

# **MANUAL FOR COMMUNITY-BASED PLANNING**

**ZIMBABWE**

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## **ACRONYMS**

CBP	Community-based planning
IDP	Integrated Development Plan
PRA	Participatory Rural Appraisal

## 1 INTRODUCTION

### 1.1 Why community-based planning?

Current decentralisation processes emphasise the role of different levels of local government. Many countries now have processes of decentralised planning, which usually emphasise district/local government levels. Many countries also now have an explicit objective of poverty eradication and there is increasing commitment to bottom-up, participatory or community-based planning (CBP) as a way of identifying locally appropriate poverty reduction interventions.

The planning system is a key system for resource allocation. Unless poor people can influence the resource allocation system, the ability to promote sustainable livelihoods for poor people is limited, as is the degree of local democracy. Recent planning attempts have often focused on ad-hoc, expensive and unreplicable participatory rural appraisals (PRA) which may generate a lot of information but are not clearly linked into decentralised planning systems.

The benefits for Zimbabwe in conducting CBP are;

- Opportunities for promoting community empowerment and ownership in the development process.
- A reliable method for obtaining realistic and focused plans from ward level.
- Potential for integrating ward and local authority level plans.
- Harmonisation and integration of plans of various actors at ward and district level.
- Identification of additional sources of revenue for implementing local plans.
- Opportunities for capacity building for institutions operating at sub-district level.
- Transparency in the selection and prioritisation of projects at all levels.
- Opportunities for improved accountability during project and programme implementation.

### 1.2 Principles on which community-based planning is based

The approach to planning developed in this manual is based on the sustainable livelihood principles (see Box 1). Work in applying this in Africa has suggested that one of the key elements is ensuring that “people are active and involved in managing their own development”. Community-based planning (CBP) linked to the local government system provides an opportunity to make this a reality.

Key principles that this approach to CBP are based on include:

- we need to ensure that poor people are included in planning
- systems need to be realistic and practical, and the planning process must be implementable using available resources within the district/local

#### Principles of the sustainable livelihoods approach

For effective pro-poor development interventions must be:

- People focused
- Participatory and responsive
- Based on strengths not needs
- Holistic
- Based on partnerships
- Sustainable (economic, social environmental, and institutional )
- Flexible and dynamic

government, and must link in and integrate with existing processes, particularly local government planning

- planning must be linked to a legitimate structure that can take funds
- planning should not be a once off exercise, but should be part of longer process
- planning must be people focused and empowering
- we must plan from vision and strength/opportunities not problems
- plans must be holistic and cover all sectors
- must be learning oriented
- planning should promote mutual accountability between community and officials
- planning systems should be flexible and simple
- there must be commitment by councillors and officials and there must be someone responsible to ensure it gets done

The clients of the planning process are communities/interest groups/individuals, local politicians as well as technical staff of local governments, service providers (including national and provincial departments, NGOs).

### **1.3 About this manual**

This manual has been developed as part of a project aiming to develop systems for community-based planning that can be applied countrywide. There are commonly four different types of reasons why community-based planning is advocated:

- As part of an empowerment process
- To improve the quality of plans
- To hand over responsibility for services, eg where government is withdrawing, perhaps due to expenditure constraints.
- To improve the quality of services

This manual is based on a combination of these: community planning must be empowering for communities, but must also lead to improved local authority and other agency plans and services.

This approach assumes that many stakeholders need to be included in the planning process, including clients, Councillors and Council officials, members of community structures such as Ward Committees, service providers, traditional leaders, local interest groups and business.

This manual is intended to provide close guidance for intensive planning of a Ward Development Plan. It is divided into 5 parts:

- this *Introduction* to the manual itself and some general points about community based planning and facilitation;
- the *Outline Content* of a community-based plan (ward plan);
- a *Schedule showing how the community-based plan links into higher level planning processes* (often local authority);
- a *Schedule for the intensive planning process* at community level to develop the plan;

- *Detailed facilitation notes* for conducting community planning sessions to develop the community based plan.

#### **1.4 General facilitation issues**

Facilitation is about assisting people to achieve their objectives. It is assumed that the plan must be locally owned, and be about local issues and priorities. The task of the facilitators is to assist communities to express what they would like to happen in their community, and not to impose external views. It is important that a plan is produced, and one that can be linked with the local authority plan. But the process of developing the plan is also important; it should be both inspiring and empowering for those involved and lead to local action for plan implementation. As the objective is to develop both a locally owned plan and process, the facilitator will have to balance these processes and product objectives.

##### **1.4.1 Who are the facilitators?**

The facilitators are likely to be a mix of:

- Technical local authority staff and technical central government staff (district level and extension workers at ward and village levels. These can be assisted by consultants and NGOs).
- Elected officials from the community, for purposes of accountability, local ownership and lobbying;
- Community facilitators – can be politicians, volunteers, religious and opinion leaders, community resource persons (retired civil servants, teachers, women's group leader etc) who have the depth of experience of the community and have the energy to help develop and implement the planning process.

A core facilitation team is required for supporting the development of the plan throughout the planning week. It is likely that *at least* 4 experienced core facilitators would be required for the entire planning week, perhaps one each of a technical local authority/ central government staff member, an elected official from the community (councillor), Ward co-ordinator and an additional community member. In this way, at least four groups can be facilitated simultaneously. Ideally, the core facilitation team would be larger so there are sufficient members to both facilitate and document the process. The skills base of these individuals, as well as their social characteristics (age, gender), should be considered in selecting a core team that has broad experience but also the ability to relate to different sections of the community.

The core team should be supplemented by other members of the community who can assist in different aspects of the planning process at different times.

##### **1.4.2 What skills do the core facilitators need?**

Facilitation skills improve with practice. However as a minimum, facilitators should have some knowledge and experience in the following areas:

- Basic principles of communication and facilitation;

- Use of participatory methods that promote collective analysis, development of a shared vision and promote ownership of the planning process;
- People's livelihoods, and what makes secure and vulnerable;
- Developing a plan and implementing a planning process;
- Social inclusion and power relations (particularly to do with wealth, gender, age etc) and how this affects participation and non-participation in 'community' events and plans;
- Conflict resolution, within a group, or between groups in developing community action plans.
- Ability to document a planning process;
- Project management skills, able to develop project proposals and implementing and monitoring community based projects

#### **1.4.3 Who should be included in the planning process?**

It is important to think about who in the community will participate in the planning process. Full and total participation is not realistic, but try to maximise the number of different interest groups participating. Participation should not be limited to local leaders or those who normally attend or run community meetings. To maximise participation, think about timing planning sessions at times convenient to the community (whether mornings, afternoons, evenings, or weekends). A pre-planning meeting provides an opportunity to think about when to meet with different groups of people and also identify the best time for community meetings when broad participation is encouraged.

It can help to discuss with people why they might like to participate and think about what might motivate them to contribute, including:

- *Ownership*, this is a community plan, not that of any particular interest group or local authority;
- Improved *quality* of product, the more ideas and contributions we have, the better the plan will be;
- Emphasise the *action* nature of the plan, which will lead to change in the community;
- Emphasise that the plan will be *realistic*, and that short term interventions will be identified so there can be rapid follow-up (if possible linked to guaranteed basic funding);
- Emphasise that the planning process is intensive in the first year to get the plan developed, but is quicker in subsequent years in a plan review process;

#### **1.4.4 When should we involve technical staff?**

At key stages, it is important to bring in technical advisers/service providers from higher levels of local authority, NGOs or the private sector. It is important to get the right balance so that these people can input into the process but don't dictate or determine the outcomes. Typically the right time would be when communities are selecting strategies and projects to achieve their goals, ie around the third day in the planning process.

### **1.4.5 How should we plan our sessions?**

It is usually difficult to meet with a group for longer than 2 hours, especially a large group. Therefore the day needs to be broken up into about 3 possible sessions, perhaps two in the morning and one in the afternoon. By working with different groups in each session, community 'participation fatigue' can be reduced.

Given the intensity of planning sessions in developing the first community plan, it is best to plan ahead by booking groups, times and venues in advance. This is the reason for having a pre-planning meeting, when a timetable is drawn up for the week. The timetable should be displayed on a flip chart in a public space, such as the community social centre or a school.

However good the planning is, facilitators must be able to adapt to the inevitable no-shows, late starts, etc.. Best use must be made of the time available, by meeting other people, spontaneously deciding to use another tool, reducing the tasks etc. With increasing confidence, facilitators can use any times and groups in a creative way.

