



THE REPUBLIC OF
UGANDA

GUIDE TO PARTICIPATORY PLANNING FOR LOWER LOCAL COUNCILS

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List of Abbreviations and Acronyms

CAP	Community Action Plan
CARE	Carry American Relief Everywhere
CBO	Community Based Organisation
CBMIS	Community Based Management Information System
CDA	Community Development Assistant
CDO	Community Development Officer
CSO	Civic Society Organisation
DDP	District Development Project – Pilot or District Development Plan
FY	Fiscal year / financial year
GOU	Government of Uganda
IC	Investment Committee
LC	Local Council
	Village level
	<i>Parish level</i>
	<i>Lower Local Government Level (Town Council, Division, Sub-county)</i>
	<i>County level</i>
	<i>District level</i>
LDG	Local Development Grant
LG	Local Government
LLC	Lower Local Council
LGA	Local Governments Act
LGBFP	Local Government Budget Framework Paper
LGTPC	Local Government Technical Planning Committee
LLG	Lower Local Government
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries
MFPED	Ministry of Finance, Planning and Economic Development
MOGLSD	Ministry of Gender, Labour and Social Development
MIS	Management Information System
MOH	Ministry of Health
MOLG	Ministry of Local Government
MTEF	Medium Term Expenditure Framework
MWHC	Ministry of Works, Housing and Communications
MWLE	Ministry of Water, Lands and Environment
NAADS	National Agriculture Advisory Service
NARO	National Agricultural Research Organisation
NGO	Non-Government Organisation
PDC	Parish Development Committee
PEAP	Poverty Eradication Action Plan
PHC	Primary Health Care
PMA	Plan for Modernisation of Agriculture
PMC	Project Management Committee
PPA	Priority Programme Area
PPMP	Participatory Planning and Management Process
PRA	Participatory Rural Appraisal
PWA	People Living with AIDs
PWD	People with Disabilities
TPC	Technical Planning Committee

CHAPTER ONE

1.1 Introduction

Decentralisation aims to promote effective participation of all stakeholders in the planning and decision making process as the primary avenue for improved service delivery and sustainable development. Participation empowers and strengthens the community to function as an integral unit, promotes economic and sustainable utilisation of scarce resources, and leads to appreciation and strengthening stakeholders' knowledge, skills and confidence.

Local Governments are required by law to formulate three-year rolling development plans. The plans should incorporate priorities and plans of lower Councils. Also, section 50 c) and f) of the Local Governments (Amendment) Act, 1997, mandate Village and Parish executive committees to initiate, encourage, support and participate in self-help projects, mobilise people, materials and technical assistance, and to monitor projects and other activities by Government, Local Government and Non-Governmental Organisations.

The Guide to Participatory Planning and Management for Lower Local Councils has been prepared to provide councils and agencies working in communities with a framework and guidelines that will form the basis for participatory bottom up planning. The guide will also serve as a tool to facilitate local councils review their performance against previous plans.

Harmonisation of planning processes and activities should enhance good working relationship, lead to better consultation among stakeholders, sharing of resources and expertise, rational use of community time and ultimately lead to better co-ordinated plans and ownership of interventions that will enhance service delivery and sustainability at all levels.

The guide targets Lower Council Levels as the prime users and as such separate sections corresponding to the needs of each level have been prepared. It is recommended that competent facilitators be identified to facilitate the process at each level.

1.2 About the Guide

This Guide is divided into five chapters:

1. Chapter One briefly outlines the purpose and content of the guide and provides an overview of planning and the Local Government Planning and Budgeting Cycle.
2. Chapter Two describes the participatory planning and management process
3. Chapter Three outlines the Legal and Institutional Framework for participatory planning
4. Chapter Four outlines briefly how to implement a plan
5. Chapter Five outlines the key activities, processes and expected outputs of the participatory planning process at the various Lower Council levels. It also provides an outline of the relevant guide/tools per activity.
6. Chapter Six outlines the contents of a Lower Local Government Development Plan.

1.3 What is planning?

Planning involves a review of the past, the current situation and basing on the analysis predicts how things should go. It is guided by the following questions:

- Where are we and how did we get there? (in the context of past years)
- What did we plan to do?
- How much of what we planned to carry out has been successfully carried out?
- What has helped to be successful?
- Where have we not been successful?
- Why have we not been successful?
- What can we do in future to address or avoid the hindering factors?
- Who has worked with us and or supported us over the period?
- What resources have we accessed / not accessed over the period?
- Where has the sub-county / division / Town Councils supported projects?
- Where do we want to go?
- How do we get there?
- What do we need to get there?
- Who do we need to work with to get there?
- What time period do we need to get there?
- How shall we know that we are on track?

1.4 Policies, Laws and Institutions in Relation to Lower Local Council Planning

(a) National Policy of Decentralisation

The Local Government system in is based on the policy of decentralisation. Decentralisation is enshrined in the 1995 Constitution of Uganda and further detailed in the 1997 Local Governments Act.

Through the policy, five levels of Local Councils have been created. Each level has statutory functions with respect to participatory development planning.

The District and City Council are the highest level. This is followed by County/Municipal Council; Sub-county/Division/Town Councils, Parish/Ward Councils and village councils.

The District Council; City Council; Municipal Councils; Sub-county Councils; Municipal Division Councils and Town Councils are Local Governments. The County Councils; Parish Councils and Village Councils are administrative units.

Local Government Councils are body corporate and are charged with the responsibility of providing services, which are stipulated in Part II of the Second Schedule of the Local Governments' (Amendment) Act, 1997

The following powers, functions and responsibilities have been devolved to local governments:

- a) The powers to prepare, approve and implement their own development plans based on locally determined priorities;
- b) The powers to prepare, approve and implement their own budgets;
- c) The powers to raise and utilise their own resources according to their own priorities after making legally mandated transfers;
- d) The powers to make ordinances and by laws as long as they do not contradict the Constitution and other national laws;

- e) The powers to hire, manage and fire their own staff;
- f) The powers to manage their own payrolls and separate personnel system.

(b) The Planning and Budgeting Powers of Local Councils

The Local Governments' Act defines the framework for planning and budgeting as follows:

Box 1: LGA Framework for District Planning

36. (3) The District Council shall prepare a comprehensive and integrated development plan incorporating plans of lower level Local Governments for submission to the National Planning Authority, and lower level Local Governments shall prepare plans incorporating plans of lower Local Councils in their areas of jurisdiction.

Box 2: LGA Framework for District Budgeting

78. (1) Local Governments shall have the right and obligation to formulate, approve and execute their budgets and plans, provided the budgets shall be balanced.

(2) Local Governments shall always accord National Priority Programme Areas preferential budget outlays.

(3) If the Local Government Finance Commission becomes aware that a Local Government Council budget significantly detracts from programme priority areas, the Commission shall inform the Council, and the President through the Minister for appropriate action.

(4) The Local Government budget shall reflect all revenues to be collected or received by the Local Government and to be appropriated for each year.

(5) A Local Government budget for the ensuing Financial Year shall always take into account the approved three-year development plan of the Local Government.

