality or unclosed gap that afflicts society.

According to Knafo (2019), the new public management reflects a modern and changed business organization within public institutions, which is intended to replace the different internalized bureaucratic aspects, so two stages must be carried out to achieve this change which are framed within privatization, the first consists of ex-privatization that is carried out by ceding the production of goods and services to private enterprise, and in a

second stage, the so-called endoprivatization, which consists of implementing the methodology of private companies in public organizations.

Blas et al (2022) the modernization of the State encompasses the acquisition of different public policies and different actions, both in the medium and long term that allow state management to be transparent, such as the implementation of an electronic government at the state organizational level, although it is true that institutions currently go through a permanent change in order to improve and develop, Economic, social, cultural and political aspects must always be considered, due to the changes at a global level with a technology in constant dynamism, with a new vision of open, collaborative and relational stance. According to Law No. 27658, the law on the modernization of state management in Peru, its purpose is to achieve higher levels of efficiency, which allows for a better service to society, and optimizing the use of available resources, among its main actions are mentioned, greater integration with the most abandoned places, participation with citizens, better use of resources and greater decentralization between local and regional governments, the fulfillment of meritocracy.

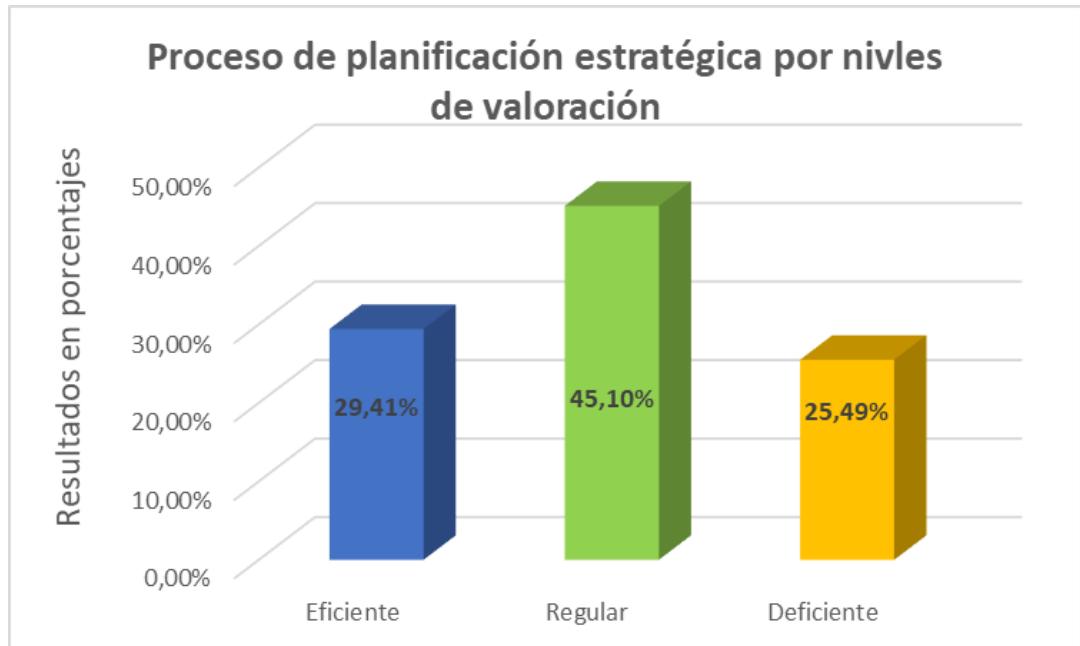
METHODOLOGY

The type of research that was worked on is basic, according to Aria et al (2022), since new knowledge is generated from an existing theoretical framework. The quantitative approach is cross-sectional and descriptive, with a design level that is projective since a strategic planning proposal will be formulated. The methodological design of the research to be carried out is non-experimental, since there will be no manipulation of the variables. The population under study to be considered in the research corresponds to the officials who work in the institution of a local government in the north of Peru, understood as those that have similar characteristics for its evaluation, which contribute to the process and development of Management by results in the institution, being the total identified population of 57 officials of the institution in question. The sample to be considered for this study is equal to the population. The techniques and instruments used in the research were the following: Cabinet, using textual records, summary, comments, paraphrasing, bibliographic, bibliographic information. The field technique applied was based on the application of a survey through a questionnaire under the Likert scale at the ordinal level, consisting of 22 items. To this end, a pilot test was applied to 23 workers of the institution, to whom the respective survey was carried out, previously validated with its instrument and a confidence level of Cronbach's alpha of 0.914 was obtained.