### **1.4.6 What should be discussed in planning sessions?**

Often communities develop priorities related to health or education, and typically they see the solution as about infrastructure (eg build a clinic). As a facilitator, it is important to encourage communities to think broadly about planning issues including:

- **all sectors** (economic, social, natural resource based (agriculture, forestry, fisheries etc) health, infrastructural);
- **cross-cutting issues** which influence people's capacity to develop eg HIV/AIDS and the impacts of chronic illness, environment and natural resources that underpin development;
- **'soft' issues** around how people are organised and the sustainability of and management within community based institutions (leadership, record keeping, book keeping, conflict resolution);
- **avoiding the solution as being an (often expensive) item of infrastructure** - often underlying problems may not be solved just by building a clinic, but a community health worker, or home-based worker for HIV may be a better solution. For this reason it is important for the vision and goal to be broad (eg improved health for under 5s), and not just immediately about building a clinic.

### **1.4.7 Visioning**

A vision- and strengths-based approach moves away from problem-based planning, which focuses on constraints, to a more visionary approach looking at where a community desires to be and how to get there. Although visioning is like dreaming, the dreams should be realistic, about what the community can achieve in the time period stated. It is important to link visions to the resources available, and to think carefully about when to introduce the resource envelope – too early and people may be constrained by what's on offer, too late – and the plans can be unrealistic.

The words vision, goal, objective and strategy are often interchangeable. The way we will use them in this manual is:

**Vision** Where the community wants to be in, for example, 10 years time, and should convey a picture which people can identify with as important to achieve. For example *“By 2011 we will be a vibrant community where people like to live and work, people are well-fed, able to access health and education services...”*

**Goal** The goal should be more specific but also fairly long-term, eg for 5 years. There will typically be several goals, around 5, and they should take the different elements of the vision and give a concrete picture of what the community wants to achieve in 5 years time. For example, extracting from the vision above, one of the goals might be *“health of our ward improved, especially for under 5s and elderly”*.

**Strategy/objective** The strategies or objectives should be the main things we need to do to achieve the goal. Once again in the example above, the main strategies to improve health may be “eradicate malaria”, “improve nutrition for schoolchildren” etc.

**Projects/activities** The projects or activities are the key things that need to be done to achieve the strategy. For example, if the strategy is to eradicate malaria, the key projects;/activities might be “ensure people are using bednets”, “ensure the local chemist stocks chloroquine” etc. Some of these may be large and require outside funding (especially if infrastructure or services are involved), some of them may be within local control (eg persuading the chemist to stock chloroquine).

#### **1.4.8 Learning**

In this planning exercise it is important to listen and be open to acknowledging one’s own limitations and lack of knowledge, continually asking questions to understand what is required to achieve what the community wants. Facilitation is a continual process of listening and learning. There is no better way to learn than by doing.

## 2 CONTENT OF THE COMMUNITY-BASED PLAN

### 2.1 The main parts of the plan

Documentation of the plan is a key issue. Not all the meetings and discussions need to be documented (although you may decide to keep minutes of all planning meetings). Rather the plan should include information concerning how the plan was developed (Section 1), background description of the community (Section 2), the actual plan and how planning priorities were selected (Section 3) as well as the plan for implementation (Section 4). Detailed project proposals should be included in the annex. The main sections for a community based plan are included in Box 2.1.

The plan should act as the community record book, enabling decisions to be reviewed and information to be updated. It is a tool for monitoring progress in plan implementation and can be updated annually as projects move forward and new priorities emerge.

Remember that a plan written in only one language will have only limited readership and use in the community. When the plan is developed, ownership can be improved by considering how else the contents can be communicated to a broad range of community groups, including local language summaries, posters and drama. This should be discussed at the community finalisation meeting.

#### **Box 2.1 The main sections to a community-based plan**

Endorsement page

- 1 How did we make the plan** (the process we went through)
- 2 What is the situation in our community** (background, different groups, services, SWOT)
- 3 What do we want to achieve** (the vision, goals and the strategies and projects/activities to reach the goals)
- 4 Implementing our plan** (Summary of who needs to do what for our projects and activities)

#### **Annex**

**Project profiles** (project summaries which must be completed for projects submitted to Council or sectoral departments)

In this section, we look in detail at which kinds of information are included in each section, plus indicate which tools and methods can be used to generate the information needed. Facilitators notes for executing these tools are found in Section 5.

**Endorsement**

On the first page of the plan, there should be an endorsement for which a suggested format is shown in Box

<b>Box 2.2 Endorsement page</b>		
<b>DEVELOPMENT PLAN FOR.....WARD/ .....RURAL DISTRICT COUNCIL</b>		
<b>Plan developed over period from .....to.....</b>		
<b>Signed as being an approved plan produced by .....Ward.</b>		
<b>Councillor's name</b>	<b>Signature</b>	<b>Date</b>

**Section****1 How did we make the plan?**

Record in this section what did you do to develop this plan and who was involved. List the meetings held and the name/number of participants and facilitators. Draw from Secretaries minutes, community records and facilitators notes.

**2 What is the situation in our community?****2.1 Background to the community**

<b>Issues to cover</b>	<b>Source of information</b>
2.1.1 Describe the community (administrative unit, statistics on people, numbers, employment, etc, )	Background information compilation
2.1.2 What are the major events or trends that have happened in our community over the last 30-50 years (before major changes happened)?	Timeline, mapping, background information compilation
2.1.3 Provide a map of the community area	Mapping

**2.2 Who is in our community and what are their livelihoods?**

<b>Issues to cover</b>	<b>Source of information</b>
2.2.1 What are the different socio-economic groups in the community and what are their livelihoods?	Community planning launch meeting Livelihoods analysis
2.2.2 Has this changed in the last few years?	Timeline
2.2.3 Which are the most secure and most vulnerable groups? What are the characteristics of people with different levels of well-being in the community (eg v.poor, poor, average, well-off) How do different socio-economic groups fit into the well-being categories? (eg elderly mostly are in very poor)?	Well-being analysis

**2.3 Activities and services in the community**

<b>Issues to cover</b>	<b>Source of information</b>
2.3.1 What are the main activities and projects in the community?	Livelihood analysis
2.3.2 Which service providers come to the community and how good is the service? Which groups receive which services?	Venn diagram Livelihoods analysis

## 2.4 SWOT analysis

Issues to cover	Source of information
What are the main assets the community has (strengths), and what does it lack (weaknesses)?	Livelihoods analysis SWOT
What are the main threats to the community?	Livelihoods analysis SWOT
What are the opportunities you can identify?	Livelihood analysis SWOT (leading to opportunity matrix)

## 3 What do we want to achieve?

### 3.1 A vision for .....Ward.

Issues to cover	Source of information
What do we want to see happen – what are our (realistic) hopes and dreams for the future for our community? For example: <i>By 2006 we will be a vibrant community where people like to live and work, people are well-fed, able to access health and education services...</i>	Visioning exercise

### 3.2 What are our goals? (Goal/ outcomes - will be several, typically around 5)

Issues to cover	Source of information
List all the goals eg Health of community improved, especially for under 5s and elderly.	Visioning exercise

### 3.3 What strategies shall we adopt to achieve our goals?

#### 3.3.1 Goal 1

Issues to cover	Source of information
<u>List of strategies</u> For each goal what are the main things we need to do (strategies) to achieve the goal? (eg Reduce incidence of malaria, Ensure safe drinking water)	Strategy development
What are the priority strategies?	
What are the projects/activities we will do for these priority strategies	

#### 3.3.2 Goal 2

Repeat as for 3.3.1, and do this for each of the five or so goals

### 3.? Summary of proposed goals, strategies and activities

At the end of this section produce a table like the one below summarising what you are proposing.

<b>Table summarising priority projects and activities (for example:)</b>		
Goal/outcome	Priority strategies that we will work on	Projects or activities
Goal 1 - Health of community improved, especially for under 5s and elderly	Reduce incidence of malaria	1. Develop use of bednets 2. Get council to spray the area 3. Ensure that the local chemist has chloroquine
	Develop safe drinking water	1. Protected spring at Kunene Hill and water pipes to centre of village
	Encourage use of pit latrines	1. Do demonstration on pit latrines 2. Council to provide materials
Goal 2 - etc		

## 4 Implementing our plan

This section should have two parts:

- a summary for each project of who needs to do what, which should show which projects are being proposed for the local authority plan
- an action plan of the immediate activities for the community to take forward their own development process. This may involve allocating discretionary funds that are already available, actions the community has to take to get other projects moving, as well as purely local activities such as organising a festival, litter-picking event etc.

The tables below suggest formats for how these can be presented with some examples. Additionally, project profiles may need to be completed, particularly for projects that require support from higher level agencies, such as local authority, private sector, service providers, NGOs etc.

### 4.1 Who needs to support each of our projects and how?

The table below summarises what different people/organisations need to do for each of the projects and activities that we are planning to do.