Source: LGA (1997)

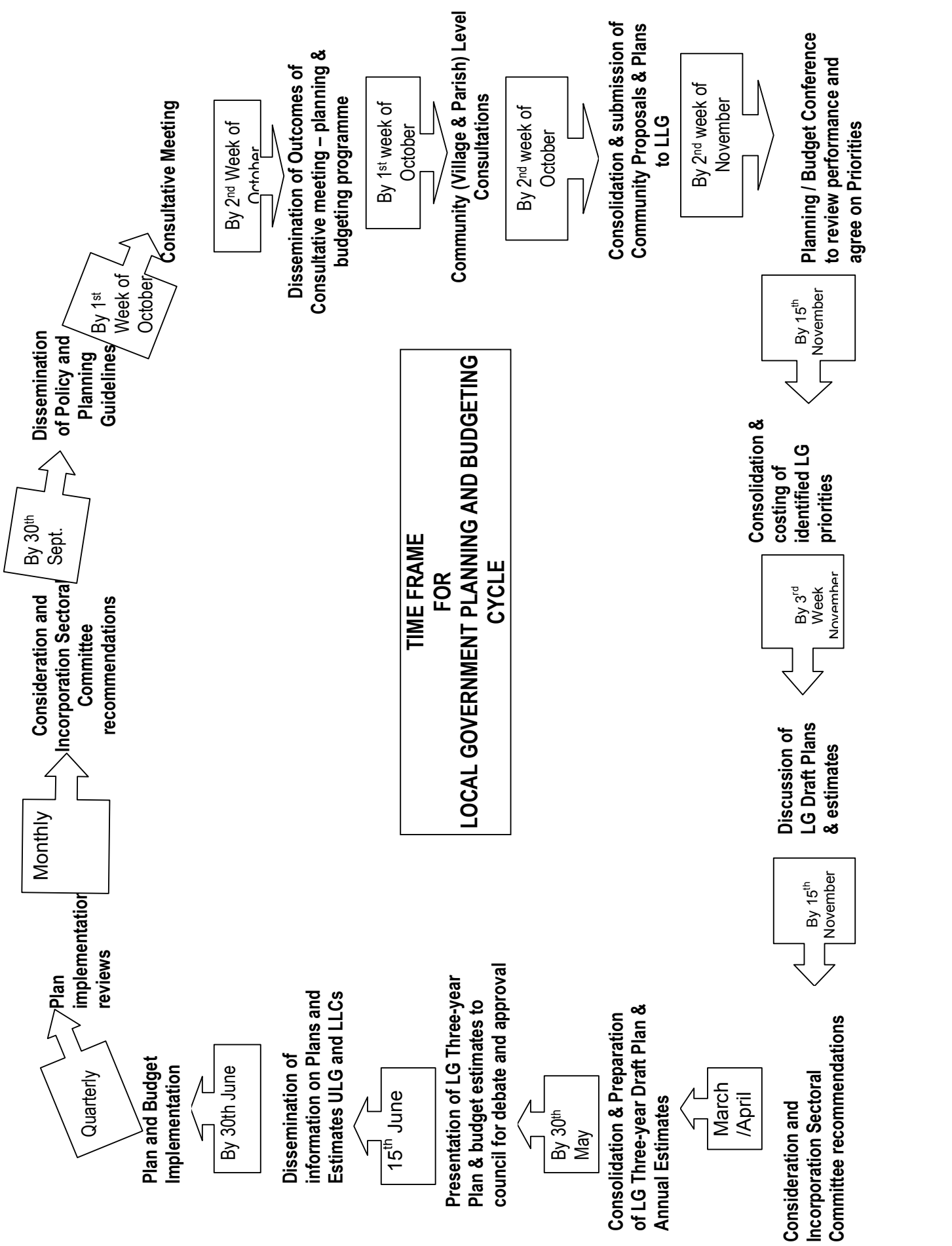
1.5. When do Local Councils plan?

The planning process of local councils is guided by the Local Government Planning and budgeting cycle. The cycle is governed by the Local Government Financial Year which runs from 1st July to 30th June. Local governments are therefore required to have annual work plans and estimates for the forthcoming year approved not later than the 15th June.

District and Lower Local Governments are required to submit their Budget Framework Papers (BFP) to the Ministry of Finance, Planning and Economic Development (MFPED) by the 31st December. This calls for the lower local governments to have submitted their proposals to the Districts much earlier than this. The proposed planning activities and schedule is intended to provide for adequate time for the various levels to plan and submit their plans and proposals to the next level for integration.

The scheduling of planning activities at the lower local council levels should put into consideration the recommended time frame of the overall Local Government planning and budgeting cycle. The table below outlines the Local Government Planning and Budgeting Cycle.

Table I : THE LOWER LOCAL COUNCIL PLANNING AND BUDGETING CYCLE				
Activity	Time Frame	Actors	Expected Output	
1	Dissemination of Policy and Planning Guidelines	MoFPED District	Circulars sent to LLGs Should ensure these reach the LLGs	
2	Consultative Meeting on <ul style="list-style-type: none"> Implications of policy guidelines Planning & Budget process Participation of development partners in the process & Areas of complementarity between Govt and partners Indicative Planning figures by all actors 	By 30 th September	By 1 st Week of October	LLG Executive Committee, LGTPC, Development Partners (CSO,NGOs)
3	Dissemination of Outcomes of Consultative meeting – planning & budgeting programme	By 2 nd Week of October	By 1 st week of October	Sub County Chief / Town Clerk Village Councils Parish Councils
4	Community (Village & Parish) Level Consultations	By 2 nd week of October	By 1 st week of October	Parish Chiefs Parish Council & PDCs
5	Consolidation & submission of Community Proposals & Plans to LLG	By 15 th November	By 15 th November	Council TPC Development Partners
6	Planning / Budget Conference to review performance and agree on Priorities	By 3 rd week November	By 3 rd week November	TPC Secretariat
7	Consolidation & costing of identified LG priorities	By March 15 th	By March 15 th	Sectoral Committees
8	Discussion of LG Draft Plans & estimates	March - April	March - April	Executive Committee
9	Consideration and Incorporation Sectoral Committee recommendations	By 30 th May	By 30 th May	TPC Secretariat
10	Consolidation & Preparation of LG Three-year Draft Plan & Annual Estimates	By 15 th June	By 15 th June	Secretary Finance / Speaker
11	Presentation of LG Three-year Plan & budget estimates to council for debate and approval	By 30 th June	By 30 th June	Sub-county /Town / Division TPC
12	Dissemination of information on Plans and Estimates ULG and LLCs	Continuous / Monthly	Continuous / Monthly	PMCs, LCIII, LC II, I Councils
13	Plan and Budget implementation	Quarterly	Quarterly	Council, CSOs, & TPC
14	Plan implementation reviews			



TIME FRAME FOR LOCAL GOVERNMENT PLANNING AND BUDGETING CYCLE

By 30th Sept.

Consideration and Incorporation Sectoral Committee recommendations

Monthly

Plan implementation reviews

Quarterly

Plan and Budget Implementation

By 30th June

Dissemination of information on Plans and Estimates ULG and LLCs

15th June

Presentation of LG Three-year Plan & budget estimates to council for debate and approval

By 30th May

Consolidation & Preparation of LG Three-year Draft Plan & Annual Estimates

March /April

Consolidation and Incorporation Sectoral Committee recommendations

By 15th November

Discussion of LG Draft Plans & estimates

By 3rd Week November

Consolidation & costing of identified LG priorities

By 15th November

Planning / Budget Conference to review performance and agree on Priorities

By 2nd week of November

Consolidation & submission of Community Proposals & Plans to LLG

By 2nd week of October

Community (Village & Parish) Level Consultations

By 1st week of October

Dissemination of Outcomes of Consultative meeting – planning & budgeting programme

By 2nd Week of October

By 1st Week of October

Dissemination of Policy and Planning Guidelines

Consultative Meeting

1.6 What Follows after Plans Have Been Approved?

a) Feedback to the Lower Local Councils

The Upper councils send back information regarding the proposals that were referred to them, whether they have been approved or not approved. The Sub-county will inform the Parishes and the Parishes in turn inform the villages.

b) Feedback to other Stakeholders

All council levels share the outcomes of the planning and approval process with all other stakeholders. This could be in form of meetings and other forum but must ensure use of an appropriate and official communication channel.

