



**Republic of Uganda
Ministry of Local Government**

**Harmonized Participatory Planning Guide
for Lower Local Governments**

August 2003

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Foreword

The Harmonized Participatory Planning Guideline for Lower Local Governments has been developed by the Ministry of Local Government to assist Lower Local Governments improve their planning capabilities. The long-term objective is to facilitate Lower Local Governments to enhance service delivery through the formulation, implementation and monitoring of comprehensive and integrated development plans tailored to the respective needs of the respective Local Governments.

The Harmonized Participatory Planning Guide for Lower Local Governments gives the background and guiding principles, elaborates planning steps and processes, summarizes the planning responsibilities and provides the format for the LLG comprehensive and rolling development plans. The Guide is intended to be used by the members of the Technical Planning Committees in Lower and Higher Local Governments, Investment Committees, elected officials in LLGs, NGOs and the private sector who are engaged in the planning, implementation, management and monitoring of development programmes in Lower Local Governments.

The Ministry has developed this guide in close consultation and collaboration with various stakeholders including Line Ministries, NGOs and members of the private sector. The guide was developed based on practical experiences gained through the implementation of planning processes in LGs especially under the Investment Planning Guide and the draft HPPG issued by the MoLG in 1998 and 2001 respectively as well as the various approaches by NGOs and donors.

I would like to express our sincere gratitude and appreciation to DFID and UNCDF who have provided financial support during the preparation and publication of the Harmonized Participatory Planning Guide. Further appreciation goes to the staff of the Ministry of Local Government, Ministry of Gender Labour and Social Development, Office of the Prime Minister, all donors, NGOs and Mentor Consult Ltd that have actively participated in the review of this guide. It is my sincere hope and belief that the guide will be maximally used in a bid to enhance rational allocation of resources in the planning processes to meet the demands of the constituents especially the marginalized categories.

V.B. Ssekkonno
PERMANENT SECRETARY
MINISTRY OF LOCAL GOVERNMENT

Abbreviations

AIDS	Acquired Immune Deficiency Syndrome
BFP	Budget Framework Paper
CBOs	Community Based Organizations
CFs	Community Facilitators
CDOs	Community Development Officers
DDP	District Development Project – Pilot
FDS	Fiscal Decentralization Strategy
FY	Financial Year
GoU	Government of Uganda
HLG	Higher Local Government
HPPG	Harmonized Participatory Planning Guide
IC	Investment Committee
IPFs	Indicative Planning Figures
IPG	Investment Planning Guide
LGDP	Local Government Development Programme
LGs	Local Governments
LLCs	Lower Local Councils
LLG	Lower Local Government
MGLSD	Ministry of Gender, Labour and Social Development
MoLG	Ministry of Local Government
NGO	Non-Government Organization
OPM	Office of the Prime Minister
PDCs	Parish Development Committees
PMA	Plan for Modernization of Agriculture
PMCs	Project Management Committees
PTA	Parents Teachers Association
RCs	Resistance Councils
SMC	School Management Committee
SWOT	Strengths, Weaknesses, Opportunities and Threats
SMART	Specific, Measurable, Achievable, Realistic and Time Bound
TPCs	Technical Planning Committees
UNCDF	United Nations Capital Development Fund
UNDP	United Nations Development Programme

1 INTRODUCTION

1.1 Background

The 1993 Local Governments (Resistance Councils) statute provided for the transfer of powers and resources to Local Governments. The Constitution of Uganda (1995) – Article 176 and the Local Governments Act (LG Act) - 1997 further entrenched the principles of decentralization by empowering Local Governments (LGs) with responsibilities for the allocation of public resources, for integrated participatory planning, budgeting and investment management. The Government of Uganda (GoU) adopted decentralization as the main strategy for improving delivery, accessibility and sustainability of public goods and services and for poverty eradication.

One of the decentralized functions is development planning. The Local Governments Act 1997 section 36 (3) stipulates that ‘ .. lower level Local Governments shall prepare plans incorporating plans of lower Councils in the respective areas of jurisdiction’ The plans of lower level Local Governments should be incorporated in the comprehensive and integrated development plans prepared by the District Councils.

GoU with support from United Nations Capital Development Fund (UNCDF) and United Nations Development Programme (UNDP) under the District Development Project – Pilot (DDP) issued the Investment Planning Guide (IPG) in 1998 to support the Lower Local Councils (LLCs) in executing their planning functions in the then 5 Pilot Districts¹. Until March 2002, the IPG was used countrywide under the Local Government Development Programme (LGDP). At the same time, a number of practitioners including Non Governmental Organizations (NGOs), bilateral agencies and Government Programmes were using other participatory planning guidelines in the Local Governments (LLGs) and LLCs.

During a number of studies and reviews including among others the Mid-term review of DDP-Pilot (January – February 2001), annual assessment of minimum conditions and performance measures, Fiscal Decentralization Strategy (FDS) – the Way Forward study, Plan for Modernization of Agriculture (PMA) - Non Sectoral Conditional Grant Study, a number of gaps in development planning were identified especially in LLGs. Among others, the gaps included insufficient linkage between ‘vision based’ for long term and ‘needs based’ for short term planning, insufficient arrangements for inclusion of the marginalized sections of the community in planning, and inadequate guidelines for ensuring that gender, poverty and environmental concerns are addressed.

In May 2001, the Ministry of Local Government (MoLG) in association with CARE Uganda, and PMA commissioned a study to document case studies on participatory planning and budgeting in the country. The lessons from these case studies were used to develop a draft Harmonized Participatory Planning Guide (HPPG) for use by the LGs in November 2001. The HPPG was drafted by among others MoLG, Office of the Prime

¹ The five DDP-Pilot districts were Arua, Jinja, Kabale, Kotido and Mukono.