Projects/activities	What do we need to do?	What does the Council need to do?	What do others need to do (specify who).....
Get council to spray the area		Get approved in IDP	Get health to do x
Develop use of bednets			Ensure shops stock bednets
Ensure that the local chemist has chloroquine			Chemist stock chloroquine.
Protected spring at Kunene Hill and water pipes to centre of village	Clear area	Include cost of protected spring in IDP	
etc			

#### 4.2 Plan of things we need to do in the community to take forward our plan

This should include a table to show the immediate actions needed in the next 3 months to take forward our plan.

What we need to do in the next 3 months	Who will do it?	When?
1.		
2.		
3.		
4.		

## Annexes: Project Profiles

These must be completed for projects submitted to Council or sectoral departments. They may be completed during the documentation day of the planning week, or afterwards. Help may have to be provided by technical departments.

<b>Project/activity name</b>					
Objective(s) (impact on clients)					
Location					
Time to complete project or activity					
How was the project identified and by whom?					
Who will benefit? How many people will benefit?					
What has to be done to achieve the project/activity?					
Stakeholders					
Completed works will belong to					
Activities will be implemented by what group					
Completed works will be inspected by					
Completed works will be operated by					
Completed works will be maintained by					
<b>Inputs required:</b>	Own	Local	Other	Other	Total
Other		gov			
Money					
Labour					
Materials					
Transport					
In kind resources					
Total					
What are operating costs? (and source of funds)					
What are maintenance costs? (and source of funds)					

### 3 THE PLANNING CYCLE

The community-based planning process that is being proposed here is part of the overall development planning process. In most cases this is the local authority planning process, but also must link to that of central government. This table presents a possible schedule as relevant. Such a planning cycle needs to be developed for each local authority area where this planning is happening, and it should show how the community-based planning is integrated with higher level planning processes.

Month	Activity	Content
June	Information dissemination to Councillors, wards, local authority officers and provincial departments,	Indicative planning figures for following financial year Clarify roles and responsibilities
June	Brief councillors, ward committees and staff	Plan/content/duration/planning cycle Process for developing development plan including community-based planning approach and plan formulation
July	Training	Training of facilitators/planners and councillors, ward committees
May-July	<b>Facilitate community-based plans across the whole local government area</b> (this is the main content of the rest of this manual)	Ward plans in all wards. In the first year these will be 4 contact days (2 situation analysis, 2 planning, 1 documentation). The following year a 2 day process will be needed, 1 day to review progress, 1 day to roll the plan. Over 5 years the full planning process should be repeated once, eg after 3 years. Communities are allocated initial discretionary amount immediately after the plan is done, so they carry on working on their local actions immediately.
May-July	Develop strategic priorities	Based on first ward plans and broader issues facing the Council develop strategic vision, goals and strategies for Council Develop strategic Council projects
June	Finalise budget envelope	Council finalises the high level budget, including total amounts for development projects
July	Planning and budgeting meetings	First draft of community plans developed
May-July	Prioritisation of areas for intervention	Done by communities as part of plan Shortlist produced
July	Appraisal and integration process	Appraisal of plans by the local authority Inclusion of regional/strategic issues with community plans Integration of sectoral issues with community plan Quality control
August	Finalise development plan	Projects to be supported by Council finalised, and projects to be recommended to sectoral departments
Nov	Feedback to community and finalisation	Feedback to community on agreed elements Endorsement and communities revises plans
Dec	Implementation plan	Design, costing, and production of work plans M & E – milestones on plan.
Jan	Next financial year	

## 4 SCHEDULE FOR THE INTENSIVE PLANNING PHASE

The rest of this manual is about the community-based planning elements of the overall planning cycle. There are two scenarios for this:

- the planning required the first year a community plan is produced (and also for perhaps the third year) (2 days situational analysis, 2 days planning, 1 day writing up)
- the planning required to roll the plan the year after the first plan is produced (2 days planning, 1 day writing up)

Table 4.1 shows a suggested schedule for developing the first year community based plan. It consists of:

- Pre-planning phase: a pre-planning meeting (0.5 days)
- Planning Phase: situational analysis (2 days)
- Planning phase: planning (2 days)
- Planning Phase: documentation (1 day)
- Feedback after decisions on what is approved by the Council

Note that it will take around 5 days to develop the first community plan. Four community meetings are scheduled within the planning week and it is important to try and ensure that these are well-attended. Where a situational analysis has been completed or partially completed, then the length of the planning process can be reduced as time can be saved on the situational analysis.

In subsequent years, the time required for updating the plan is likely to be reduced, perhaps requiring only a one day review of the plan and progress, one day to check the strategies and projects, and one day to write up. This would make it more like a 3 day rather than a 5 day process.

Table 4.2 shows the possible schedule for a follow-up planning process, eg after 1 year

### Assumptions

It is assumed in developing this manual, that before the pre-planning meeting, the local authority (municipality, district, etc) has undertaken the following:

- Identified the planning unit (eg ward, Full council committee) and the entry point for the planning process (eg ward committee);
- Identified the composition of a trained facilitation team and allocated roles;
- Understood planning allocations and budgets for the plans and **allocated some discretionary funding** to the community, so that work can start immediately and does not have to wait until the next financial year;
- Reviewed the policy and institutional context and understood the implications of any changes for the community plan;
- Compiled existing data held by the local authority relating to the community-ward profiles.

- Reviewed previous plans/secondary data;
- Identified emerging opportunities for funding/support.

**Table 4.1 Suggested intensive field schedule for first year planning**

Day	Activities	With whom?
Pre Planning		
1.5 days	Pre-planning meeting Compiling background information Identify community mobilisers Identify socio-economic groups Make contacts through the village head Debriefing two villages at a time by the Core Facilitation team Village head organise launch meetings	Core Facilitation Team
Planning (up to 5 days)		
Day 1  (situation analysis)	Background and Objectives.	Socio-economic groups representatives.
	Timeline	Socio-economic groups representatives.
	Livelihood analysis	Socio-economic groups representatives.
	Well being analysis	Socio-economic groups
Day 2 (situation analysis)	Asset mapping	Socio-economic groups
	SWOT Analysis	Socio-economic groups representatives.
	Visioning process & goals	Socio-economic groups representatives.
Day 3 (planning)	Strategy development	Socio-economic groups representatives.
	-use of matrices	Socio-economic groups representatives.
Day 4 (planning)	Local community Action Plan	Socio-economic groups representatives.
	Feedback to broader community Work on document by Core Facilitation Team	Broad community group
Day 5 (writing)	Writing up the plan Project profiles	Core facilitation team plus other co-opted community members
Planning follow up (within next week or by deadline)		
	Submission of plan	Core facilitation team
Finalisation (0.5 day)		
After local authority	Community plan finalisation meeting	

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review of community plan		
Review meetings (0.5 day every 1-3 months)		
	Regular meetings to review plan and roll action plan	Local leaders (Ward committee, parish development committee)

**Table 4.2 Suggested intensive field schedule for second year planning and review**

<b>Day</b>	<b>Activities</b>	<b>With whom?</b>
<b>Pre Planning</b>		
0.5 days	Pre-planning meeting to review what has been achieved and major problems	Local leaders
<b>Planning (up to 5 days)</b>		
Day 1 (review)	Community planning launch meeting and review	Broad community group
	Service provider interviews where problems	Service providers/CBOs
Day 2 (planning)	Revise strategies and projects	Smaller community groups
	Community action planning meeting	Broad community group
Day 3 (writing)	Writing up any changes, revising or adding project profiles	Core facilitation team plus other co-opted community members
<b>Planning follow up (within next week or by deadline)</b>		
	Submission of plan	Core facilitation team
<b>Finalisation (0.5 day)</b>		
After local authority review of community plan	Community plan finalisation meeting	
<b>Review meetings (0.5 day every 1-3 months)</b>		
	Regular meetings to review plan and roll action plan	Local leaders (Ward committee, parish development committee)

## **5 FACILITATION NOTES TO SUPPORT THE INTENSIVE PLANNING SESSIONS**

This section includes facilitation notes for each of the planning sessions detailed in the intensive planning schedule. It does not yet include facilitation notes for subsequent year review of the plan and revisions. These sessions include:

### Event

1. Pre-planning meeting
2. Compiling background information
3. Community planning launch meeting
4. Timeline
5. Venn diagram
6. Livelihoods analysis
7. Service provider interviews
8. Well-being analysis
9. Community feedback meeting
10. SWOT
11. Mapping
12. Transect walk
13. Visioning exercise
14. Strategy development
15. Community action planning meeting
16. Writing up the plan
17. Project profiles
18. Community plan finalisation meeting
19. Regular monitoring meetings

## EVENT 1                    PRE-PLANNING MEETING (4 HOURS)

### 1        **Background**

This meeting is held a week or two prior to the main planning week, initially just with ward committee/Parish Development Committee, followed by a broader session with opinion leaders (such as teachers, clinic staff, religious leaders, youth leaders, leaders of unemployed groups, trade union, womens groups etc). The aim is to mobilise the leaders of many different sections of the community. The aim is to get broad ownership of the plan so that people realise that this is about their process, that one of the outputs needs to be local action and not just demands for resources from others.