Chapter Two PARTICIPATORY PLANNING AND MANAGEMENT PROCESS

2.1 Overview of Participatory Planning and Management Process

In the past, identification of projects was mainly done by technical officers and or development agencies, with little or no involvement of beneficiaries. However, under decentralisation, emphasis has been put on bottom-up planning. Under the bottom-up planning process, emphasis is put on “community demand driven projects”, and therefore the need for effective participation of beneficiaries at all stages from identification, analysis, planning, implementation, management, monitoring and evaluation of the project.

a) What is Participatory Planning

Participatory planning refers to planning where all stakeholders –beneficiaries, technical staff, donors and policy makers - come together to discuss and agree on an action or strategy. Together they:

- Carry out an analysis of existing situations
- Determine a desired future situation
- Decide on Appropriate action and implementation strategies
- Discuss and agree on roles and responsibilities
- Agree on appropriate time schedules and milestones.

b) Why Participatory Planning?

All stakeholders are called upon to participate in the planning process in order to promote:

- active and collective involvement in decision making
- effective utilisation of locally available resources
- development of consensus on their destiny
- consideration of the interests of different groups
- ownership and sustainability of the process and investments

c) Principles of Participatory Planning

Participatory planning is based on the principles of:

- Transparency and accountability amongst stakeholders
- Commitment of all stakeholders to the process and the decisions made (Councils, Donors, Beneficiaries)
- Collaboration and co-operation between Local Council Levels
- Clarity of roles and responsibilities
- Building on and strengthening the capacity of Local Councils to deliver services more effectively, i.e. Council Plans being the main plan within which other actors intervene
- People Focus and empowerment
- Willingness to share resources among partners
- Inclusiveness and openness

In order to promote participation, the process should be

- Simple, practical, affordable, flexible and realistic
- Learning oriented
- Aimed at feeding into the Local Council plans within which other actors intervene

d) Who is Involved in Participatory Planning?

Effective participation calls for the involvement of all stakeholders including communities, Local Councils, Civil Society Organisations (CSOs) including Non-Governmental Organisations (NGOs), Community Based Organisations (CBOs) and members of the Private Sector.

The communities and the Local Councils as the prime beneficiaries should work together with CSOs, Donors and the Private sector to contribute to the development of common visions and strategies for all to fulfil their objectives.

The partnership arising out this collaboration will lead to clear understanding and appreciation of each other's contribution and therefore harmony in planning and implementation of development activities.

e) What Needs to be Done to Ensure Harmony and Success of the Participatory Planning and Management Process?

To enhance the success of the planning and management process, all partners are called upon to support the following:

- an effective and continuous civic education process to include but not limited to: citizens rights and responsibilities, planning mandates, the obligations and roles of councils, government policy, new developments and emerging issues.
- an effective communication process particularly regarding availability and access of resources, Indicative Planning Figures (IPFs), collaborating partners and opportunities; bottom-up / top-down communication – is feedback and or accountability taking place, are there designated areas for public information, access to media, etc.
- the availability of facilitators to guide the community / councils in the planning process
- willingness of actors to share and provide resources for planning
- strengthening and supporting existing planning structures and institutions, e.g. PDCs, IC, TPC, Councils, and extending membership to include other development partners
- an agreed position regarding the secretariat for planning at Lower Local Council level
- clear definition of roles and responsibilities of the various organs involved in planning
- re-definition of roles of technical staff to take care of current planning requirements
- in-built mechanisms for participation incentives

Above all, the various actors and stakeholders should set aside time for sharing experiences and lessons learnt from participatory planning.

f) Monitoring the Participatory Planning Process

The participatory planning process will be periodically monitored to ensure its effectiveness at all levels. Key areas for monitoring will include:

- Communication within and between different levels of local councils
- Consultation and or Participation of all stakeholders including:
 - all levels of councils
 - Non-Local Council Organs, CSOs, (NGO, CBO)

- Disadvantaged / interest groups – women, youth, People with Disabilities (PWDs), and People Living With Aids (PWAs)
- Collection, analysis, use, storage and sharing of simple data in the planning process
- How the planning and decision-making process is technically guided
- How the upper level councils are mentoring the lower local councils in the planning process

Monitoring will be done at each council level using prescribed formats that are annexed to this guide. The responsibility and the recommended schedule for monitoring is spelt out in each format.

2.2 The Mandates of Local Councils in Planning and Approval of Projects

For the purpose of enhancing clear definition of roles and responsibilities, the partners in the participatory planning need to be aware of their powers in approving project. Projects are categorised as Community Projects, Sub-county /Division / Town Council Projects, and District Projects, based on the criteria of what level of council will meet the recurrent costs or which level of local council will have the largest say in allocating resources to the project. Even where the beneficiary community has all the resources for setting up the facility, service or investment, but will require recurrent costs from the respective Local Government, such projects will be referred to that Local Government Council for approval.

a) Community Projects

These are investments to be implemented at village or parish level. They are usually small projects identified by the community themselves and are to be implemented without any recurrent cost implications for the Sub-county/Division/Town Council or Municipality/District. Examples of community projects include among others spring protection and clearing of footpaths.

b) Sub-county / Division / Town Council Projects

Sub-county projects are relatively larger than community projects and normally benefit a larger population and sometimes spread over several parishes. These projects are decided upon by the Local Government Council and have cost implications mainly to the Sub-county. Examples include drilling of boreholes, improvements on primary schools, and inter-parish roads.

Although such projects may be initiated by the Lower Local Councils (Village / Parish), the Village and Parish Councils can only recommend them to the higher council. Their approval will be the responsibility of the Local Government level responsible for meeting the recurrent costs.

c) District Projects

These are projects approved by the District. They are usually bigger, target larger populations and sometimes spread over several sub-counties. These projects, although may be identified by the Lower Local Councils, have recurrent cost implications at the District.

The Table below summarises the Investment Project Categories

Table 2: Investment Project Categories			
Characteristics	Community Investment Project	Sub-county Projects	District Projects
Examples of Typical or Possible Projects	<ul style="list-style-type: none"> • spring protection or dug well, • • improvement of a school: furniture, materials, upgrading of building, teachers accommodation etc, • foot paths and other very minor improvements of roads/bridges, • clonal coffee demonstration plot 	<ul style="list-style-type: none"> • Boreholes • improvements on Health Unit, • New nursery schools • Upgrading of primary schools. • Culverts and Community Bridges • small extension programme for sub-county, e.g. Para-vets, campaign on improved sanitation etc, 	<ul style="list-style-type: none"> • Gravity Flow Scheme or dams • New Health Units • New feeder roads, • Services provided for several Sub-counties - e.g. Technical school, Secondary schools • Extension programmes within health, education, agriculture covering more than one LLG, etc. • Major rehabilitation of feeder roads,
Beneficiaries	Small and well defined user/beneficiary group (e.g. the parents and students of a particular school).	Could be a small and well defined group of beneficiaries, but more likely to be a broader group: e.g. the entire population of the Sub-county that may benefit from a Health Clinic.	Likely to be a broader group of beneficiaries - e.g. all those in District that may benefit from a new feeder road.
Recurrent Costs	No recurrent cost implications at Sub-county level & above	Recurrent costs limited to Sub-County level	Recurrent cost obligations at District level
Resource Level	Do not require resources in excess of Tender Board threshold.	May require Tender Board or not	May require Tender Board or not
Prioritisation of Proposal	At Parish level	At Sub-county/Division/Town Council level	At District level
Approval for Resources	At Sub-county/Division/Town Council level	At Sub-county/Division/ Town Council level	At District level