Minister (OPM), Ministry of Gender Labor and Social Development (MGLSD) and CARE Uganda. The draft HPPG was published and issued out to LGs in March 2002.

The draft HPPG was pre-tested by the LGs, throughout the planning cycle 2002/03. The lessons from the pre-testing were captured and used to review and produce the refined HPPG for Lower Local Governments for national wide use.

1.2 How to Use the HPPG for LLGs

The HPPG for LLG outlines the background to participatory development planning in LLGs, describes the planning steps and processes, and provides a three-year development plan format.

Notwithstanding the above, the HPPG is not intended to prescribe the specific planning approaches LLG should use but rather provides the framework and indicative approaches LLGs can select from to prepare comprehensive and rolling three-year development plans. Each LLG is therefore expected to customize the proposed approaches to its particular situation.

The HPPG for LLGs should be used in consultation with the HPPG for parishes/wards, the standardized training materials related to development planning, the District Planning Guidelines, Capacity Building Guidelines and other planning related guidelines. In this Guide some of the key cross-references have been indicated.

1.3 Guiding Principles

The key principles that underlie the Harmonized Participatory Planning Guide for Lower Local Governments include:

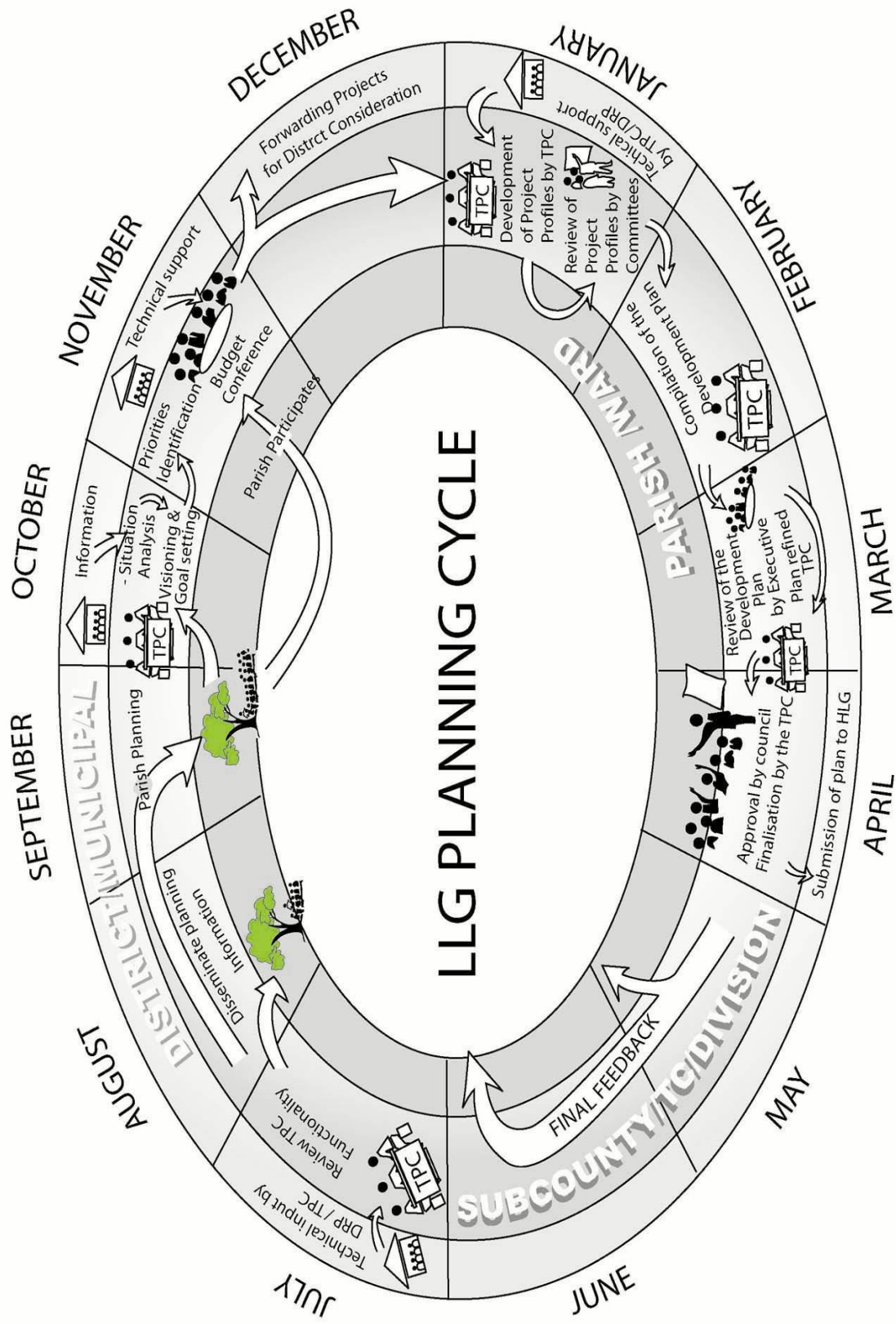
- a) Consideration and incorporation of the results of the participatory planning processes in lower local councils that includes the marginalized categories in planning;
- b) Involvement of a wide range of stakeholders in the planning process including technical staff, elected leaders, NGOs/CBOs, the private sector etc.
- c) Planning should promote mutual accountability between the members of the public, elected and appointed officers.
- d) The plans must be realistic in terms of addressing the identified LG challenges and in light of the existing resources (human, time, material and financial).
- e) The planning process should not be a one off exercise but rather continuous hence the concept of the “three – year rolling” development plans.