### 2        **Objective**

By the end of this meeting:

- Local leaders understand the planning process and outputs
- Local leaders are committed to supporting an inclusive planning process (which prioritizes the needs of marginalized groups)
- Local leaders are ready to mobilize their constituencies ready for the planning phase
- Local leaders will have defined the main socio-economic groups to take forward the planning process
- Local leaders will have developed a timetable for the planning week and the first meetings will have been scheduled

### 3        **What part of the plan does this feed into**

Use in Section 1 on “How did we make this plan”.

<b>4</b>	<b>Tool/method</b>	Group discussion
<b>5</b>	<b>Timing</b>	4 hours (2 hours + 2 hours) or 2 meetings of 2 hours each
<b>6</b>	<b>Facilitators</b>	Core facilitation team
<b>7</b>	<b>Participants</b>	First part of meeting, eg for 2 hours, elected leaders eg Ward committee, then joined by opinion leaders, traditional leaders, interest groups etc

### 8        **Process**

Part one – elected leaders

*Introductions and ensuring elected leaders understand planning process*

- 8.1 Introduce facilitation team and elected leaders
- 8.2 Discuss overall planning process within which the community plans fit
- 8.3 Discuss expectations and concerns
- 8.4 Discuss overall shape of the week (assume here that there has been some introduction to councillors prior to this meeting)

*Roles*

- 8.5 Discuss role of elected leaders in facilitation and the benefits for them (eg training, resource mobilisation etc)
- 8.6 Talk about the following part of the meeting, and what role they are expected to play

## Part two – broader meeting with elected and other leaders

### *Introductions*

- 8.7 Councillor to introduce team and lead introductions for others
- 8.8 Councillor introduces purpose of meeting and agenda

### *Background to planning*

- 8.9 Discuss overall planning process within which the community plans fit
- 8.10 Discuss content of the plan (use flip chart which is left with the committee)
- 8.11 Discuss overall shape of the week
- 8.12 Discuss availability of any existing information (see Facilitation Notes No. 2 Compiling Background Information) that can be used to help with the plan

### *Roles*

- 8.13 Discuss who is core facilitation team and who is supplementary, and what are their roles (including that some committee members/councillors will become trainers)

### *Social analysis and organising the week*

- 8.14 Discuss what are the socio-economic groups in the area, using the question “what are the different groups that you recognise in the area who have different levels of wellbeing. Give one or two examples (eg unemployed, youth, elderly women, business people, farmers, salaried people.....).
- 8.15 Tell people that we would like to meet representatives from these groups, and that all these groups need to participate in the broad community meetings (ward planning forum).
- 8.16 Arrange timetable for week and in detail for first day.
- 8.17 Agree how we obtain the participants for first community meeting and who will organise them (do we have some meetings in villages/sections at which representatives are elected/selected for the community meeting/ward planning forum)

## **9 Resources needed**

Flip chart with contents of the plan. Flip chart with table showing the week

## **10 Comments/tips**

If access to the community is easy, the two parts of the meeting can be held on separate days, allowing time for elected leaders to mobilize other leaders. If the community is inaccessible, the two meetings can be held on the same day with the local leaders meeting following the elected leaders meeting. If so, non-elected leaders need to be mobilized in advance. Don't forget to discuss with leaders when is a good time for particular groups to meet, and build this into the timetable for the planning week.

## EVENT 2 COMPILING BACKGROUND INFORMATION

### 1 Background

Information is recordable facts and figures. There is always background information about a community and stored within a community that can help inform the planning process. If this background information is pulled together at the beginning of the planning week, it can be validated and updated in the planning sessions or any gaps in it identified and filled. It is also an efficient way of working to first compile the information that is readily available, as it means that we do not tire or annoy people by asking for information that they may have already provided.

Additionally, you can collect specific information when the goals, strategies and projects are being developed. This should be more focused information to help support the project/activity that you are developing.

### 2 Objective

To collect background information about the community that will assist in the planning process

### 3 What part of the plan does this feed into

Use in Section 2.1 on "Background to the community".

<b>4</b>	<b>Tool/method</b>	Interviews
<b>5</b>	<b>Timing</b>	Variable - depends on types of data and sources
<b>6</b>	<b>Facilitators</b>	Core facilitation team, particularly community members
<b>7</b>	<b>Participants</b>	

### 8 Process

8.1 Start by discussing the types of information that could inform the planning process and then thinking about who would have this information. This can be done in the pre-planning meeting. Examples of useful information include:

- Compilation of existing plans that have been developed. These could be for one group (such as a women's group) or just in one sector (e.g. an environmental action plan);
- Basic statistics on the people who live in the community (number of people, number of households, number of people in different age groups, different ethnic groups). This may be held by the community leader or religious groups;
- Infrastructural information: number and location of boreholes, number of houses with and without pit latrines etc. This may be held by the community health worker or the community leader;
- Health records. Disease patterns, understanding the main diseases/illnesses that people suffer from and when (e.g. malaria, rainy season and the under 5s). This information may be held by the community health worker, a school teacher, clinic staff or even the shop keepers who run a drug store/pharmacy;
- Agricultural records. Understanding soils and land capabilities, understanding the main crops and varieties that people grow and the diseases they suffer from. This information may be held by the agricultural extension worker or leader of a farmers group.

- 8.2 Collect background information and include in the plan in a summary format showing the information, the source and the year it was collected. For example, you could include data on the number of people/households in the following format: 212 households, Source: census, Year: 1999.

**9 Resources needed**

Notebook and pen

**10 Comments**

You may find that you don't need to collect all the information at the beginning, but rather leave more specific health/veterinary/environment information to when the goals are being developed. The information gathered can then help inform how strategies are chosen and prioritised.

## EVENT 3 COMMUNITY PLANNING LAUNCH MEETING

### 1 Background

It is important that the planning week should be launched with a meeting which has broad participation, particularly emphasising representatives of different socio-economic groups and interest groups within the community (these will have been identified at the pre-planning meeting). The meeting provides an opportunity to get people to think about the product at the end of the week (the 'plan'), as well as the process, which should be empowering and inclusive.

The outputs of the pre-planning meeting should be presented to this wider group for validation, particularly the timetable for the week (which should be displayed in a public place) and the socio-economic groupings. This should be built on to develop an inventory of service providers, which will be included in the timetable.

### 2 Objective

By the end of this session, the community will :

- Have understood the planning process and outputs
- Have reviewed and finalised the different socio-economic groups who need to be included in the planning week
- Developed an inventory of existing projects, CBOS and service providers existing within the ward/parish.
- Have reviewed and finalised the timetable for the planning week, particularly detailing which socio-economic groups and service providers will be met with

### 3 What part of the plan does this feed into

Use the list of the different socio-economic groups in Section 2.2 (Who is our community?)

Use the inventory of service providers/CBOs/projects in Section 2.3 (Activities and services in the community)

<b>4</b>	<b>Tool/method</b>	Group discussion
<b>5</b>	<b>Timing</b>	3 hours
<b>6</b>	<b>Facilitators</b>	Core facilitation team
<b>7</b>	<b>Participants</b>	Broad based group of community members, including representatives of all major socio-economic and interest groups.
<b>8</b>	<b>Process</b>	

#### *Introductions and ensuring community understands planning process*

- 8.1 Introduce facilitation team and their roles, purpose of the meeting and the agenda
- 8.2 Discuss overall planning process within which the community plans fit
- 8.3 Discuss the general content of the plan (use flip chart which is left with the committee)
- 8.4 Discuss overall schedule for the week (although this will be finalised later in the session)
- 8.5 Check for community expectations and concerns and respond to any questions

*Socio-economic groups*

- 8.6 Present the findings of the pre-planning meeting concerning the different socio-economic groups identified in the community. Discuss and amend/add groups to develop a final list.

*Activities and services in the community*

- 8.7 Discuss what are the on-going activities in the community (CBOs, projects) as well as the services that are provided to the community
- 8.8 Develop a list and cluster them around themes, such as agriculture related, health related etc.
- 8.9 Tell people that we would like to meet representatives from these activities/projects/CBOs,

*Finalising the timetable for the planning week*

- 8.10 Go back to the broad timetable developed for the week.
- 8.11 Add in the meetings with the different socio-economic groups that have been identified.
- 8.12 Add in meetings with the CBOs/projects/activities already on-going within the community.
- 8.13 Highlight the planning events in the timetable that require broad community participation and ask people to attend them if possible.