Division of Responsibilities for different categories of Investment Projects

Table 3:			
	Community Projects	Sub-county / Division / Town Council Projects	District Projects
Identification	<ul style="list-style-type: none"> Beneficiaries, Community level 	<ul style="list-style-type: none"> Parish (via Investment Committee) or Sub-County / Division / Town Council 	<ul style="list-style-type: none"> By the Parish , passed to Sub-county/Division/Town Council , or by Sub-county / Division / Town Council then passed to District, or by District directly.
Initial Prioritisation	Parish Development Committee, endorsed by Parish Council	Investment Committee, endorsed by Local Government Council	District Council
Design/costing	Investment Committee	Investment Committee	District Technical Dept. (or consultant, where service cannot be provided by Dept.
Appraisal	Technical Planning Committee	Technical Planning Committee with Commentary from District Technical Committee/Planner.	District Technical Planning Committee with District Planner Appraisal
Allocation	Local Council	LLG Council	District Council
Tendering	Not required	Depends on tendering threshold	
Construction	Local hire of labour/ use of Local Government staff.	Through Tendering.	
Supervision	Mainly Sub-county / Division/ Town Council Technical Planning Committee - also District Tech Dept or private supervisor	Supervisor of Works or private supervisor - for smaller works also Sub-county Technical Committee.	Supervisor of Works, or consultant
Monitoring	Project Management Committee ¹ , LCs, CDA, Parish Chief	PMC or Sub-County Investment Committee.	PMC, or Sub-County or District, depending on source of proposal, LCs
Ownership	PMC	Various possibilities: a) Parish or Sub-County/Division/Town Council, b) CBO, c) LC	Various possibilities: a) Parish or Sub-County/Division/Town Council, b) CBO, c) District d) LC
Operation and Maintenance	User Group arrangements PMC	Owners responsibility, but Sub-County/Division/Town Council if recurrent costs at that level; PMC	Owner's responsibility plus District recurrent costs; PMC

¹ Project Management Committees (PMCs) exist for each project to oversee implementation and later management for complete investment. See functions under roles and responsibilities.

CHAPTER THREE: LOCAL COUNCILS INSTITUTIONS RESPONSIBLE FOR PLANNING AND BUDGETING

At each Local Council level, there are organs mandated with the responsibility for planning and budgeting. The following section describes the local councils' institutions, their composition and roles and responsibilities in the planning and budgeting process:

3.1 Village Level

Institution	Composition	Roles and Responsibilities
Village Council	<ul style="list-style-type: none"> As Provided for in the Local Governments (Amendment) Act, 1997. 	<ul style="list-style-type: none"> Attend village planning meetings Identify and submit to the Parish Chief and Parish Council issues of concern in the village; Resolve problems identified at the Village level; Plan the mobilisation of locally available materials and labour towards the village projects; Monitor the delivery of services within the village; Plan and budget for the maintenance of village investments (e.g. Water sources).
Village Executive	<ul style="list-style-type: none"> As Provided in the Local Governments (Amendment) Act, 1997 	<ul style="list-style-type: none"> Collect, analyse and keep village information/data (maintain village data bank). Mobilise village members for planning meetings; Initiate, encourage, support and participate in self-help projects; Mobilise people, materials and technical assistance for village self-help projects; Submit Village proposals to the Parish Council for consideration; Oversee implementation of village Council decisions; Monitor projects and other activities undertaken by the Government, Local Government s and NGOs in the area; Report to the Village Council Parish/Sub-county/District on the development activities/concerns of the village;
Project Management Committee	<ul style="list-style-type: none"> Parish and Village Executive Members Community representatives from Project Catchment Area Representatives of disadvantaged groups (women, youth, PWDs) One third of members must be women 	<ul style="list-style-type: none"> Providing project site security Mobilising community contribution for project implementation Organising meetings for project implementation Organising community operation, management and maintenance

3.2 Parish Level

Structure	Composition	Roles and Responsibilities
Parish Council	<ul style="list-style-type: none"> As provided in the Local Governments (Amendment) Act, 1997 	<ul style="list-style-type: none"> Discuss and approve Parish Plans (plans to be implemented by the parish using the parish resources); Discuss and decide on Parish priorities to be submitted to the Sub-county.
Parish Executive Committee	<ul style="list-style-type: none"> As provided in the Local Governments (Amendment) Act, 1997 	<ul style="list-style-type: none"> Initiate, encourage, support and participate in self-help projects; Mobilise people, materials and technical assistance for Parish self-help projects; Oversee implementation of Parish Council decisions; Monitor projects and other activities undertaken by the Government, Local Governments and NGOs in the area; Report to the Village Council Parish/Sub-county on the development activities/concerns of the village; Monitor and supervise the activities of the PDC
Parish Development Committee	<ul style="list-style-type: none"> Parish Chairperson; Parish Chief; Two members from every village Council (one woman and one man); Four members from the Parish Council, at least one must be a woman; Up to four representatives of NGOs/CBOs operating within the Parish where they exist. One representative of the Private sector operating in the Parish. 	<ul style="list-style-type: none"> Regularly update and compile parish information/data (maintain parish Data Bank); Identify parish development potentials/opportunities, development challenges, priorities; Assemble all village priorities within the parish; Identify parish wide priorities based on the parish mandate; Formulate Parish vision and development strategies; Integrate Village proposals into parish proposals; Formulate/ review draft parish action plans and annual work plan); Appraise parish proposals with technical support of the Sub-county Technical Planning Committee; Identify and recommend to Parish Council, priorities to be implemented using parish resources; Identify and recommend to Parish Council priorities to be forwarded to Sub-county Council for sub-county funding; Facilitate village level consultation meetings.

The Parish Chief

The Parish Chief is a civil servant responsible for:

- Issuing Planning and Budgeting policies and guidelines to PDCs for village level consultations at the beginning of every planning and budgeting cycle.
- Submitting approved parish plans and Parish proposals to the Sub-county Chief for incorporation into the Sub-county development plan;
- Informing Village Councils on the decisions of the Parish Council regarding village proposals.