- f) The planning process should be holistic incorporating all sectors and plans of NGOs/CBOs in the LLG hence the concept of “integrated and comprehensive” development plans.
- g) The planning process and cycle at LLG level should be in harmony with planning processes and activities at HLG level (including municipalities).
- h) The planning process should build more on the vision, strength and opportunities than needs to address the LGs obstacles and challenges.

2 SUMMARY PLANNING STEPS

The planning schedule is made as per the LG planning cycle to allow the LLG incorporate the plans of the parishes/wards as well as the plans of the LLG being integrated into those of the districts/municipalities. Whereas the planning cycle and steps cover the whole financial year, it does not imply that the LLGs have to solely be preoccupied with development planning hence a need to ensure that time is left for implementation, management, monitoring as well as execution of the routine LG and sector specific functions.

Timing	Steps
July	Review Technical Planning Committee (TPC) Functionality
August	Dissemination of Planning Information for Parishes/Wards
September	Support to Village/Parish Level Planning
October	Situation Analysis at LLG level
October	Discussion and Prioritization of LLG Challenges/Obstacles and Opportunities (LLG SWOT analysis)
October	LLG Visioning and Goal Setting
November	Identification of LLG investment priorities
November	Budget Conference
December	Forwarding projects for district/municipal consideration
January	Development of the project profiles
January/February	Review of project profiles by Standing Committees
February	Compilation of the draft Comprehensive Development Plan
March	Review of the Draft Comprehensive Plan by the Executive
March	Refinement of the Draft Comprehensive Plan by the TPC
April	Discussion and approval of the Comprehensive Plan by the Council
April	Finalization of the Comprehensive Development Plan
April	Submit the Approved Comprehensive Development Plan to the HLG
May/June	Final feedback to the LLCs (parish/wards and villages/cells).



3 DESCRIPTION OF THE PLANNING STEPS

3.1 Step 1: Review Technical Planning Committee (TPC) Functionality

Timing:

At the beginning of each of the financial years (July)

Purpose:

Each TPC² is required to review its functionality in the previous FY and devise strategies for performance improvement. The process will also provide an opportunity to the TPC to discuss and agree on the modalities of the planning processes. In addition the TPC identifies the skills, knowledge as well as systems gaps and the required support to be incorporated in the LG comprehensive capacity building plans.

Facilitators:

This activity should be an internal organizational review facilitated by the TPC with the Sub-county Chief/Town Clerk as the Chairperson and one technical staff as secretariat (planning focal point person). It is proposed that the Community Development Officers (CDOs) where they exist be the planning focal point persons. The LLG should also seek for technical support from the Higher Local Government (HLG) resource pools.

Nature of information/inputs:

- a. Minutes of TPC meetings;
- b. Staff performance appraisal reports;
- c. Mentoring and monitoring reports by the district/municipality to the LLG and the LLG to LLCs

Approach/Methods:

- a. The TPC meets and reviews (through among others reference to minutes of the previous FY) its performance in regard to:
 - i. Frequency of meetings (at least monthly),
 - ii. Attendance of meetings (technical staff and technical people co-opted by the Sub-county Chief/Town Clerk),
 - iii. Relevance of issues discussed (like production of comprehensive three year development plan, facilitation of planning processes at lower local councils, implementation, management and monitoring of projects etc.),
 - iv. Quality and storage of minutes;
- b. The TPC also discusses its competencies and opportunities;
- c. The TPC identifies capacity gaps/challenges (in terms of skills, tools and systems including coordination of the development planning process – performance of the focal point person) for integration into the LG comprehensive capacity building plan
- d. Support and mentoring of lower local councils;

² The TPC is chaired by the Sub-county Chief/Town Clerk and consists of departmental staff and members co-opted by the Sub-county Chief/Town Clerk.

- e. The TPC also reviews the capacity of its members to facilitate participatory processes as well as work organization to ensure facilitation of planning without compromising routine functions³.
- f. The TPC identifies support to be received from the district/municipality and internal administrative changes to improve its performance.

Output:

The output of the activity is a TPC functional review report (refer to format 1)

3.2 Step 2: Dissemination of Planning Information for Parishes/Wards

Timing:

This activity should be undertaken in August of each financial year.

Purpose:

To up-date the lower local councils about the achievements of the LLGs in the previous FY and to allow the lower local councils to start preparing for the planning process in advance. The TPC members should also use the opportunity to arrange parish level planning meetings. Care should be taken to ensure that all the community members especially the opinion leaders as well as the vulnerable groups are informed of the anticipated planning processes.

Facilitators:

The LLG technical planning committees should conduct this activity (Sub-county Chief, CDO, Other technical staff, Community Facilitators and NGO staff).

Nature of information:

The TPC disseminates the HPPG for lower local councils to all parishes/villages and indicative dates of when the planning meetings will be held in each of the parishes/wards. In addition the TPC publicizes Indicative Planning Figures (IPFs) based on the actual releases of the previous FY and information about other resources.

Approach/Methods:

The TPC members make announcements in the LLG Council meetings, distribute copies of the HPPG for lower local councils and organize meetings at parish level to explain the planning processes. Information inviting parish/ward and village/cell members should be displayed on notice boards, announced in churches/mosques and other public gatherings.

Output:

The TPC compiles a report on the process used to disseminate the planning information. This will be part of the chapter discussing the approach and process of the development planning process.

³ The planning cycle covers the whole financial year hence the need for the TPC to formulate a work organisation strategy to ensure that other activities regarding project implementation, management, monitoring and evaluation as well as the routine functions are not compromised.

3.3 Step 3: Support to Parish/Ward Level Planning

Timing:

The activity should be undertaken in September

Purpose:

The TPC members facilitate the parishes to formulate parish plans.