**9 Resources needed**

Flipcharts

Prepared flipchart with draft timetable

**10 Comments/tips**

This is a key meeting that will set the pace and content of the planning. As well as trying to maximise participation, use the opportunity to outline to the community the benefits of community based planning. You can find these in the Introduction section to this manual.

## EVENT 4 TIMELINE

### 1 Background

It is important in the developing of plans to first have some understanding of the where the community has come from – its basic history. This can be done by creating a timeline where the community members develop a sequence of events in a joint manner. In this way the community and facilitators gain an understanding of what has worked and not in the community and the general trends over the years which will contribute to better plans.

### 2 Objective

By the end of this session we want to have an understanding of:

- the history of the ward/parish re development including the major events, and
- Use the activity as an icebreaker for the planning group

### 3 What part of the plan does this feed into

Section 2.1 Background to the community

<b>4</b>	<b>Tool/method</b>	Timeline with key informant group
<b>5</b>	<b>Timing</b>	1-2 hours
<b>6</b>	<b>Facilitators</b>	One or two of the core facilitation team
<b>7</b>	<b>Participants</b>	Group of 12-15 people – including the aged

### 8 Process

- 8.1 Personal introductions of individuals in the group
- 8.2 Explain the objectives of the exercise
- 8.3 Establish the earliest event that is memorised
- 8.4 Decide a framework for the exercise in terms of time
- 8.5 Mark it with cards indicating time (eg decades)
- 8.6 People write events on cards – facilitator can write if participants are illiterate
- 8.7 Written cards are read out and verified by the group before they are put on the timeline
- 8.8 The timeline should remain displayed for additions and as a community record

### 9 Resources needed Paper, scissors, prestik, pens

### 10 Comments/tips

- The development of timelines are excellent as a method to increase enthusiasm among the community as it reinforces a sense of pride among members in their community.
- Use cards so that the events can be adjusted/corrected, as well as new events added to the timeline.
- The timeline is a valuable way in which the older members of the community can be involved in the planning process.
- The younger members of the community can learn much from the timeline.



## EVENT 5 VENN DIAGRAM

### 1 Background

It is important to understand the role played by different organisations in the community, especially service organisations. These organisations can both assist with technical inputs into the plans as well as the implementation of them. The Venn diagram is a good method to understand the relationships between the community and different organisations in the community.

### 2 Objective

By the end of this session we want to have an understanding of:

- The different organisations that are operating in the community;
- The importance of their services to the people; and
- How accessible their services are to the community.

### 3 What part of the plan does this feed into

Use in Section 2.3 on “Services and activities in the community”.

**4 Tool/method** Group discussion to create a Venn diagram

**5 Timing** 1-2 hours

**6 Facilitators** Core facilitation team

**7 Participants** Broader community group

### 8 Process

8.1 People introduce themselves

8.2 discuss the objectives of the session

8.3 Brainstorm a list of the service providers that operate in the community

8.4 Get the group to cut out circles (with paper and scissors) to represent the importance of the service/organisation. The larger the circle the more important the service/organisation to the community.

8.5 Make a mark on the ground or a flipchart to represent the community.

8.6 Get the group to arrange the circles around the mark in such a manner that the more accessible the service/organisation or better the relationship with the community, the closer the circle is placed to the mark/community.

8.7 Discuss the diagram created.

**9 Resources needed** Paper, scissors, prestik, pens

### 10 Comments/tips

- Give clear instructions so the tasks are well understood, and allow the group to do the exercise itself.
- Make sure the group understand the importance and the difference between “importance” and “accessibility” in this case
- Ensure that all participate and that decisions are participatory – don’t allow certain members to dominate.



## EVENT 6 LIVELIHOODS ANALYSIS

### 1 Background

We need to understand livelihoods of different socio-economic groups ie where they are at now (assets, vulnerabilities) and where they want to go (desired outcomes & opportunities) which they have defined themselves. The process should be empowering, as it focuses on what people already have and gets them thinking about how they can direct their own development. The analysis avoids people developing a wish list and get people to think about how to link opportunities with assets.

### 2 Objective

By the end of this meeting we understand the livelihoods of different socio-economic groups, including their:

- assets (what people have including financial, social, physical, human and natural assets);
- vulnerabilities (the stresses and shocks that people are subjected to in the external environment);
- preferred outcomes (what people would like to achieve regarding their livelihoods,
- opportunities (that are available in the environment, often not recognised by the people themselves); and
- the service providers that operate in the area.

### 3 What part of the plan does this feed into

Use in Section 2 on “What is the situation in our community”.

<b>4</b>	<b>Tool/method</b>	Focus group discussion with socio-economic groups
<b>5</b>	<b>Timing</b>	2-3 hours
<b>6</b>	<b>Facilitators</b>	Core facilitation team
<b>7</b>	<b>Participants</b>	Socio-economic groups

### 8 Process

- 8.1 The group introduce themselves and objectives of the session are discussed.
- 8.2 Use the SL checklist (refer to Annexure) to engage people in semi-structured discussion about their livelihood.
- 8.3 Record the discussion on flipcharts in the group
- 8.4 Write up group discussion

### 9 Resources needed

SL Checklist (Annexure)  
Flipcharts and pens to record discussions

### 10 Comments/tips

- It is important to establish the social groups in the community. A distinction needs to be made from interest groups and projects in the community;
  - **Social groups** are those in relation to social criteria such as age, wealth, gender, class, etc. These may include for example: unemployed young men, landless people, unmarried women with children, etc.

- **Interest groups** are people who are pursuing a similar interest or economic livelihood such as bee keeping, fishing, etc and are considered a
- **community project** once well organised and mutually serving such as a revolving fund group or beekeepers that have formed a cooperative.
  
- Socio-economic groups need to be people of similar levels of wellbeing – ie differentiating groups that have differing access to resources, vulnerabilities, livelihood strategies, (eg salaried employees, elderly with pensions, youth, etc);
- The community should be encouraged by the facilitators to divide themselves into their social groups. This should be done by explaining social groups and prompting the meeting;
- The discussion should be carried out in such a manner that the people raise issues about their livelihoods. The role of the facilitator is to prompt the group (using the checklist) and ensure that the information given by the group is recorded in an ordered manner;
- In discussing people's livelihoods, the discussion should begin with what people have, ie their strengths and opportunities.

## **EVENT 7 SERVICE PROVIDER INTERVIEWS**

### **1 Background**

It is important to know what organisations are operating in the community and surrounds. These organisations could play a role in developing plans and future service provision and it is therefore important to understand their capacity to contribute to the implementation as well as to get them on board the planning process so as it is more realistic and achievable.

### **2 Objective**

By the end of these interviews we want to have:

- An understanding of the capacity of individual service providers to contribute to and implement community based plans; and
- created ownership and commitment to the community based plans among individual service providers

### **3 What part of the plan does this feed into**

Use in Section 2.3 on “Services and activities in the community”.

<b>4 Tool/method</b>	Semi-structured interviews
<b>5 Timing</b>	1-1.5 hours
<b>6 Facilitators</b>	Core facilitation team as interviewer
<b>7 Participants</b>	individual or group representing a service provider

### **8 Process**

- 8.1 Personal introductions of individuals in the group
- 8.2 Explain the objectives of the interview
- 8.3 Engage in a discussion with the representative(s) using the checklist (see below) to ensure all issues are covered
- 8.4 Write-up the interview in a standard format.

### **9 Resources needed**

Paper and pen, service provider checklist

### **10 Comments/tips**

- Engage service providers in the process so as to create enthusiasm to assist with the development and implementation of the community-based plans.
- Write up the interview in a standard format to ensure easy comparison between and among service providers.
- The checklist is merely a guide to assist the interviewer to cover all the necessary issues, however it can be shortened, simplified and should be adapted to the local context and scope of work of the service provider being interviewed.

## **CHECKLIST FOR ORGANISATIONS OPERATING IN THE WARD**

### **Introduction**

- 1 Do you have any written material on your organisation. Are there any reports available?

### **Clients – poor people**

- 2 Who are your clients, who do you serve at ward/parish level?
- 3 Have you done some client needs analysis and their strengths?
- 4 Who do you see as the poor?

### **Policy and programmes**

- 5 What is the vision, goal and objectives of the organisation?
- 6 What are the key programmes in place?
- 7 What has worked/what didn't and why?
- 8 What impact have they had? Any statistics?
- 9 Who are the main beneficiaries of services/programmes so far?
- 10 How could delivery systems be improved?
- 11 How do you see the appropriate role of government especially local government?
- 12 What about other stakeholders?