RESULTS AND DISCUSSION

For the analysis of the data obtained from the questionnaire applied, we worked under the interval scale of three management indicators which correspond to an efficient, regular and deficient management, thus it has to be that for the analysis of the first dimension of strategic planning the following results were reached:

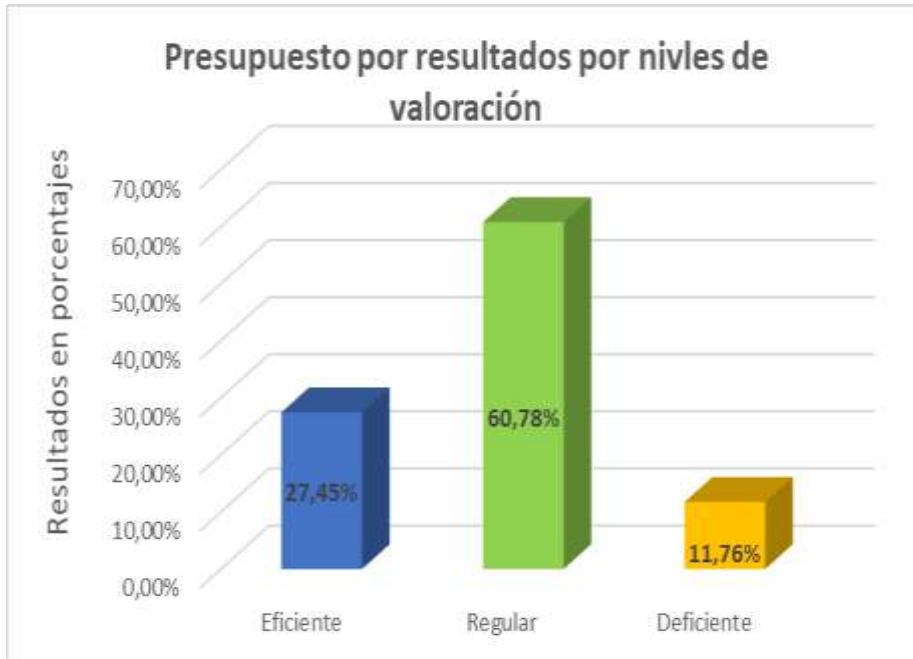
Figure 1 Strategic planning process. In original language: Spanish



The results obtained from the survey in Figure 1 indicated that 29.41% of the municipal officials indicated that the implementation process on strategic planning is efficient, while 45.10% is regular and 25.49% is carried out poorly, so that in terms of negative impact of management, 70.59% of The officials expressed the lack of efficient compliance with the necessary implementation of the strategic planning to be carried out in the institution, which shows as a final result deficient processes that are finally manifested in the public services offered to society and the lack of integration of those involved to be able to plan and execute actions in a more efficient way that materializes in the final benefit of society. It is important to emphasize that inadequate planning means that the objectives of the institution are not achieved.

Analyzing the second dimension called "Results-Based Budgeting" the following results were reached:

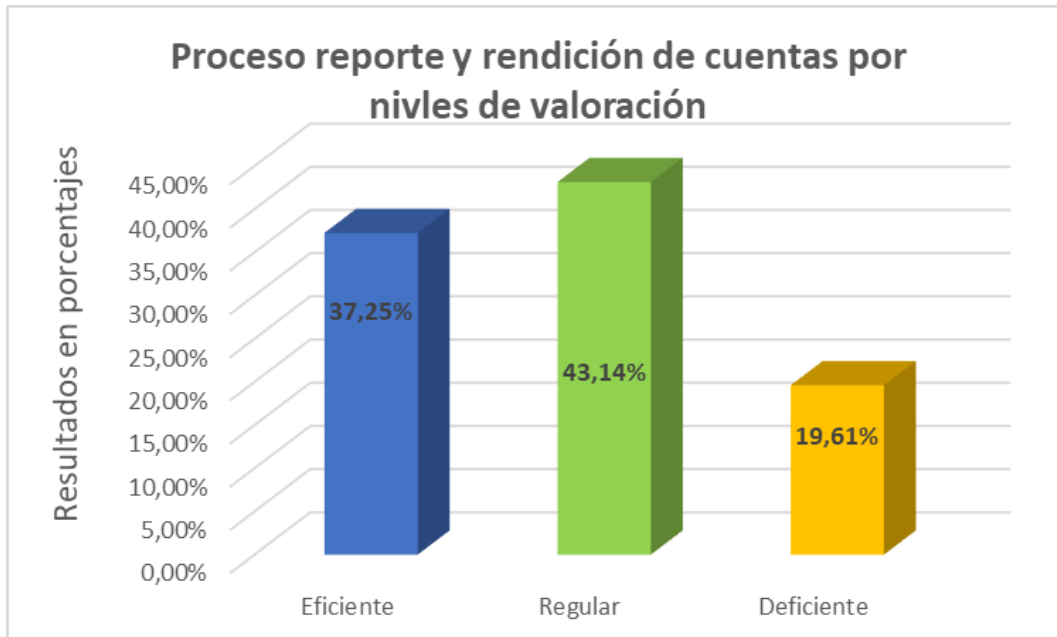
Figure 2 Results-based budgeting. In original language: Spanish



In Figure 2, the results obtained from the survey indicated that 27.45% of municipal officials consider that results-based budget management is efficient in the institution, while 60.78% considered that this management is carried out on a regular basis, and finally 11.76% stated that the process is deficient. According to the results obtained, it can be evidenced that the results-based budget is still not being executed 100% efficiently and this would also be reflected in the lack of budget planning for the programs and projects to be executed.

Analyzing the third dimension called "Reporting and Accountability" the following results were reached:

Figure 3 Reporting and accountability. In original language: Spanish



In Figure 3, the results obtained from the survey regarding the process carried out

in the reporting and accountability indicated that 37.22% of the officials consider that this process is carried out efficiently in a regular manner and 19.61% in a deficient manner. This shows the low capacity of the official to carry out the respective accountability in the institution, taking into account in a general perspective that it is not being carried out 100% and that a better implementation is still required in this type of process, so it is important that the institution can make transparent all the budget expenditure renderings and verify if they are within the institutional planning according to with the existing territorial realities.

Analyzing the fourth dimension called "Monitoring and evaluation" led to the following results:

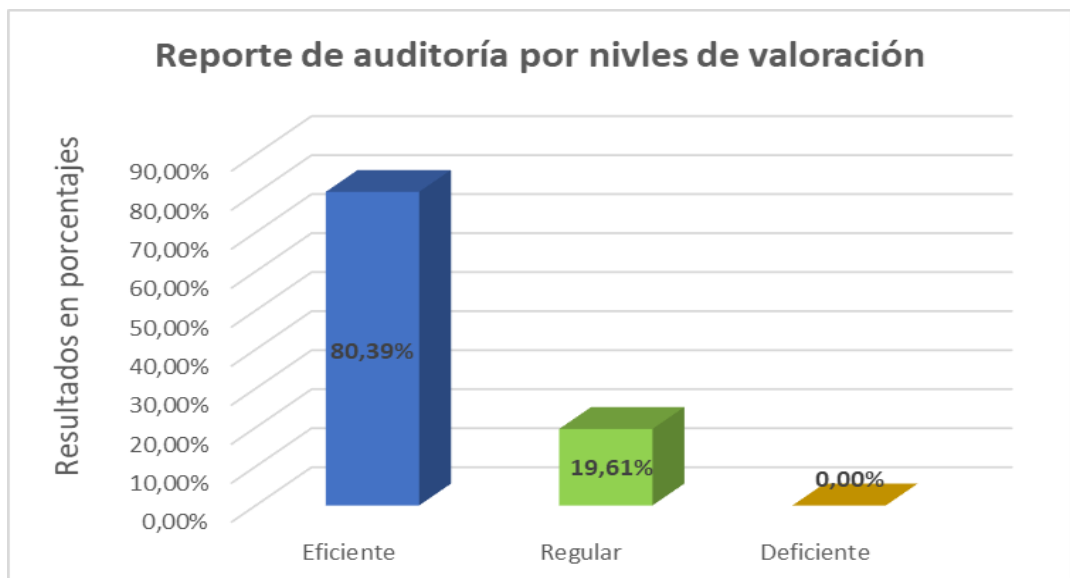
Figure 4 Monitoring and evaluation. In original language: Spanish



In Figure 4; The results obtained from the survey indicated that 56.86% of the officials stated that monitoring and evaluation within the institution has been carried out efficiently, while 39.22% of the officials stated that it is carried out on a regular basis and 3.92% in a deficient manner. integral.