3.3 Lower Local Government Level (Sub-county/Divisions and Town Councils)

Structure	Composition	Roles and Responsibilities
Sub-County/ Division/ Town Council	<ul style="list-style-type: none"> As provided in the Local Governments (Amendment) Act, 1997 	<ul style="list-style-type: none"> The Supreme Planning Authority in the sub-county/Division /Town Council; Discuss and approve three year rolling Development Plan; Discuss and approve annual estimates of revenue and expenditure; Ensure integration and incorporation of lower Local Council plans into the sub-county/Division/Town Council plan; Approve sub-county/ Division/Town priorities to be submitted to the District/City Council for consideration by the District/City Council.
Executive Committee	<ul style="list-style-type: none"> As provided in the Local Governments (Amendment) Act, 1997 	<ul style="list-style-type: none"> Initiate and formulate policy for approval of Council; Oversee the implementation of Council policy; Monitor the implementation of Council programmes; Consider and evaluate the performance of the Council against the approved work plans and programmes at the end of every financial year; Serve as a communication channel between the Government, District Council and people in the area; Monitor and supervise projects and other activities undertaken by Government, Local Governments and NGOs in the area.
Technical Planning Committee	<ul style="list-style-type: none"> Sub-county/Town Clerk as Chairperson; All Heads of Department or sectors within the area of jurisdiction of the Local Government; 	<ul style="list-style-type: none"> Co-ordinate and integrate all Sectoral plans; Co-ordinate and integrate plans of lower Local Councils into the SDP Appraise individual investment projects before presentation to the Council; Appraise Parish projects; Submit the integrated plan to the Council through the Executive for consideration. Facilitate Parish level planning meetings; Give technical support to PDCs on planning and budgeting issues.
Investment Committee	<ul style="list-style-type: none"> Sub-county Council Representatives Community Representatives Personnel from relevant technical departments in the District and the Sub-County / Division / Town Council Retired Civil servants Representatives of disadvantaged groups, i.e. women, youth and people with disabilities (PWDs) 	<ul style="list-style-type: none"> Preparing preliminary costing / design of prioritised projects Prioritising investments within limits of the IPFs Providing project monitoring Monitoring / verifying the certification of contractor's (local hire) works for payment

Sub-county Chief / Town Clerk

The Sub-county Chief / Town Clerk is the Accounting Officer of the respective Local Government. The roles of the accounting officer are outlined below:

- Submit approved Sub-county Plans and proposals to the District Council for incorporation into the District Development Plan;
- Issue out Planning and Budgeting policies and guidelines to lower Local Councils at the beginning of every planning and budgeting cycle.
- Issue Indicative Planning Figures to the parishes at the beginning of every planning and budgeting cycle.
- Inform Parishes within the Sub-county/Division/Town Council on the decisions of the Council on Parish proposals.
- Assign one Sub-county Extension staff to co-ordinate the Sub-county/Division/Town Council planning process and be the Secretariat to the Technical Planning Committee.
- Seek approval of District line departments in case Sub-county/Division/Town Council intends to carry out investment (s) with recurrent costs to the District/Municipality.

3.4 Roles and Responsibilities of NGOs/CBOs and Private Sector Organisations

NGOs/CBOs and Private sector organisations are key allies of Local Councils in participatory planning and the delivery of goods and services to the communities. They have skilled personnel, logistics, experience working with communities as well as their own resources for service delivery. In order to foster collaboration and complementarity, NGOs/CBOs, Religious Institutions and Private Sector Organisations will play the following roles among others in the planning and budgeting process:

- a) Participate in planning and budgeting meetings of Local Councils within their area of operation;
- b) Bring in their expertise to facilitate local Council planning processes;
- c) Contribute funds/logistics towards the local council planning and budgeting process where possible;
- d) Make available their plans and budgets for integration into the Local Council plans and budgets.

3.5 Bridging the Information Gap between District, Sub-county and Community Planning

Sub-county Chief will designate one Sub-county Extension Staff to co-ordinate lower Local Council Planning processes. The designated staff will also act as Secretary to the Technical Planning Committee of the Lower Local Government.

Where they exist, Community Development Officers/Assistants should preferably be designated to co-ordinate the planning process and act as Secretary to the TPC. Where a Sub-county has no CDO/A, any other Extension staff can be designated to undertake the task.

The Village Local Council Chairperson with assistance from the Parish Chief should ensure that all information on the planning process and the decisions made are forwarded to the Parish Level. The Parish Chief will in turn ensure that information from the Parish reaches the Sub-county / Town Council and Division. The Sub-county Chief, or Division / Town Clerk should also ensure that this information is compiled and submitted to the next higher level.

Information from the lower local councils should be categorised as either a) information for integration in the upper council plans and proposals or as b) information for recommendation and approval by the relevant upper council.

CHAPTER FOUR: PLAN IMPLEMENTATION AND MANAGEMENT

4.1 Implementation and Management

This stage begins once the respective Local Council has approved the plans and budget for the project.

On receiving approval the respective Local Councils, the relevant directorate or department will review their project proposal to make sure that the project is still relevant and feasible. The key steps here are:

- Review of project plans at the beginning to test their relevance and feasibility
- Carry out the project in order to achieve the stated objectives
- Keep track of progress against work plan expectations (monitoring)

For proper management each project should have a Project Management or Implementation Committee (or PMC). These are described in the next section, Section 4.2.

The Sub-county, Divisions and Town Councils Project Implementation and Management Committees and all other stakeholder must ensure proper management of the project including providing for operation and maintenance.

4.2 Implementation and Management Structure

Every Local Council will establish a Project Management Committee (PMC) specific to each project that the Council is undertaking. The role of the PMC will include but not limited to the following:

- a) Mobilising community contribution (locally available materials, labour) for project implementation;
- b) Organising community meetings for project implementation;
- c) Providing project site security;
- d) Maintaining up to date record on project resources;
- e) On the spot monitoring of progress of project implementation;
- f) Providing project progress report to the relevant authorities;
- g) Setting up systems for operation and maintenance of the project once completed.

The establishment of PMCs will depend on the nature of the project. Where a project is being undertaken in an existing institution, there will be no need to create a new PMC. The existing management structure will take on the roles and responsibilities of the PMC. For instance where a project is being carried out in an existing school, the School Management Committee of that school will be the PMC.

New projects will have to create PMCs to carry out the functions mentioned above

The following will guide the composition of the PMCs:

- a) Representation of Village or Parish Executive;
- b) Community representatives from the project catchment area;
- c) Representation of disadvantaged groups (women, youth, PWDs);
- d) Forty percent of members shall be women.

The number of people on the PMC will not exceed nine.

4.3 Monitoring and Evaluation

While technical staff and or implementing committees are responsible for the implementation of activities, Local Councillors together with other stakeholders monitor progress and advise the implementing committees. Analysing project reports and making field visits are some ways in which monitoring can be done.

On completion, the relevant technical staff should certify projects. The project should then be handed over to the respective user community and management committee by way of commissioning.

The following will guide the creation of the PMCs:

- a) Representation of Village or Parish Executive;
- b) Community representatives from the project catchment area;
- c) Representation of the disadvantaged groups (women, youth, PWDs);
- d) Forty percent of members shall be women.

Number of people on the PMC will not exceed nine.

CHAPTER FIVE: THE LOWER LOCAL COUNCIL PARTICIPATORY PLANNING PROCESS

The chapter outlines the main planning activities, processes, actors, expected outputs and time frame for each council level.

At each level the process should lead to the formulation of realistic and measurable plans to address the identified development priorities. It is also based on the assumption that each local council level is endowed with some resources that can be tapped for the development of the area without having to wait for resources coming from the higher level.

The process also recognises that at each level there are priorities that have to forward to the higher local councils for consideration and incorporation into the respective council plan. This is in view of the fact that some projects require a higher level planning and implementation capacity. Other projects also have recurrent cost implications to the higher level council, and therefore have to be approved at that level.

Care has been taken to ensure that the process at each level is not too long to minimise costs without compromising the level of consultation and participation of communities and other stakeholders.

At each level, core facilitation skills and relevant manuals will be required to achieve the desired level of participation and outputs.