Facilitators:

TPC, Parish Development Committee (PDC), IC members and any available community facilitators. The TPC members should prepare/refresh the local facilitators on the planning processes and methods before the parish planning meetings. It is advisable that the TPC allocates a ‘core facilitator’ per parish who will be responsible for spearheading the compilation of the parish plans (supporting the parish planning task forces). However, the members of the TPC should as much as possible facilitate the parishes/villages with a multi-disciplinary team to ensure addressing of all sector concerns and integrated planning.

Nature of information/materials:

The TPC uses the HPPG for parishes/wards during this process. Specific reference is made to:

- Step 3: Parish level situation analysis
- Step 4: Visioning and goal setting
- Step 5: Developing an action plan

Approach/Methods:

Mainly livelihood/SWOT analysis, mapping, time lines, visioning etc... The detailed guidelines are elaborated in the HPPG for parishes/wards as well as the standardized training materials. Since in most of the cases, the villages will not be directly consulted, there is need to ensure broad representation of all categories of people in the community as well as their active participation in the planning process.

Output:

The main output of this activity is the Parish plans. The content of the parish plan is elaborated in HPPG for parishes/wards but broadly include parish/ward situation analysis, review previous performance, parish vision, priorities/projects and budgets. The Parish should decide on projects to implement on their own (as community projects) and those to be forwarded to the sub-county/town council and divisions for consideration.

3.4 Step 4: Situation Analysis at LLG level

Timing:

The situation analysis should be undertaken in the month of October.

Purpose:

To establish the current situation per sector and per parish including service coverage levels, poverty and livelihood issues and trends for the different poverty categories and parishes (poverty pockets) and environmental issues. This will also include review of previous performance and interventions by NGOs/CBOs, private sector and any other stakeholder.

Facilitators/Responsible:

The facilitators will mainly be the TPC at the Sub-county level. Each of the extension staff will be in charge of the respective sectors. For the sectors that are not represented in the LLG, they should seek technical guidance from the HLG. The HLG will offer hands-on support and information during the exercise.

Nature of information/Inputs

- a) Parish Plans and record books
- b) Previous performance by the LGs and NGOs/CBOs
- c) Consultations with service providers (schools, health units etc.);
- d) Review of secondary data
- e) Sector information from the district

Approach/Methods:

- a) Synthesize parish level livelihood and trend analysis data,
- b) Refer to the village record books where they exist
- c) Refer to secondary data and reports
- d) Hold discussions with NGOs and private sector with interventions in the Sub-county.
- e) Refer to sector specific information from the district.

Output:

Situation analysis and review of previous performance sections of the Development Plan

3.5 Step 5: LLG SWOT analysis

Timing:

The LLG SWOT analysis should be conducted in October as an integral part of the situation analysis.

Purpose:

The purpose is for the LLG to identify and analyze its strengths and opportunities (LG resource endowments and potentials – human, financial and material) as well as weaknesses and threats (core challenges) as the basis for designing appropriate strategies.

Facilitators:

The SWOT analysis should be facilitated by the TPC with support from the District Resource Pool.

Information/inputs

- a) LLG situation analysis
- b) Review of TPC functionality
- c) Parish Plans

Approach/Methods:

- a) TPC brainstorms on LLG Strengths, Weaknesses, Opportunities and Threats.
- b) TPC identified the SWOT elements that are drivers of change either positive or negative
- c) For each of the major weaknesses and threats discusses the possible causes and potential strategies of addressing them
- d) For each of the major strengths and opportunities, discusses on how they can be exploited to improve LLG performance and service delivery obligations – start the process of designing strategies.

Output:

SWOT analysis report to be incorporated in the development plan.

3.6 Step 6: LLG Visioning and Goal Setting

Timing:

The initial visioning exercise at LLG level will be undertaken in October.

Purpose:

The purpose of this step is to get a vision for the LLG, its development goals and objectives.

Facilitators/Responsible:

The responsibility for LLG visioning lies with the TPC. The TPC may seek technical backstopping and support from the District/Municipal Resource Pools.

Information/Inputs

LLG situation analysis data (including SWOT analysis)

Approach/Methods:

- a) The LLG reviews the results of the situation analysis
- b) Based on the results of the situation analysis, the TPC brainstorms on the anticipated situation of the LG – get ideas on the vision
- c) The TPC discusses the ideas gathered during the brainstorming process and drafts a LLG Vision – where does the LLG want to be in the next three years
- d) The TPC discusses the goals that need to be attained in order to achieve the vision. The goals should not only be infrastructure but should address all the challenges identified in the LLG;
- e) The TPC also discusses what needs to be done in order to attain the development goals – objectives.

- f) There should be a vertical logical linkage between the objectives, development goals and vision.

Output:

Draft LLG Vision, development goals and objectives.

3.7 Step 7: Identification of LLG Investment Priorities

Timing:

The draft LLG investment priorities will be identified in the month of November.

Purpose:

The purpose is to identify the indicative Sub-county investment priorities for the next three years. The investment priorities should be both in terms of physical investments as well as other activities that can address the identified challenges. Note that there is also need to identify supporting the planning process as a priority to ensure that it is planned for, allocated a budget and institutionalized.

Facilitators/Responsible:

TPC in liaison with the IC

Nature of information:

- a) Situation analysis report
- b) LLG SWOT analysis
- c) LLG Vision,
- d) Goals and Objectives,
- e) The publicized IPFs from the District as well as locally generated revenue and resources – in order to make balanced budgets.