Analyzing the fifth dimension called "Audit Reports" the following results were reached:

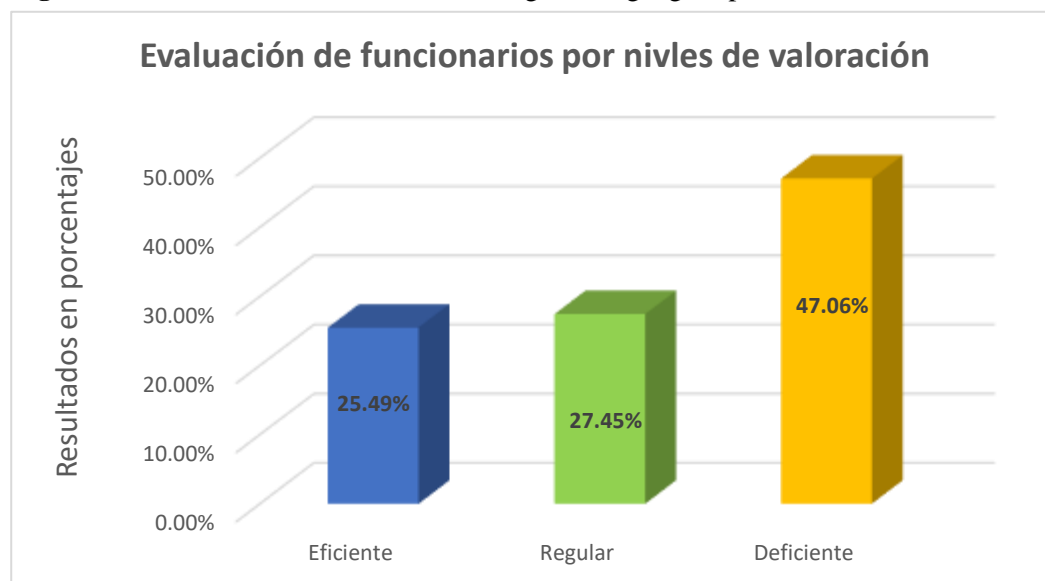
Figure 5 Audit report. In original language: Spanish



In Figure 5; The results obtained from the survey indicated that 80.39% of officials consider that audit reports have been carried out efficiently, while only 19.61% have been considered on a regular basis, this result shows that audit reports would be permanently applied in the institution, another important factor is to consider the scope of the audit to be evaluated within the institution and the parameters considered in these results of reports obtained.

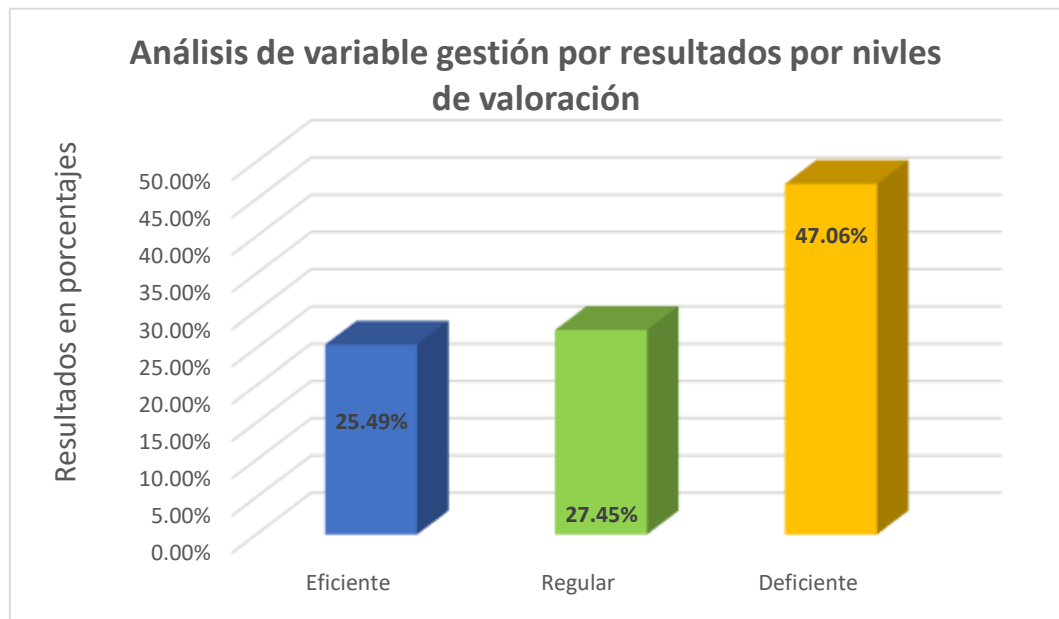
Analyzing the sixth dimension, called "Evaluation of civil servants", the following results were reached:

Figure 6 Evaluation of civil servants. In original language: Spanish



In Figure 6; The results obtained from the survey indicated that 25.49% of the officials have a permanent evaluation during the year in an efficient manner, while 27.45% stated that this evaluation is carried out on a regular basis and 47.06% in a deficient manner, thus evidencing that the respective improvements are not being made so that the institution's staff has a better performance based on an efficient analysis of the evaluations carried out.

The results obtained based on the objectives set out in this article allowed the generation of a proposal for a planning model for the improvement of public management, so we have that the analysis of management by results at the level of all its variables together indicated the following results.

Figure 7 Results-based management variable. In original language: Spanish

In Figure 7 ; The results obtained indicated that at the efficient level only 25.49% would be applying at this level, while at a regular level its application is considered at 27.45% and a deficient level of management would represent 47.06%, which allows to evidence, according to the analysis as a whole, through the assessment of the three levels (efficient, Results-based management in the institution is not being applied efficiently at 100%, on the contrary, the inadequate application corresponds to a general value of 74.51% according to the results obtained at regular and deficient levels. The lack of preparation and lack of knowledge in the different dimensions evaluated have made it possible to obtain these indicators from a general perspective in the results-based management process, so the authorities must put a lot of interest in the improvement and direction of the different actions to be carried out to achieve better levels of efficiency at the institution level. At the design level, the proposed model was based on the law of modernization of the state as part of the new institutional management of the state and the theory of organizational development so that it was finally validated and approved by specialists in the field.

From the analysis carried out in the research with results-based management with low levels of efficiency, Vargas and Zavaleta in their research (2020) refer to us that budgets are not presenting performance indicators since there are no correct mechanisms, so budgets would be generated only to meet goals and not an impact on society.

Strategic planning within public institutional management considers a process of change in the development of new strategies in the different activities to be carried out, according to Buendía et al (2020) planning allows different scenarios to be developed to make the best decisions in the achievement of the determined objectives, and at the same time allows improving the efficiency and effectiveness in the different institutional processes.

The strategic planning analyzed in the institution shows us as a result a low level of efficiency, these results show that the planning is not being implemented and executed correctly at the institutional level, not incorporating the different officials in this planning process. This results is supported by research carried out at the institutional level, Chapañan (2020), within the regional management of agriculture of Lambaye, which indicates that managers and respective chiefs have stated that 23% of the development of plans to be executed permanently corresponds to low levels of communication as part of strategic planning, since this has to involve the different areas within an institution for good

planning. Ordoñez (2020) indicates that municipal management denotes low levels in the Municipality of Chiclayo, which would be reflecting the deficiencies at the managerial level and the lack of communication at the level of policies to be implemented.

On the other hand, Chapoñan (2020) in the results obtained in his research at the level of regional management of agriculture in Lambayeque, indicated that in the institution, those in charge of properly using the budget available are used correctly only in 23% and frequently in 40%, which shows that an adequate use of the budget is not being made. This is validated by the results obtained with the research in which only 27.45% consider that results-based budgeting is carried out efficiently. For their part, Vargas and Zavaleta (2020) indicate that although it is true that significant progress has been made in the implementation of budget management, it has not yet been able to focus on the final results, which is what the new public management seeks, to obtain budgets executed with efficient and effective performances that are validated with the quality provided to the population. This ultimately has an impact on the reduction of gaps of existing needs that are demanded and cannot be covered.