### **Planning**

- 13 Are beneficiaries involved in planning implementing, evaluation? What about stakeholders in other departments (multi-sectoral) and outside government? Give examples.
- 14 What coordination at district level? How could it be improved?
- 15 How are resources channelled to the district? To who exactly? Is this effective and how could it be improved?
- 16 How have financial allocations changed and how has this affected service delivery?
- 17 Is there a development planning office? How is development planning functions carried out?

### **Accountability and coordination**

- 18 In what way are you accountable to your clients? How? Do you think client needs and views are adequately represented? How could it be improved?
- 19 What monitoring & evaluation systems are in place? Are clients involved?

### **Sustainability and learning**

- 20 How do you ensure that beneficiaries can use the resources effectively and that projects or activities are sustainable? (eg capacity-building)
- 21 Is there evidence of a learning approach to make the services/programmes more relevant to clients?

## EVENT 8 WELL BEING ANALYSIS

### 1 Background

It is important to understand who is our community, in terms of who is doing well and who is not doing so well. It helps the community to better understand the local power structure, decision-making processes, access to and control over resources. We use this information to think about our plans might affect people of different levels of well-being.

### 2 Objective

By the end of this session the community will have understand how the community perceives 'well-being' and the different wealth/poor categories in the area

### 3 What part of the plan does this feed into

Use in Section 2.2 on "Different social groups in the community".

<b>4 Tool/method</b>	Sub-Group of the broad community group
<b>5 Timing</b>	1-2 hours
<b>6 Facilitators</b>	Core facilitation team
<b>7 Participants</b>	Small community group with broad representation of different socio-economic groups.

### 8 Process

- 8.1 Start by asking people to think about all the different people who live in the community, then ask:
  - Who are doing well in the community?
  - Who are not doing so well in the community?
  - Who are the poorest?
  - Who are doing the best?
- 8.2 Come up with up to 3-5 different categories of well-being. This could be v.poor, poor, average, and OK (4 categories). Or Destitute, v.poor, average, comfortable and rich (5 categories).
- 8.3 Ask how you would know which category a person belonged to. This will help generate some indicators or signs of different wealth categories.
- 8.4 Look back at the socio-economic groups identified at the beginning of the week. See how they are spread across the categories. Some groups, such as young women, are unlikely to fit in any one category! But other groups, e.g. unemployed, or coffee growers, may be in one particular wealth rank. Allocate the different socio-economic groups to the wellbeing classes.
- 8.5 Finally, probe for how people perceive development. Start by asking "How would we know if these groups are doing better?" This is a way of getting indicators of livelihood improvement. Some of these may already have been discussed, but it is important to get local people to think about their own indicators of improved livelihoods, increased livelihood security or more well being.
- 8.6 Ask people to look back over the planning week and think who was involved. Were some well-being categories over or under represented? If the poorer wealth categories were under-represented or other groups over-represented,

ask for strategies on how these people can get involved in planning. Make follow-up actions to encourage non-participants to contribute.

## **9 Resources needed**

Flipcharts

## **10 Comments/tips**

Wealth ranking can be a sensitive topic, remind people that the discussions are based on relative not actual wealth. Remember, you do not need to name which people fit into each category but rather discuss the types of livelihoods of people in each group. It is a good idea to talk about well-being rather than wealth, as well-being covers not only the financial resources associated with wealth but also a range of other factors, such as people's families.

## EVENT 9 COMMUNITY FEEDBACK MEETING

### 1 Background

This meeting provides an opportunity for the community to review, cross-check and validate the information that has been gathered, analysed and discussed in smaller groups. Specifically it brings together the livelihood analyses completed with different socio-economic groups, the PRA diagrams (maps, Venns etc) and the well-being analysis, as well as the findings from the interviews with service providers. Once the information gathered in the Situational Analysis has been reviewed, it will feed into the SWOT analysis which is completed in the same meeting.

### 2 Objective

By the end of this session, the community will have reviewed and validated the background information gathered in the first two days of the planning phase

### 3 What part of the plan does this feed into

Use in Sections 2.2 (Who is our community?) and 2.3 (Activities and services in the community)

<b>4</b>	<b>Tool/method</b>	Group discussion
<b>5</b>	<b>Timing</b>	1 hour
<b>6</b>	<b>Facilitators</b>	Core facilitation team
<b>7</b>	<b>Participants</b>	Broad community group

### 8 Process

- 8.1 Start by presenting the timetable for the planning week and note which sessions have been completed
- 8.2 For each of the completed planning events, either a member of the core facilitation team or a secretary to the planning event should present the key findings. Where diagrams have been produced (e.g. Venn diagrams, timelines), then these should be presented back to the community. Try and limit each presentation to 5 minutes to allow time for the participants to give feedback.
- 8.3 The facilitation team should take care to update any new information that is revealed and make corrections to presentations/findings so that the information included in the plan is that which has been validated by the broader community group.

### 9 Resources needed

Flipcharts

### 10 Comments/tips

As this meeting is held on the second day of the planning week, it is important that planning sessions are documented on an on-going basis – or the facilitation team will find it difficult to get the information synthesised in time to present at this meeting. Try and keep the feedback session short, as it is important that the SWOT analysis (see Facilitation Notes No. 9) is completed in the same meeting. Quite often presenters will try and give a detailed description of the activities undertaken and

discussions held in each planning session. Emphasise that this is NOT required and that only key findings or information should be presented.

Also note, that some findings may be controversial and there may be disagreements in the broad community group about certain findings. Facilitators should take care that they only update and correct information (facts and figures) and should not lose the perceptions and feelings of smaller groups in the larger meeting. If necessary, the plan can record where there is disagreement in the findings/information presented back.

## EVENT 10 SWOT ANALYSIS (STRENGTHS, WEAKNESSES, OPPORTUNITIES, THREATS)

### 1 Background

The SWOT analysis builds on the Livelihoods Analysis to complete the situational analysis for the community. It follows on from the feedback meeting which is designed to validate and cross-check information. The SWOT analysis takes the strengths, weaknesses, opportunities and threats that were developed by the different socio-economic groups and builds them up to the community as a whole. The opportunities are compared across the different socio-economic groups in a matrix to see how similar or different they are. This matrix will feed into the planning and help to develop the community based plan, reflecting the opportunities identified by different groups.

### 2 Objective

By the end of this session we will have an overview of the strengths, weaknesses, opportunities, threats for the community as a whole.

### 3 What part of the plan does this feed into

Use in Section 2.4 on "SWOT".

<b>4</b>	<b>Tool/method</b>	Group discussion and opportunities matrix
<b>5</b>	<b>Timing</b>	2 hours
<b>6</b>	<b>Facilitators</b>	Core facilitation team
<b>7</b>	<b>Participants</b>	Broad community group including people from each of the socio-economic groupings who completed the livelihoods analysis.

### 8 Process

- 8.1 Have strengths from the livelihood analysis with different socio-economic groups on the walls on flip charts
- 8.2 Ask people to come up with strengths of the area. They can start by using the strengths from individual groups, and add to these. Write on flip chart.
- 8.3 Repeat for weaknesses.
- 8.4 Repeat for threats.
- 8.5 For opportunities, draw up matrix as below, and ask one of the socio-economic group to come up with their opportunities and list them on the matrix.
- 8.6 The next socio-economic group should then list their opportunities, which are ticked if similar to the previous group, or added to the list. Cluster opportunities if they are similar (eg pit latrines in school and improved sanitation in houses)
- 8.7 Then ask – have we missed any opportunities for the area as a whole, eg cross-cutting issues such as environment, dealing with HIV/AIDS, geographical issues etc. and fill these in the matrix.
- 8.8 The meeting should close by reviewing the opportunity matrix and noting which opportunities have more broad support and which are favoured by particular socio-economic groups.

Opportunity	Youth	Elderly men	Cattle keepers	Young women	Unemployed	Coffee growers
-------------	-------	-------------	----------------	-------------	------------	----------------

Improve sanitation in people's houses	4			4		
Add classroom block to school	4	4	4			4
Repair the bridge			4			4
Develop credit schemes for CBOs	4			4	4	
Get extension support for dealing with coffee wilt disease						4

### 9 Resources needed

Flip charts for each groups strengths, weaknesses, threats  
Blank matrix for opportunities

### 10 Comments/tips

Remember to group similar opportunities that emerge which can form the basis of a project tomorrow.

We will use the groups' opportunities in the next community meeting to help develop the vision and goals for the community based plan.

## **EVENT 11 MAPPING**

### **1 Background**

All development plans will have a spatial component. Methods of gaining a community perspective of the current spatial layout of the community, as well as how it came about and possible future options is through the use of both a mapping exercise and a transect walk.

### **2 Objective**

By the end of this session we want to have and understanding of:

- The spatial layout of the physical infrastructure according to the community; and
- Where new infrastructure could be placed/built.