Approach/Methods:

- a) The TPC reviews the results of the lower local council planning process, situation analysis (including SWOT).
- b) The TPC identifies investment priorities that can be used to address the challenges and/or building on the existing opportunities
- c) The TPC prioritizes the investments to be implemented in the first year giving emphasis to those directly addressing poverty and empowering the poor.
- d) Prioritization of investments can be done using ranking techniques for example pair-wise ranking, preference ranking and direct matrix ranking (for detailed guidelines refer to the standardized training materials).
- e) The TPC appraises the prioritized investments. The appraisal criteria will include but not limited to:
 - Number and proportion of the beneficiaries,
 - Benefits to the vulnerable members of the community ('poor', the aged, people living with HIV/AIDS, children, women, people with disabilities, refugees, youth etc..),

- Ability of the sub-county to meet the recurrent cost implications (sub-county projects) – ability of the sub-county to meet the operation and maintenance costs/requirements
 - Social acceptability (suited to the norms of the community)
 - Technical feasibility (suited to the physical characteristics, addressing a felt need)
 - Availability of the resources (funds, local materials, skilled and unskilled labor) to implement the project (balanced budget)
 - In an urban area, is the project in line with the physical development plan?
- i) The TPC identifies projects to be submitted to the district for consideration – district projects.

Output:

Draft investment priority list – not per sector but as per problem statement. Also proposed projects for forwarding to the district.

3.8 Step 8: Budget Conference

Timing:

The Budget Conference should be held in November of each FY. Information from the budget conferences will be integrated in the BFP processes.

Purpose:

To get wider stakeholders input into the planning process.

Facilitators/Responsible:

TPC (with support from the District Resource Pool)

Nature of information/input:

- a) Results of parish level planning meetings,
- b) Results of the situation analysis and
- c) Draft investment priority list.

Approach/Methods:

- a) The TPC updates the stakeholders in the LLG in a plenary (councilors, ICs, NGOs, PDC members etc..) on the results of the situation analysis, performance review, LLG visioning, development goals, objectives, obstacles, opportunities and proposed investment priorities (including basis for prioritization).
- b) The stakeholders discuss the presentation and make comments. The discussion can be in plenary or in group discussions depending on the situation.
- c) The stakeholders confirm priority investments for which project profiles should be developed and those to be forwarded to the District for consideration.

Output:

Updated situation analysis and agreed sub-county investment priority lists including those to be addressed in the first year and indications for the next two years. Also agreed investment priorities to be forwarded to the district for consideration.

3.9 Step 9: Forwarding Projects for District Consideration

Timing:

This will be done by December

Purpose:

To allow the district consider investment proposals/priorities from the LLGs.

Facilitators/Responsible:

Sub-county Chief/Town Clerk and Planning Focal Point Person.

Information/Input

The information needed are investment priorities to be forwarded to the district for consideration. These will be both infrastructure to the development plan and those addressing functional gaps (skills, knowledge and attitudes) as well as systems and procedures for the capacity building plan.

Approach/Methods:

- a) From the Budget conference, the Sub-county Chief/Town Clerk with support from the Planning focal point person compiles a list of projects proposed to be submitted to the District/Municipality for consideration and quotes the resolution and/or minute of the budget conference.
- b) The Sub-county Chief/Town Clerk and Chairperson endorse the list of projects for submission to the District/Municipality and the transmittal letter.
- c) The Sub-county Chief/Town Clerk submits the list of projects to the District/Municipality (Planning Unit for the development projects and HRD Units for the Capacity Building Projects) through the CAO.
- d) The Planning Unit and/or the HRD Units in writing acknowledge receipt of the list of prioritized investments from the LLG.

Output:

The output will be submitted list of investments to be considered by the District/Municipality from the Sub-county/Town Council/Division. The nature of projects will include those where the district have the responsibility to meet the recurrent cost implications as well as those where it will directly meet the investment/capital costs (like those funded under PAF controlled by the district).

3.10 Step 10: Development of the Project Profiles

Timing:

January of each FY

Purpose:

To get the details of each of the prioritized investments including background, location, objectives, technical description, budget, funding sources, implementation, operation and maintenance and monitoring strategy.

Facilitators/Responsible:

TPC and IC. However, the LLG may get technical input during the project profile stage from either the HLG or from the private sector depending on the complexity of the project.

Information/Input

- a) Prioritized investments
- b) Parish plans and LLG situation analysis reports to get project background, objectives and identification process

Approach

- a) TPC discusses each of the prioritized investment and fills the investment profiles;
- b) TPC with technical support from the HLG or private sector gets the drawings and bills of quantities for the prioritized investments and technical description
- c) TPC conducts a market survey to get the prices of the different activities
- d) TPC reviews the funding available to the LLG and decides how the prioritized investment will be funded;
- e) TPC discusses and agrees on whether the LLG has the capacity to implement, use and manage the prioritized investment (feasibility analysis)
- f) The TPC discusses the implementation arrangements including role definition and distribution – what activities are going to be implemented, who is going to do what, how and when (action planning)
- g) TPC discusses the supervision, monitoring and evaluation arrangements for the project. What is going to be monitored, by whom and using what resources?

Output:

Draft project profiles for all first year investments as per format 2 attached.

3.11 Step 11: Review of Project Profiles by Standing Committees

Timing:

January/February

Purpose:

To ensure that the draft profiles are accurate and comprehensive

Facilitators/Responsible:

Standing Committees – each committee to deal with profiles in the respective sectors. Note that some of the LLGs have very small councils and hence not in position to replicate the standing committees as the case is at the District level. The responsibility for

planning may therefore fall upon the relevant Secretaries of the Executive who will carry out sectoral planning in collaboration with technical staff and co-opted participants.