Village level Planning Process

Sn	Activity / Purpose	Key steps	How will activity be carried out?	Who will do what?	What resources will be required?	When will this be done?	What will be the expected outputs/ outcomes?
1	Disseminate guidelines to Villages	Dissemination of Information to guide village Councils on the Policy Direction	Circulars Public Notices	Parish Chief		By 30 TH September	Policies, Guidelines, IPFs publicised
2	Review and Update Information	Analyse the village situation taking into account: SWOT (strengths, weaknesses, opportunities, threats) Interest groups & associations (e.g. women's groups, youth associations, disabled , etc)	Review and update of village Record Book. Discussion.	Village Chairperson & Executive.	Village Record Book, Pens	By October	Updated Village Book showing situation on the ground
3	Village Council Level consultation	3.1 Formulate and circulate agenda for the consultation meeting. 3.2 Convene meeting of all village members to discuss and prioritise	Announcement in public places. Public notices on posters. Public meeting	Village Executive Village Chairperson		3 rd Week of October 4 th Week of October	Community members know the date, venue and purpose of the planning meeting and the order of issues to be discussed. Minutes of meeting showing date and place of meeting; who attended; issues discussed; a summary of agreements, key priorities and conclusions, and allocation of tasks. List of priorities to be carried out at the village level without support from Parish / Sub-county Lists of priorities to be forwarded to the Parish/Sub-county
		3.3 Review and Summarise key outcomes of the village meeting in a simple format 3.4 Share proposals with Parish	Record in a note book. Submit list of village proposals to Parish Chief	Village Executive, Village PDC rep Village Chairman	Paper and pens	1 st Week of November 2 nd Week November	Issues to be addressed at the village and those to be referred to the Parish for further action identified
4	Drawing Action Plan	Prepare Village Action Plan		Village Council		1 st Week of January!	Village Action Plan in Place and submitted to Parish Chief

5.1 GUIDE TO VILLAGE LEVEL PARTICIPATORY PLANNING

Guidelines for carrying out activities

Activity 1 Disseminate guidelines to Villages

1. Send Circulars
2. Put up public notices

Activity 2 Review and up-date information (CBMIS)

Step 1 Ensure you have a Village Record Book with information about your village broken down into the resources of the village, social groups (women, men, youth, PWD, Children), facilities, opportunities, etc

Step 2 Add new information to the Village Record Book

Step 3 Analyse the new totals ready for the consultation meeting.

The village executive committee should ensure that information is collected, analysed, used, stored in a village record book. The information in the village record book should be regularly updated and shared with the next level i.e. Community Based Management Information System (CBMIS) established. The PDC or facilitator should assist the Village to put a system in place.

Activity 3 Conduct Consultation Meeting

Step 1 Call a meeting(s) with emphasis on participation of both women and men

Step 2 State purpose of meeting(s)

Step 3 Carry out a participatory prioritisation process

Prioritisation is about putting things in order of importance to the community. Local Councillors, executives and other stakeholders in the planning process should always remember that while development needs can be very many, resources are often not enough, so there is need to select what to do first.

- Share up-dated information divided between women and men with village members
- In view of that information, assist village members to list important projects/activities which can help the village as a whole improve and that can be done in three years' time
- Put the list of projects in order of importance (priorities) using an appropriate ranking method
- Agree on which priorities to:
 - i. Be carried out at the village level without support from the higher councils.
 - ii. Be forwarded to the Parish by filling the form provide below

AN EXAMPLE of A SUMMARY OF VILLAGE PRIORITIES

Sn	List of Priorities in order of Importance	Priority for thw whole community	Priority for most vulnerable	To be implemented by Village	Forwarded to Parish
1	Spring Protection	√			√
2	Clearing Village path	√		√	
3	Food Security (Cassava Garden)		√	√	
4	Information Management	√			
5	Vermin Control		√		√
6	Building Household latrines	√		√	

Activity 4 Draw up Village Action Plan

Each Village is encouraged to make an action plan for selected activities to be carried out by the community. PDC or facilitator eg from CBO or NGO or other should assist the village to make and implement their plan.

How a Village Action Plan may look like

What have we agreed to do?	Where will it be done?	When will it be done?	Who will do what?	What do we need to do it?	Output/ Outcome
Collection of basic information about the village	At house holds in Zana Village	By 1 st Week of March	Village Chairman will organise and divide among the Executive Committee members & Women, youth Councilors	Record Books Pen or Pencil Time	Village information available (Village Record Book)

5.2 Parish level planning (also includes Wards Town, Municipal and City Councils)

Sn	Activity / Purpose	Key steps	How will activity be carried out?	Who will do it?	What resources will be required?	When will this be done?	What will be the expected outputs/ outcomes?
1	Dissemination of Guidelines and or policies to Villages	Guide LLCs on the policy direction	Circulars and Meetings	Sub-county Chief / Town Clerk		By 30 th September	Circulars sent and received by Parish Chiefs
2	(a) Parish Level Situation Analysis (b) Put together village priorities	Update Parish register Analyse key issues taking into account Strengths, Weaknesses, Opportunities & Threats. Identify a Vision for the Parish. Identify groups & associations (e.g. women's groups, youth associations, disabled, HIV/AIDS, Environment, Identify Possible Service Providers Make a list of all village submissions Identify common issues	Meeting Timeline Analysis Mapping SWOT Analysis Livelihood and Poverty Analysis Gender Analysis Analysis of Poverty Causes, Categories and Trends Environment Issues Analysis Prioritisation Exercise Making a list	Parish Chief assisted by PDC members, NGOs/CBOs and/or Facilitator Parish Executive PDC Parish Chief PDC members, NGOs/CBOs and/or Facilitator	Parish Register Competent Facilitator (Extension Staff, NGO/CBO personnel)	By 2 nd week October	Updated Parish Register With desegregated data reflecting interest groups and NGOs/CBOs working in the parish Parish-wide priorities to be considered in planning. Gender responsive priorities identified
SN	Activity / Purpose	Key steps	How will activity be carried out?	Who will do it?	What resources will be required?	When will this be done?	What will be the expected outputs/ outcomes?