### **3 What part of the plan does this feed into**

Use in Section 2.2 on “Different social groups in the community”.

<b>4</b>	<b>Tool/method</b>	Group exercise
<b>5</b>	<b>Timing</b>	1-2 hours
<b>6</b>	<b>Facilitators</b>	Core facilitation team
<b>7</b>	<b>Participants</b>	Broader community group

### **8 Process**

- 8.1 Personal introductions of individuals in the group
- 8.2 Explain the objectives of the exercise
- 8.3 give the materials to community members and allow them to construct a map of their ward as they perceive it
- 8.4 The group can develop another map consisting of how they would like to see their ward in the future (planning horizon).

### **9 Resources needed**

Paper, scissors, prestik, pens (natural resources if the community is to build a model)

### **10 Comments/tips**

- The community may want to develop a more permanent model of the ward/parish at the community centre that could be used as a planning tool in the future.
- Technicians/service providers should engage in discussions with community members about future infrastructure once the map is developed. This will ensure that they do not dominate the process.
- The development of a map of possible future infrastructure often results in a “wish-list”, however valuable information can be derived from it.



## EVENT 12 TRANSECT WALK

### 1 Background

All development plans will have a spatial component. Methods of gaining a community perspective of the current spatial layout of the community, as well as how it came about and possible future options is through the use of either a mapping exercise and/or a transect walk.

### 2 Objective

By the end of this session we want to have an understanding:

- spatial layout of the ward
- of the development issues in the ward

### 3 What part of the plan does this feed into

Use in Section 2.2 on “Different social groups in the community”.

4	<b>Tool/method</b>	Transect walk – facilitator with 3-6 key informants
5	<b>Timing</b>	1-2 hours
6	<b>Facilitators</b>	One or two facilitators
7	<b>Participants</b>	+6 key informants from the community

### 8 Process

- 8.1 Select key informants from the community meeting
- 8.2 Decide roughly the route you will walk through the ward noting the major features
- 8.3 Walk and discuss with the key informant group about issues they feel are important
- 8.4 record the information

### 9 Resources needed

Paper and pen

### 10 Comments

- In selecting informants, try to get one person from each of the socio-economic groups identified.
- Don't talk much, rather listen to what people say – prompt.
- “Transect” implies a direct line through the ward, however it is better to embark on a zigzag route through the area to cover the main features
- the information from the transect walk should be used to complement the mapping exercise.

## EVENT 13 VISIONING EXERCISE

### 1 Background

Visioning can be a powerful tool to help people look to the future and articulate where they would like to go in terms of the development of their community. It is particularly powerful when it follows on from a review of people's assets and existing services, as it encourages people to develop a realistic, achievable vision, as well as the steps they need to take to reach the vision. Further, by not focusing on constraints and looking to opportunities, it helps the community to build on the strengths of its current situation.

### 2 Objective

By the end of this session we want a negotiated shared vision for the development of the community.

### 3 What part of the plan does this feed into

Use in Section 3.1 on "Vision".

<b>4</b>	<b>Tool/method</b>	Group discussion
<b>5</b>	<b>Timing</b>	1-2 hours
<b>6</b>	<b>Facilitators</b>	Core facilitation team
<b>7</b>	<b>Participants</b>	Broader community group

### 8 Process

- 8.1 The livelihoods analysis will have generated preferred outcomes.
- 8.2 Group them, so that health outcomes are on one flip chart, education outcomes are together, income outcomes are together etc.
- 8.3 For each flip chart develop a realistic summary statement which expresses what people want to see happen over the next 10 years – our (realistic) hopes and dreams for the future for our community?
- 8.4 Develop an overall statement of what people want that addresses eg *"By 2011 we will be a vibrant community where people like to live and work, people are well-fed, able to access health and education services".....)*
- 8.5 Take each flip chart in turn (eg health) and for each summary statement which summarised the vision, develop a goal statement for what you would concretely like to see happen in 5 years eg *"health of our ward/parish improved, especially for under 5s and elderly.*
- 8.6 Later groups will work on each of these in turn, to develop strategies/objectives and projects. This should be explained to the community. So now select who will take forward looking at who has experience (e.g. a community health worker for a health related goal) and would has interest in the proposed topic.

**9 Resources needed** Flip chart

### 10 Comments/tips

Be clear on the difference between vision (broad 10 years), goal (specific 5 years), strategy or objective (the main sets of things we need to do to get to the goal) and the projects/activities (the concrete individual and specific activities that we have to do to

get to the objective/strategy). Although note that the strategies and projects are developed by smaller community groups (see Facilitation Notes No 14, Strategy Development) and are not discussed in this meeting.

It may happen that people have different visions of the development of the community. Sometimes consensus can be achieved by emphasising the long term timeframe (10 years) and general nature of the vision. Additionally, it is important to stress that many different ideas can go into the vision as there is no prioritisation at this stage (e.g. health opportunities more urgent than infrastructure etc). However, where there are contradictory visions, then it can be important to explore the underlying causes of the difference in order to negotiate one common vision.

During this meeting, facilitators may like to introduce the resource envelope (budget) that is immediately available for implementing the plan. This can guide the development of realistic and achievable goals, and later strategies and projects, to help deliver on the vision. It can also assist in motivating people and maintaining participation throughout the planning week.

## EVENT 14 STRATEGY DEVELOPMENT

### 1 Background

Having developed a vision and some goals, smaller community groups now need to look at the 'what' (strategies/objectives) and the 'how' (projects/activities) of how to achieve the vision and goals. Technical staff can be brought in at this stage as resource persons, but make sure they are appraising and adding value to the ideas of the community rather than inserting their own objectives.

### 2 Objective

By the end of this session we will have:

- prioritised the strategies/objectives and projects/activities for each goal;
- reviewed how the strategies and projects address the needs of different groups;
- identified those projects/activities for submission to council or departmental plans.

### 3 What part of the plan does this feed into

Use in Section 3.3 onwards on each of the goals.

<b>4</b>	<b>Tool/method</b>	Group discussion
<b>5</b>	<b>Timing</b>	1-2 hours per goal
<b>6</b>	<b>Facilitators</b>	Core facilitation team
<b>7</b>	<b>Participants</b>	Smaller groups of up to 12 people with an interest or expertise in that goal area, eg for an HIV related topic, HIV sufferers and clinic staff. This is the time to bring in technical people as part of the planning process.

### 8 Process

The Visioning Exercise (Facilitation Notes no. 13) has generated around 5 goals (eg Health of community improved, especially for under 5s and elderly). Each group will tackle one of these. For your goal:

- 8.1 Discuss what are the main things we need to do (strategies) to achieve the goal? (eg Reduce incidence of malaria, Ensure safe drinking water).
- 8.2 Develop a short list of up to 8 strategies/objectives to achieve your goal.
- 8.3 Do a matrix like below based on the following criteria:
  - **Importance** (how important is it that something is done on this to achieve your goal)
  - **Urgency** (is it essential that something is done immediately)
  - **Easy to do** (how easy will it be to do this, eg low cost, quick to do etc)
  - **Relevance to wealth categories** that have been identified

Strategies	Importance			Urgency			Easy to do			Relevance to			
	Essential	Ideal	Would be good	Must be done		Can wait	Yes	Partially	No	Rich	Well-off	poor	Very poor
1 Reduce incidence of malaria,													
2 Ensure safe drinking water													
3													

8.4 Choose up to 3 strategies which you think are important and achievable within 5 years (including with help from outside).

8.5 Take each strategy in turn.

For each:

8.6 Identify the key projects or activities that will be needed to make this strategy happen.

8.7 In general terms, what will be needed from who to make this project or activity happen, eg for Eradicating malaria. This must identify projects/activities which need to be in council or sectoral plans. Put on a matrix like the one shown below.

Projects/activities for eradicating malaria	What do we need to do?	What does the Council need to do?	What do others need to do (specify who).....
Need area to be sprayed		Fund through Integrated Dev. Plan/Subcounty Development Pan	Get health to do spraying
Families to use bednets	Ensure shops stock bednets		Shopkeepers stock bednets
Ensure that choroquine is available in local shops	Approach the chemist		

8.8 Later a project profile may need to be developed for each of projects/activities, and certainly for those being submitted to Council, NGOs or departments (see Facilitation Notes no. 17).

## 9 Resources needed

Blank matrix with criteria

Blank matrix of who needs to do what.

## 10 Comments/tips

## EVENT 15 COMMUNITY ACTION PLANNING MEETING

### 1 Background

Groups have worked on around 5 goals (eg Health of community improved, especially for under 5s and elderly). We now need to validate these, see if any modifications are needed and develop an action plan for each ward.