Nature of information/inputs:

Draft Investment Profiles

Approach/Methods:

Standing Committee meetings and/or the executive

Output:

Revised project profiles

3.12 Step 12: Compilation of the draft Comprehensive Development Plan

Timing:

February of each of the FYs

Purpose:

To put together all the inputs from the planning processes in one document

Facilitators:

TPC/Planning Focal Point Person

Nature of information:

All inputs from the previous processes hence situation analysis at LLG level, SWOT analysis, LLG Visioning and goal setting, identification of priorities, project profiles etc.. as per the proposed format.

Approach/Methods

- a) TPC members are allocated different sections of the development plan to draft
- b) The Planning Focal Point Person merges and compiles the development plan into one document
- c) The Planning Focal Point Person checks for consistence, logical flow and comprehensiveness of all sections of the draft development plan
- d) The draft development plan is word processed/typed. In case the LLG has no word processing facilities, the TPC may use the services of the District Planning Unit or a private firm/individual⁴.
- e) The TPC reviews the word processed draft development plan and make the necessary corrections.

Output:

Draft Development plan

⁴ It is proposed that the development plan is word-processed using computers to allow for easy making of corrections and up dating during the process of rolling the plan in the coming financial year.

3.13 Step 13: Review of the Draft Comprehensive Plan by the Executive

Timing:

The Executive will review the draft comprehensive plan by March

Purpose:

The purpose for this step is for the Executive to review and incorporate more ideas in the draft comprehensive development plan.

Facilitators:

The LLG Executive (with the Sub-county Chief/Town Clerk as the Secretary)

Nature of information:

The draft comprehensive development plan

Approach/Methods:

Discussion during the Executive Meeting

Output:

Comments on the draft comprehensive development plan.

3.14 Step 14: Refinement of the Draft Comprehensive Plan by the TPC

Timing:

The draft comprehensive development plan to be refined in March

Purpose:

To incorporate the comments made by the Executive

Facilitators:

The TPC

Nature of information:

Comments made by the Executive on the draft comprehensive development plan

Approach/Methods:

- a) TPC meeting to discuss and agree on incorporation of the comments;
- b) The comments are incorporated in the soft copy of the draft development plan

Output:

Refined Comprehensive development plan.

3.15 Step 15: Discussion and approval of the draft development plan

Timing:

The LLG council meeting to discuss and approve the three-year comprehensive development plan should be held in April.

Purpose:

The purpose of this step is to get full council inputs and approval of the development plan as provided for in the law.

Facilitators:

Sub-county Chief/Town Clerk and Council Speaker

Nature of information/inputs:

Draft three-year comprehensive development plan

Approach/Methods:

- a) The Sub-county Chief/Town Clerk issues out draft three-year comprehensive development plan to all the council members for review at least one week before the council meeting.
- b) The Sub-county Chief/Town Clerk presents the draft three-year comprehensive development plan to the council
- c) The council members discuss, make comments and recommendations to the presented draft three-year comprehensive development plan
- d) The council resolves to approve or approve with amendments the presented draft three-year comprehensive development plan and the council resolution should be written in the council minutes.

Output:

Approved Development Plan – The council minutes should contain a resolution to approve or approve with amendments the draft three-year comprehensive development plan.

3.16 Step 16: Finalization of the Comprehensive Development Plan

Timing:

After the discussion and approval of the three-year comprehensive development plan, all the amendments should be made and finalized by April

Purpose:

The purpose is to incorporate all the comments and changes on the three-year comprehensive development plan

Facilitators:

The changes on the three-year comprehensive development plan should be made by the TPC.

Information/Inputs

Comments made by the LLG council on the development plan

Approach/Methods:

- a) The Sub-county Chief/Town Clerk assisted by the planning focal point person writes all the comments made on the draft three-year comprehensive development plan during council meeting – under the council minutes.
- b) The TPC (Planning focal point person) incorporates the council comments into the draft three-year comprehensive development plan
- c) The revised three-year comprehensive development plan is reviewed by the Chairman and Sub-county Chief/Town Clerk to ensure that all the recommended changes have been made
- d) The Chairman and Sub-county Chief/Town Clerk endorse the three-year comprehensive development plan.

Output:

An approved three-year comprehensive development plan endorsed by the Chairman and Sub-county Chief/Town Clerk

3.17 Step 17: Submit the Approved Development Plan to the HLG

Timing

The council approved comprehensive development plan should be submitted to the District/Municipality by April 30.

Purpose:

The purpose of the submission of the council approved comprehensive development plan is for incorporation into the District/Municipal Development Plan. Note that the purpose of submission is neither to approve nor to amend the LLG approved plan by the district/municipality as this will conflict with the decentralization principles of non-subordination.

Facilitators:

The Sub-county Chief/Town Clerk should submit the council approved comprehensive development plan to the District/Municipality.

Nature of information:

The council approved three-year comprehensive development plan

Approach/Methods:

- a) The Sub-county Chief/Town Clerk submits a hard copy and soft copy of the three-year comprehensive development plan to the District/Municipality Planning Unit with a transmittal letter
- b) The District Planner acknowledges in writing receipt of the submitted three-year comprehensive development plan

3.18 Step 18: Feedback to the LLG and LLCs

Timing:

The feedback to the LLGs and LLCs should be given during the month of May/June

Purpose:

To communicate approved projects and details of implementation and to start preparing for implementation

Facilitators:

LLG TPC

Nature of information:

Approved projects and details of implementation

Approach/Methods:

Publicize information during council meetings and on the notice boards

Outputs:

The constituents aware of the plans and their obligations

4 SUMMARY OF PLANNING RESPONSIBILITIES

The planning responsibilities of all the key stakeholders involved in the planning process are detailed in the planning steps and process above. Here below is an overview of the major institutions and planning responsibilities. Note that some of the individual stakeholders belong to a number of institutions hence the reinforcing overlap in their responsibilities.