3.	Parish Planning, Review and Appraisal Meeting	<p>Set or review Parish vision, goals, objectives and strategies</p> <p>Review performance identify parish-wide priorities Consider issues / priorities from village level</p> <p>Discuss priorities from the village</p> <p>Develop and Cost Three Year Parish Action Plan</p> <p>Appraise plan for financial viability, gender & environmental responsiveness, social & political acceptability, etc</p>	<p>-Visioning Exercise</p> <p>-Review of Parish register</p> <p>-Review of projects</p> <p>-Appraisal of plans</p> <p>-</p> <p>-Prioritisation exercise</p> <p>-Costing guide</p> <p>-Bill of Quantities (BOQ)</p> <p>-O&M guide</p> <p>-Matching guide</p> <p>-Integration of Planning guide</p> <p>-3Year Plan guide</p> <p>-Annual Plan guide</p> <p>-Parish Project Profile format</p> <p>Open meeting of PDC members, key informants & representatives of other interest groups.</p> <p>Review Check List to determine appropriateness, relevance, cost-effectiveness, etc</p> <p>Documentation of proceedings and attendance</p>	Parish Chief assisted by PDC members, NGOs/CBOs and/or Facilitator from a higher level Parish Executive	Technical Back up for appraisal from Facilitator - Community Development Worker Or Local NGO facilitator	March	<p>Parish Vision, in place</p> <p>Achievements & failures of previous (or outgoing) year reviewed & outstanding issues to be addressed identified and documented.</p> <p>Issues referred from the village level considered and incorporated in Parish level planning.</p> <p>Issues from situation analysis incorporated in draft.</p> <p>1st Draft of Costed Three Year Action Plan and Proposals prepared.</p> <p>Respective villages informed about progress of the planning process.</p>
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SN	Activity / Purpose	Key steps	How will activity be carried out?	Who will do it?	What resources will be required?	When will this be done?	What will be the expected outputs/ outcomes?
4	Review of Parish Action Draft Plan and Proposal	Submit draft plan to Parish Executive Committee for scrutiny and onward presentation to Parish Council	Parish Council Meeting proceedings and attendance	Executive Committee		March	Comments on draft plan Approved draft for discussion
5	Parish Council to consider and approve Parish Plan	(a) Formulate and circulate agenda for the full Council planning meeting (conference).	Announcement in public places. Public notices on posters. Letters to all Council members	Parish Executive		March	Council members know the date, venue and purpose of the planning meeting and the order of issues to be discussed.
		(b) Convene planning meeting of all Parish Council members & identified stakeholders	. Posters. Invitation letters.	Parish Executive	Local facilitator (e.g. from the Sub-County, or from CBO/NGO)		Comments on the first draft A summary of agreements. Confirmation of key priorities.
		(c) Revise plan to take account of comments and suggestions from full planning meeting (conference).	PDC/PIC meeting	PDC	Sub-County facilitator		Revised plan
6	Submission of Parish Plan and Proposals to LG	Submit revised plan to sub-county Chief or Town Clerk (a) for the record (b) for consideration of referred issues.	Formal Submission	Parish Chief Parish Executive		By 15 th April	Approved Parish plan submitted to sub-county
7	Give feedback to the villages on the decision of the Council		Posting Public Notices	Parish Chief		April	Village information disseminated

5.2. GUIDE FOR PARISH LEVEL PARTICIPATORY PLANNING

Guidelines on to carry out activities

Activity 1 Dissemination of Guidelines and or Policies to Villages

1. Send Circulars and
2. Meetings

Activity 2 (a) Parish Level Situation Analysis

Each Parish needs to have background information and to know its opportunities, needs, challenges, and resources, before the planning process starts. The Parish Chief should ensure that information is collected, analysed, used, stored in a Parish Data record book. The information in the Parish Data record book should be regularly updated and shared with the next level.

Guide 1 Parish Background Information

Key Steps	Source of information/Method	Who will Assist to /Mentor?
Step 1 Describe the Parish (administrative units – Villages, tribal/ethnic make-up, statistics on people, numbers, employment, facilities, etc.)	Parish Register	PDC or Facilitator
Step 2 Up-date parish Register	Parish Register	-do-
Step 3 Identify the major events or trends that have happened in our area, particularly the recent changes	Timeline Analysis	Community Development Worker or other Extension Staff (Facilitator) from Sub-county or NGO or other eg. Private sector
Step 4 Get/draw a resource map of the Parish indicating key investments, resources Including organisations (NGO/CBOs)working in the area	Mapping	-do-

Guide 2 Strength/Weakness/Opportunities/Threats (SWOT) Analysis

Key Steps	Source of information/Method	Who will Assist/Mentor?
Step 1 Identify the main assets/property the community has (strengths) Step 2 What does the community lack (weaknesses)	Strength/Weakness/ Opportunities/Threats (SWOT) Analysis	Community Development Worker or other Extension Staff (Facilitator) from Sub-county or NGO or other eg. Private sector
Step 3 Identify the chances in your Parish you can use in the development process (opportunities)		
Step 4 Identify the main fears as to what can block the community in the development process (threats)?		

Example of Strength/Weakness/Opportunities/Threats (SWOT) Analysis

Activity/Project	Strength	Weakness	Opportunities	Threats
Information Management (CBMIS)	- Parish Executive Committee in place - PDC in place	-Information management skills lacking - Gender analysis skills lacking - Low value attached to information	- Extension staff available - Revitalisation of births and deaths programme is on going in the Parish - Strong political will	The term of office of the Local Council is soon over
Food Production	- Fertile soils - Adequate rainfall (two season per year)	- Presence of vermin - Land scarcity	- Reliable market for our produce	Delayed Payments for produce of farmers

Guide 3 Livelihood and Poverty Analysis

Key Steps	Source of information/Method	Who will Assist/Mentor?
Step 1 Identify the different people/groups and their locations in the Parish and their livelihoods. Analyse livelihoods of disadvantaged groups –women, children, youth, elderly, PWD, PWA , migrants etc	Livelihoods analysis	Community Development Worker or other Extension Staff (Facilitator) from Sub-county or NGO or other e.g. Private sector
Step 2 Analyse changes in the livelihood of the people in the last 5 years	Timeline analysis	-do-
Step 3 Identify causes and effects of poverty	Cause-Effect analysis	-do-
Step 4 Find out which groups are the most well off and which groups most needy and where they are located	Well-being analysis	-do-
Step 5 Who are considered the poor in our area? (No house, food for family, children not in school etc)		
Step 6 Identify areas where the poor live		
Step 7 Find out whether the needs and visions of the poor people have been addressed: <ul style="list-style-type: none"> - Most of the activities should go where the poorest people live - Address the needs of special interest groups e.g. children, youth, women, elderly, PWDs, migrants, labourers, etc. - Find out whether the poor people are accessing services. What problems hinder effective access of services for the poor? Is there a fee to be paid? Can you introduce a system where the poor can be served for free? - Look into how information flow can be improved to reach the poor. - Find out how the poor people can be assisted to increase their income. - Find how the households can be assisted from getting poorer. - 		
Key Steps	Source of	Who will Assist/Mentor?

	information/Method	
<p>Step 8 Find out whether there is even or uneven accessibility distribution of services and or resources Ensure village inequalities are addressed</p> <ul style="list-style-type: none"> - Identify village inequalities eg. access to facilities, development funds etc. - Which villages of our Parish receive most of your funds and why? (Criteria for allocating funds) <p>Identify uneven accessibility and distribution of resources</p>		
<p>Step 9 Find out whether there are efforts to build the capacity of poor people to participate in their own development? (Empowerment)e.g. Information flow and information sharing Identifying what the poor can do without external support</p>		

Guide 4 Gender Analysis and Gender Mainstreaming in the Planning Process

As Councils plan, the following guide could be used for understanding gender issues and concerns for mainstreaming gender by deliberately addressing the gaps and biases between women and men, girls and boys which may negatively affect the development process.

The concern for the Local Councils here should be with identifying and discussing the following:

- Divide the Parish record between categories e.g. women and men, children under 5 years etc
- Find out who does what, where, when, with what resources – women or men.
- Find out whether there are concerns as regards their roles.
- Ensure representation of women and men visions in the planning process
- Find out who has access to resources - women or men.
- Find out whether there is a gap and implications.
- Find out who has power to control resources - women or men.
- Find out whether there is a gap in this regard and implications.
- Ascertain who benefits from the outcome of the project - women or men.
- Find out whether there is any imbalance between women and men and implications.
- Think of specific projects to put right the imbalances between women and men.

Activity 2 (b) Putting together village priorities

Guide 1 How to put development priorities in order of importance (prioritisation)

Prioritisation is about putting things in order of importance. Local Councillors, executives and other stakeholders in the planning process should always remember that while development

needs can be very many, resources are often not enough, so there is need to select what to do first.