Under this analysis of permanent evaluation of the respective officials and managers who make up the institution and are in charge of generating the planning processes, the results obtained in Jimenez's research (2021) in the municipality of the district of San José de Ushua are supported, where the municipal management that was carried out is not adequate due to the fact that the officials in charge are not professional or trained, and their hiring is carried out without carrying out any selective competition, all this leading to poor attention and the generation of poor quality services.

It is necessary that any change at the organizational level is focused on the processes of innovation and modern management that occur in the market and in the economy in order to establish or generate appropriate strategies for these future changes and to guide actions to achieve the proposed objectives. Thus, Espinoza (2020) refers to us in his research carried out in the provincial municipality of Chiclayo regarding the performance presented by officials, the following results were obtained at the level of their management, it was obtained that officials consider in 35% corresponds to a successful and outstanding performance, 31% corresponds to a result in disagreement, and 19% and 15% in agreement and totally agree, This would make it clear that the workers of the municipality have lacked the work skills to perform well in the institution and is finally reflected in the generation of value of processes and quality services offered to society.

With what can be evidenced that there are still personnel in public entities who are not qualified for the position to be performed, which is reflected in their levels of management carried out within the institution, it is from these levels or indicators that the highest authorities must have an interventionist function with their technical teams in terms of management, for which they must always start from a planning that involves everyone. But this process of planning as a strategic part must always be congruent with the resources available to the organization in order to optimize the use of resources.

An important factor that must be considered within any organization is that of training as a strategic action and that of communication, since by increasing the capacities of the officials it will allow to improve the processes in which they are involved and by having a correct communication, there will be no duplication of information requested or delivered. It is well known that all communication must be planned, executed and evaluated.

CONCLUSIONS

1. The proposed planning model will improve results-based management in a local government with the implementation of strategic actions.
2. The result on the diagnostic evaluation of the results-based management of a local

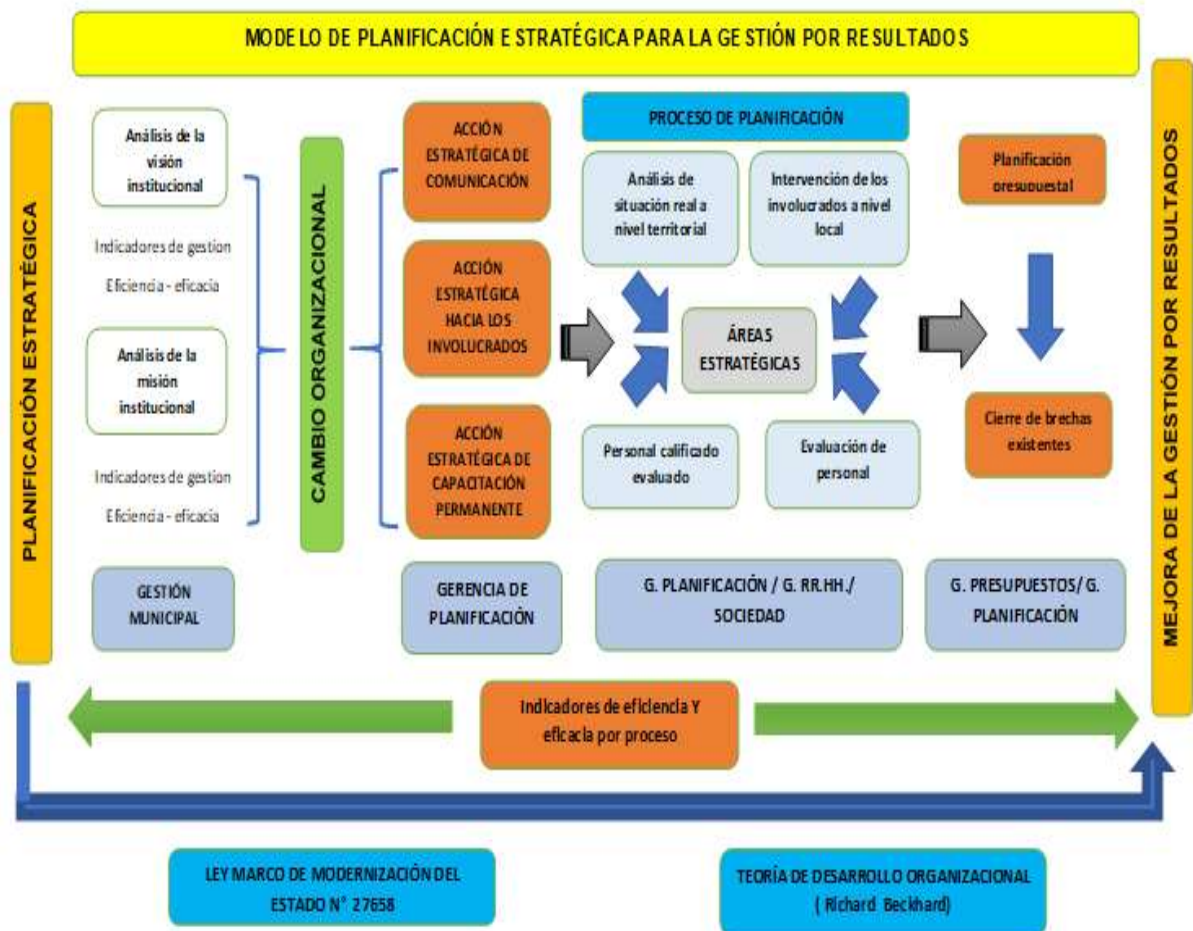
government in the north of Peru and according to the analysis carried out of the established dimensions, strategic planning, results-based budgeting, reporting and accountability, monitoring and evaluation, reporting and auditing and evaluation of officials have a fair rating by half of the population of 56% and only a quarter of them value it as efficient. This result, as an indicator of a low level of efficiency at the institutional level, requires a model that allows for better strategies for the implementation of strategic planning and thus permanently improves the process, both in the medium and long term, to achieve results with an impact in favor of society.