### 2 Objective

By the end of this session the broader community group will have:

- Reviewed and validated/modified the plans produced by the different groups who have worked on each goal;
- drawn up an action plan for the next 3 months for what the community has to do to take the plan forward, notably for local action elements.

### 3 What part of the plan does this feed into

Use in Section 3.3 onwards on each of the goals, and then section 6 on the action plan.

<b>4 Tool/method</b>	Group discussion
<b>5 Timing</b>	2 hours
<b>6 Facilitators</b>	Core facilitation team
<b>7 Participants</b>	Broader community group

### 8 Process

- 8.1 Each group presents its proposed strategies, the priorities, and the projects and activities they have proposed for the priority strategies.
- 8.2 The broader group then discusses these, makes any suggestions for changes, and endorses the final product.
- 8.3 Repeat for next goal etc.
- 8.4 When all have been done, check whether there are any linkages which are needed or problematic across these. What needs to be done about this?
- 8.5 Draw up a 3 month action plan for the community as in the matrix below.

What we need to do in the next 3 months	Who will do it?	When?
1.		
2.		
3.		
4.		
5.		

- 8.6 Decide who will develop the project profiles for appropriate projects (including those which will be submitted to other agencies) as in matrix following.

<b>Projects/activities for eradicating malaria</b>	<b>What do we need to do?</b>	<b>What does the Council need to do?</b>	<b>What do others need to do (specify who).....</b>
Need area to be sprayed		Fund in IDP	Get health to do spraying
Families to use bednets	Ensure shops stock bednets		Shopkeepers stock bednets
Ensure that choroquine is available in local shops	Approach the chemist		

8.7 Later a project profile may need to be developed for each of projects/activities, and certainly for those being submitted to Council, NGOs or departments.

## **9 Resources needed**

Matrix for action plan

## **10 Comments/tips**

As this is the last planning meeting in the planning week, it is important that not only is the plan reviewed, but also a local action plan. Make sure it is clear to everyone about who should do what by which time.

## EVENT 16 WRITING UP THE PLAN

### 1 Background

Documentation of an intensive planning process is always problematic, but it is essential if plans are to be developed in a standard way that can be used by higher level authorities and other service providers. The last day of the planning week is left for documentation, and following up any loose ends to complete the plan. It is also used for developing project profiles (see Facilitation Notes no 17)

### 2 Objective

By the end of this session the community has:

- Pulled together all the information generated in the planning week into a standard format for a community plan;
- Finalised the plan ready for submission to higher authorities (e.g. municipality or subcounty) through the appropriate community channel.

### 3 What part of the plan does this feed into

Developing the community plan

<b>4</b>	<b>Tool/method</b>	Writing
<b>5</b>	<b>Timing</b>	Variable
<b>6</b>	<b>Facilitators</b>	Core facilitation team
<b>7</b>	<b>Participants</b>	Smaller community group

### 8 Process

- 8.1 The facilitation team should review the information already collected and how it relates to the different sections of the community plan (see Section 2 of this manual for how the community plan is developed from different tools used in the planning week).
- 8.2 The information prepared for the community feedback meeting (see Facilitation Notes no 8), together with the feedback received, will provide a good summary for the community plan.
- 8.3 After having the contents of the plan reviewed by different stakeholders at the community level, submit through the appropriate community leader to the next level.

### 9 Resources needed

Pens and paper

### 10 Comments/tips

Training in documentation should be a key part of the capacity building of facilitators. As much as possible, facilitators should write around a given format (such as that in Section 2) to provide a focus to people's writing.

## EVENT 17 PROJECT PROFILES

### 1 Background

For projects which require external support (whether from government, NGOs or the private sector), a project profile should be completed. These define the elements of the project and help in monitoring project progress and holding people accountable for their actions.

### 2 Objective

By the end of this session project profiles will have been completed for each project/activity that requires additional support.

### 3 What part of the plan does this feed into

Annexes to the Community Plan

<b>4</b>	<b>Tool/method</b>	Completion of project profiles
<b>5</b>	<b>Timing</b>	1-2 hours per profile
<b>6</b>	<b>Facilitators</b>	Councillor or other elected leader who is part of the core facilitation team
<b>7</b>	<b>Participants</b>	Smaller groups people with an interest or expertise in the goal/strategy/project

### 8 Process

- 8.1 Each group completes a project profile for each of the projects within their strategy, at least for those that require external support. This should follow a standard format, which is suggested on the next page.
- 8.2 Technical assistance may be required, particularly around the costings and exploring the contributions made by different stakeholders.

### 9 Resources needed

Papers and pen

### 10 Comments/tips

It can be good practice to complete project profiles for all projects, and not just those that require external support. For reasons of accountability and monitoring, it can be good to complete project profiles even for those activities/projects that are entirely local (e.g. litter picking).

<b>Project/activity name</b>					
Objective(s) (impact on clients)					
Location					
Time to complete project or activity					
How was the project identified and by whom?					
Who will benefit? How many people will benefit?					
What has to be done to achieve the project/activity?					
Stakeholders					
Completed works will belong to					
Activities will be implemented by what group					
Completed works will be inspected by					
Completed works will be operated by					
Completed works will be maintained by					
<b>Inputs required:</b>	Own	Local	Other	Other	Total
	Other	gov			
Money					
Labour					
Materials					
Transport					
In kind resources					
Total					
What are operating costs? (and source of funds)					
What are maintenance costs? (and source of funds)					

## EVENT 18 COMMUNITY PLAN FINALISATION MEETING

### 1 Background

This meeting happens when the Council has reviewed your plan and decided which projects it has agreed to support. In this meeting the longer list you suggested will be reduced, and you can decide what you want to do about projects which have not been agreed by Council at this stage, either drop them, take them to someone else etc.

### 2 Objective

By the end of this session the broader group has:

- modified its original plan to take account of what has been agreed by the Council
- the community action plan is rolled forward
- a communication strategy has been agreed for the community and service providers.

### 3 What part of the plan does this feed into

Use in Section 3.3 onwards on each of the goals, section 6 on the action plan and the annexed project profiles.

<b>4</b>	<b>Tool/method</b>	Group discussion
<b>5</b>	<b>Timing</b>	2-3 hours
<b>6</b>	<b>Facilitators</b>	Core facilitation team
<b>7</b>	<b>Participants</b>	Broader group

### 8 Process

- 8.1 Councillor presents a summary of the community plan and what the community has done so far against its action plan.
- 8.2 The Council confirms what has been agreed to support at this stage, and what has not been agreed.
- 8.3 The group then discusses this, makes any suggestions for how to deal with projects/activities which have not been agreed to support, whether to drop them, take them to someone else, adopt a different approach etc.
- 8.4 The community discusses how to give feedback on the plan and the agreed activities to a broad range of community stakeholders.
- 8.5 The community updates the 3 month action plan for the community.

What we need to do in the next 3 months	Who will do it?	When?
1.		
2.		
3.		
4.		
5.		
6.		
7.		

### 9 Resources needed

Matrix for action plan

**10 Comments/tips**

As facilitators, you need to be prepared to deal with the feedback on the plan from the Council. The community may feel frustrated if some of their key priorities have not been selected for funding. Remember to review the service providers with the community (Section 2.3) to explore other avenues for sourcing funds, and be prepared to scale down proposals in order to capitalise on funding opportunities.

Communicating the plan to a broader range of community stakeholders could be in the form of drama, radio, local language summaries/posters for example. Even a simple flip chart displayed in the community social hall can help keep the community updated about the contents of the plan or progress in implementation.

## EVENT 19 REGULAR MONITORING MEETINGS

### 1 Background

Once the plan is in place, the community together with technical and/or political staff from the ward/district/municipality should regularly review the plan. This could happen on a quarterly basis, and more frequently if there is an intensive period of plan implementation.

### 2 Objective

To review progress in plan implementation

### 3 What part of the plan does this feed into

Section 4 Implementing the plan

4	<b>Tool/method</b>	Group discussion
5	<b>Timing</b>	1-2 hours
6	<b>Facilitators</b>	Community and local authority facilitators
7	<b>Participants</b>	Broad community meeting and/or subgroups (such as Ward Committee)

### 8 Process

- 8.1 Review the implementation matrices in Section 4 of the community plan against the progress made.
- 8.2 Identify any constraints or emerging opportunities
- 8.3 Update the 3 month action plan for the community.

What we need to do in the next 3 months	Who will do it?	When?
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		

### 9 Resources needed

Matrix for action plan

### 10 Comments/tips

Monthly monitoring meetings may be appropriate after the plan has been developed as a way of mobilising people around plan implementation and holding people accountable for progress.

Minutes of the regular monitoring meetings should be kept. These will assist in developing a more realistic plan in the next annual planning cycle.