Institution	Major Planning Responsibilities
Sub-county, Town Council and Municipal Division Council	1 Participate in the budget conference 2 Discussion and approval of the three-year comprehensive and rolling development plan
Sub-county, Town Council and Municipal Division Chairperson	1 Endorse the council approved three-year comprehensive development plan.
The Executive	1 Review the draft comprehensive development plan
The Standing Committees	1 Discuss and review the draft project profiles

Institution	Major Planning Responsibilities
Technical Planning Committee (TPC)	<ol style="list-style-type: none">1 Review the TPC functionality in the previous FY2 Discuss and agree on the modalities for the planning process;3 Disseminate the planning information to the parishes/wards;4 Facilitate the parishes and wards to formulate parish plans;5 Facilitate and/or refresh the local facilitators on the planning process and methods;6 Conduct situation analysis and SWOT at the LLG level;7 Initial brainstorming on the LLG vision, goals and objectives;8 Identification of investment priorities;9 Appraisal of prioritized investments;10 Identification of projects to be forwarded to the district/municipality for consideration;11 Facilitating the budget conference;12 Development of the investment profiles;13 Compilation of the draft comprehensive development plan;14 Refinement of the draft comprehensive development plan after the review by the Executive;15 Finalization of the comprehensive development plan after council approval;16 Give feedback to the LLGs and parishes/wards about the results of the planning process.
Sub-county Chief/Town Clerk	<ol style="list-style-type: none">1 Forward projects to the HLG for consideration2 Distribute and present the draft comprehensive development plan to council3 Endorse the three year comprehensive development plan after council approval4 Submit the approved development plan to the HLG for incorporation.
IC	<ol style="list-style-type: none">1 Participate in facilitating planning meetings in parishes/wards;2 Participate in identification of LLG investment priorities;3 Participate in the budget conference;4 Liaise with the TPC during the formulation of project profiles.
NGOs	<ol style="list-style-type: none">1 Participate in all TPC activities (after being co-opted by the Sub-county Chief/Town Clerk)2 Provide information about their ongoing and planned interventions to the TPC for integration in the development plans
Private Sector	<ol style="list-style-type: none">1 Participate in the budget conference2 Participate in the formulation of investment profiles;

Institution	Major Planning Responsibilities
Lower Local Councils (PDCs, CFs etc..)	<ol style="list-style-type: none">1 Participate in parish/ward level planning meetings2 Participate in the budget conference;3 Participate in the feedback sessions
District/Municipal Resource Pools	<ol style="list-style-type: none">1 Provide hands on support to the TPC during review of functionality, LLG situation analysis, visioning and goal setting, budget conferences, and formulation of project profiles.
The Planning Unit	<ol style="list-style-type: none">1 Issue Planning Guidelines to the LLGs including IPFs;2 Acknowledges receipt of the list of prioritized investments from LLGs for consideration;3 Acknowledges receipt of the approved three year comprehensive development plans of LLGs for incorporation.

5 PROPOSED FORMAT FOR THE LLG COMPREHENSIVE AND ROLLING DEVELOPMENT PLAN

- i. Cover Page (Name of the LG, Planning Period)
- ii. Table of Contents (Major Chapters and sections indicating page numbers)
- iii. Foreword (Summary of the major previous achievements, planning process, goals of the plans, LG commitment and expected outcome – to be signed by the Chairperson)
- iv. Acknowledgement (Mention key individuals and organizations that have contributed to the preparation of the development plan – to be signed by the Sub-county Chief/Town Clerk)
- v. Executive Summary (Summary of main achievements in the previous plan, key obstacles, opportunities, priorities/investment projects and the budget to be implemented by the LLG and those forwarded to the HLG for consideration)

1 Introduction

1.1 Background to the LLG - Geographical location of the LG, size, history, demographic information/population disaggregated by sex and age groups, administrative units/number and names of the parishes, natural resources, historical and cultural highlights, etc..

1.2 Development Planning Process - Description of the steps through which the LLG formulated its development plan and major challenges and lessons learnt during the process. Also include how the LLG supported the participatory planning process in parishes/wards, the technical support received from the district/municipality etc..

2 Situation Analysis

Sector	Indicative Information
Management Support Services	<ul style="list-style-type: none">• Review of previous performance including description of the existing development partners (like NGOs/CBOs)• Number of filled and vacant positions and qualifications (staffing situation);• LLG buildings – existence and condition for both office and residences.• Tools and equipment
Finance and Planning	<ul style="list-style-type: none">• Review of previous performance including description of the existing development partners (like NGOs/CBOs)• Main sources of income by the population• Revenue trends – local (Total number of tax payers and other local revenue sources), government transfers and NGO support

Sector	Indicative Information
	<ul style="list-style-type: none">• Expenditure patterns – recurrent and capital for at least the last three years.• Planning capacities and constraints
Education and Sports	<ul style="list-style-type: none">• Review of previous performance including description of the existing development partners (like NGOs/CBOs)• School enrolment figures disaggregated by sex• Number and type of schools and other education institutions,• Classroom: pupil ratio (consider permanent and temporary classrooms)• Teacher: pupil ratio (consider trained and untrained teachers)• Pupil: text book ratio and other teaching materials• Performance of SMCs and PTAs (management structures)• PLE performance• Water and sanitation situation and facilities in education institutions.
Health	<ul style="list-style-type: none">• Review of previous performance including description of the existing development partners (like NGOs/CBOs)• Number and nature of Health Units;• Health personnel,• Private health services including traditional etc..• Disease incidences etc..• Latrine/Sanitation coverage• HIV/AIDS situation
Technical Services (including water)	<ul style="list-style-type: none">• Review of previous performance including description of the existing development partners (like NGOs/CBOs)• Km of community roads in good and bad condition• Number of bridges made and not made• Water sources protected (technology options) and not protected• Protected water sources functioning and not functioning (and why)• General communication facilities
Community Based Services	<ul style="list-style-type: none">• Review of previous performance including description of the existing development partners (like NGOs/CBOs)• Status of vulnerable groups like children, people living with HIV/AIDS, the elderly, people with disabilities, displaced persons etc..• Parishes/villages that are more affected with poverty and underlying factors (poverty pockets)
Production and Marketing	<ul style="list-style-type: none">• Review of previous performance including description of the existing development partners (like NGOs/CBOs)• Main crops grown (both food and cash crops)• Main livestock kept• Crop and livestock production levels and challenges