3. The strategic planning design for results-based management was based on the perspective of the current state modernization framework law, which is oriented towards more efficient and effective processes, and from an organizational development perspective, a change is sought at the organizational level where the employee feels committed to the institution and where bureaucratic processes occur in a smaller amount. Therefore, the application of the proposed design corresponds to three strategic actions, these being permanent communication, training and analysis of processes carried out by the institution's staff.

PROPOSAL

Proposal: Strategic Planning Model for Results-Based Management in a Local Government in Northern Peru

Figure 8 Strategic Planning Model to Improve Results-Based Management



Model Description

The purpose of the established proposal is to contribute to the achievement of a better results-based management in the institution, for which it has been based on considering the law of modernization of the state and the organizational theory as a result of establishing and directing processes with greater efficiency and effectiveness within an area of change in the organization in favor of the generation of value to obtain quality public services with a result that generates well-being in society. Thus, starting from an institutional analysis through its mission and vision of what is finally sought as an institution focused from a strategic planning perspective, for which three strategic actions have been addressed; In the first place, the communication strategy, which allows to encompass the different areas and society of the planning processes to be implemented from a situational analysis at the territorial level, which allows to identify the real needs that determine an existing gap in the population.

A second strategic action consists of generating the participation of the different parties involved in this planning process as part of the identification of the existing reality, thus seeking to generate adequate knowledge and according to the true needs through which different actions can be determined to satisfy the demands. A third permanent action corresponds to the evaluation of the official personnel in charge and involved in the planning process, which allows them to be guided towards decision-making and the elaboration of focused tasks linked to an executable budget to achieve the closing of existing gaps. Thus, within the process, it is an important criterion to permanently evaluate efficiency and effectiveness indicators that allow us to know the current course of the different actions and strategies in the execution of different plans or programs with the ultimate goal of obtaining high-impact results that generate a benefit to society in the long term.

During the implemented process, the management carried out must be permanently evaluated, for which efficiency and effectiveness indicators must be defined for each process in which the planning process is located, indicators such as the number of officials trained, information provided about the institution, analysis of closing gaps in the needs of the population, etc. detected processes that generate difficulty in the analysis of an existing reality, hours of training provided on strategic planning issues.

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