Sector	Indicative Information
	<ul style="list-style-type: none"> • Farmers accessing advisory services • Accessibility to markets • Price levels and price fluctuation
Environmental Issues	<ul style="list-style-type: none"> • Review of previous performance including description of the existing development partners (like NGOs/CBOs) • Nature and state of vegetation (including forestry) • Nature and state of water resources in terms of both quantity and quality (swamps, lakes, rivers etc..) • Any activities polluting the environment (including air and water resources)
Council performance	<ul style="list-style-type: none"> • Review of previous performance including description of the existing development partners (like NGOs/CBOs) • Number of meetings of council and attendance • Decisions made and/or pending

3 Major Obstacles and Opportunities (SWOT Analysis)

4 LLG Vision, Goals, Objectives and Activities/Projects

4.1 LLG Vision

4.2 LLG Goals

4.3 LLG Objectives, Activities/Projects

Objective (SMART)	Activities/Projects for Year 1 (details in the Investment Profiles)	Activities/Projects for Year 2	Activities/Projects for Year 3

5 Summary of Investments submitted to the District

The nature of projects submitted to the district/municipality should include both physical/infrastructure for the development plan and skills, knowledge, tools and systems for the capacity building plan.

Project	Sector	Justification

6 The Annual Work Plan

Details to be extracted from the investment profiles and work plans

Project Name	Activities	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
Project 1	Activity 1.1				
	Activity 1.2				
	Activity 1.3				
Project 2	Activity 2.1				
	Activity 2.2				
	Activity 2.3				
Etc..	Etc..				

7 Budget Summary

The details to be included in the budget summary will be extracted from the investment profiles and budgets. The budget figures will also have to be integrated in the annual estimates of revenue and expenditure.

Project Name	Activities	Budget in 1st Quarter	Budget 2nd Quarter	Budget 3rd Quarter	Budget 4th Quarter	Total
Project 1	Activity 1.1					
	Activity 1.2					
	Activity 1.3					
Project 2	Activity 2.1					
	Activity 2.2					
	Activity 2.3					
Total						

8 Supervision, Monitoring and Evaluation Strategies

8.1 Project Specific Supervision and Monitoring Arrangements

Summarize the monitoring arrangements per project from the Investment Profiles

Project Name	Who will Monitor	How will s/he monitor	When will s/he monitor	Remarks

8.2 Overall Monitoring and Evaluation Framework

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Assumptions
Goal			
Objectives			
1.			
2.			
Outputs/Activities			
1.1			
1.2			
2.1			
2.2			

APPENDICES: REPORTING AND MONITORING FORMATS

Format 1: TPC Functional Review Report

- 1 Name of the LG:
- 2 Functional Review Period (indicate the previous FY)
- 3 Functional review process (activities and facilitators)
- 4 Functioning of the TPC in the previous FY

Date of TPC meeting	Members Attended	Summary of Issues discussed

5 TPC SWOT

Strength	Weaknesses
•	•
Opportunities	Threats
•	•

6 Modalities for the planning process

Planning Activity	By Who	When	Resources	Other remarks

7 Strategies to Improve TPC Functionality

This section feeds into the LG comprehensive Capacity Building Plan.

Strategy Description	Source of Support (Internal, from HLG etc..)	Remarks (like necessary resources etc..)

Format 2: Investment Profiles

The details of how to compile the specific sections of the investment profile are elaborated in the standardized training materials.

.....Sub-county/Division/Town CouncilDistrict/Municipality

- 1 Project Name/Title:
- 2 Sector:
- 3 Sub-sector:
- 4 Accounting Code:
- 5 Project status (New or ongoing project??)
- 6 Location of the Project (where will the project be located? – village/cell, ward/parish)
- 7 Background//Rationale (what is the justification for the project – what problems/challenges is it attempting to address?)
- 8 Objectives (Must be Specific, Measurable, Achievable, Realistic and Time Bound - SMART)
- 9 Identification process (how was the project identified)
- 10 Benefits and beneficiaries (include benefits to the vulnerable groups)
- 11 Technical Description
- 12 Implementing Agency/implementation responsibility (who is responsible for what and also indicating whether ‘community project, sub-county project etc..)
- 13 Time frame (start and completion date)
- 14 Total Planned Expenditure
- 15 Funding source
- 16 Funds secured
- 17 Funding gap
- 18 Plan for Operation and Maintenance

19 Recurrent Expenditure: Responsible Institutions and Estimates of Costs

20 Supervision and monitoring arrangements: Who will supervise and monitor the project, when, how and using what resources during the implementation of the project

21 Evaluation of the project: Who, how and when shall we establish whether the project objectives are being achieved

22 The Work Plan Format

Project Name Project Code Project Location

Activity in order of implementation	Target (Output)	Location	Implementers	Time		Activity Indicators	Inputs (Budget)	Source of Funding
				Start	End			

23 The Budget

Project Name Project Code Project Location

Item Description	Unit	Quantity	Unit Cost (UGX)	Total Amount	Source of Funding