Step 1 Share up-dated information from the Parish Register divided between women and men with Parish Executive Committee and PDC (where it exists)

Step 2 Using the information got from the above exercises, and lists of priority proposals from the villages, assist Parish Executive + PDC members to list important projects/activities which can help the Parish, especially the most vulnerable, to improve and that can be done in three years' time.

Step 3 Put the Parish list of projects in order of importance (priorities) using appropriate ranking method.

Step 4 Decide priorities to be referred to Sub-county, those to be implemented at the Parish level, and those to be referred back to the Villages.

EXAMPLE OF PRIORITISING

Sn	List of Projects	Cost Ug. Shs.	Number & Category of Beneficiaries	Improving Service Delivery	Contributes to Poverty Reduction	Environment Protected	Ranking Score and Order	
1.	Rehabilitation of a Health Unit - X	20,000,000	70 mothers, PWDs, displaced	Yes	Yes	Yes		
2.	Operation and Maintenance of Facilities	500,000	35 Households	No	Yes	Yes		
3.	Spring Protection village Y	600,000	70 People	No	Yes	Yes		
4.	New Primary School in Parish B	150,000,000	400 Pupils	No	Yes	No		
5.	Food Security (Cassava)	50,000	35 Households	Yes	Yes	Yes		
6.	Information Management	50,000	35 Households	No		Not applicable		
7.	Vermin Control	3,000,000	35 Households	No	Yes	No		

EXAMPLE OF SUMMARY OF PARISH PRIORITIES IN ORDER IMPORTANCE

Sn	List of Priorities in order of Importance	To be referred back to the villages	To be implemented by Parish	To be forwarded to Sub-county Division / Town Council	Remarks
1	Spring Protection village Y		√		
2	New Primary School in Parish BREAK			√	For approval and recurrent costs commitment from District
3	Food Security (Cassava Garden)	√	√	√	support required from all levels
4	Information Management	√	√	√	
5	Vermin Control			√	

Activity 3 Parish Planning, Review and Appraisal Meeting

Guide 1 How to decide on a Parish Vision and Implementation Strategies

A vision is a desired situation for the Parish in the future e.g. in 5years or 10 years from now. 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 situational analysis (SWOT analysis etc), 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. A vision should convey a picture which people can identify with as important to achieve.

An example of a parish vision could be: *“By 2005, we will be a vibrant parish where people like to live and work, people are well-fed and food secure, able to access health services, attend a well-equipped and staffed primary school, and have good communications with the outside world...”*

After developing the vision, thought needs to be given about how the vision can come true. This is by developing implementation strategies, the ‘how to’ of achieving the vision. From the above example of a vision, a number of strategies could be selected, for example:

- Improving food security, particularly for vulnerable groups
- Extending, equipping and staffing the primary school
- Upgrading the road and bridge to ‘all weather’ standards.
- Improving the clinic, by making sure it is staffed and stocked with drugs.

Key steps	Source of information/Method	Who will assist / mentor?
<p>Step 1 Review information generated in situational analysis and village priorities – note down key words showing the activities and issues that have come up in discussions.</p> <p>Step 2 Using the key words, assemble a sentence or two which sums up the vision for the parish. This is</p>	Visioning exercise	Community Development Worker or other Extension Staff (Facilitator) from Sub-county or NGO or other eg. Private sector

<p>the parish vision.</p> <p>Step 3 Next think about how this vision can be achieved. Develop 3-5 implementation strategies which describe how the vision can be achieved.</p> <p>Step 4. The final step in developing the vision is to review the village and parish projects already identified and see how they fit into the vision and implementation strategies. Remember to consider whether projects will help the whole parish or just particular villages. Projects with a 'good' fit in helping achieve the goal can be prioritised. But if there are gaps, the parish may have to develop new projects or investments to ensure that a good portfolio of projects is selected, that contributes to all the implementation strategies, and thus promotes achieving the vision.</p>	<p>Strategy development</p> <p>Reviewing existing projects at village and parish level</p>	
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Guide 2 Reviewing projects (Criteria for choosing a project)

From developing the vision and implementation strategies, a number of different projects have been put forward that will help the parish achieve its vision. The parish now needs to look at each of these projects and consider each one in detail, thinking about the design of the project, the beneficiaries (how the project relates to poverty eradication and helps vulnerable groups), and how it will help in achieving the parish vision.

Consider the following:

- Size and percentage of the benefiting population. How does the project contribute to poverty reduction? How does it help the most vulnerable groups?
- How does the proposed project fit in the overall Local Government Objectives?
- Location of the project in relation to the target group/beneficiary
- What are the locally available resources? Does it use local resources? Does the project suit the physical characteristics and the way of life of the people?
- How will the project outcome be operated and maintained? Will the people be able to support and manage those facilities?
- Does the project redress gender issues and or concerns?
- Is the project providing for the special groups in our community? e.g. women, youth, PWD, PWA, Children
- Does the project encourage or discourage/reduce or increase local self-help activities?

- What problems are urgent and acute and should be handled immediately e.g. out break of cholera, earthquake, etc.
- Is there any similar project carried out in the area? Have they been successful or not? If not why not?
- Is there any support we can get from the Sub-county, voluntary agencies, donor, Government?
- Will the project have a positive or negative effect on the environment and the social set up of the people?

Guide 3 How to Appraise Plans

Appraisal is a process by which a local government tests its proposed investments/interventions to ensure they meet some minimum requirements. This is done before the plan is presented to the council for approval.

The following issues should be considered when appraising the Parish/Ward proposed plan:

Meeting Overall Objectives

Does the proposed project meet the overall national objectives?

Does it meet the overall Sub-county and Parish objectives as set out in the Vision and Implementation Strategies?

Policy Relevance

Is the proposed activity within the National PPA / PEAP?

Is the proposed activity within the 3-year development plan of the Parish/Ward?

Is the proposed activity within the mandate of the Parish/Ward?

Refer to Schedule 2 of the Local Governments Act, 1997 for the mandates of the your Council.

The technical feasibility

Is the proposed investment possible given the choice of technology being proposed?

Is the proposed technology sustainable given the available resources- personnel, skills,

Is the requisite institutional and technical capacity available to carry out the project?

The financial viability

Do you have sufficient funds in the budget to execute the proposed project?

Does the project have recurrent costs?

If the project has got recurrent cost has it been provided for in the budget once the project has been executed?

Does the proposed investment have recurrent cost to the district?

If the project has recurrent cost to the district, has the relevant line department given a go a head and accepted to meet the recurrent cost once completed?

Is there provision for operation and maintenance of facilities / investments

The social Desirability (acceptability)

Who are the primary beneficiaries? How does the project help vulnerable groups? How does it help eradicate poverty?

Have special groups e.g. women, youth, PWDs, PWAs, children been involved in the planning the project and are they going to benefit from its implementation?

Are there gender imbalances?

Is there demand for the service / facility?

The environmental friendliness

Is the proposed investment likely to have any negative impact on the environment?

If it is likely to have any negative impact on the environment, are the mitigation measures taken care of in the project design?

Environmental Check List for Parish / Ward Planning Purposes

Environmental issues/concerns to be addressed or considered per sector

Water Supply (NB for Details refer to LGDP Environmental Assessment Check List)

- Selection of sites for the water point where the drainage is away from the point
- Construction of drainage ditches to divert run off water around the site
- Provision of proper drainage away from the water point head
- Construction concrete pad around the base of the well head
- Minimum of 30 metres away from any pit latrine
- Fencing off the well to keep the animals away
- Construction of water trough at least 30 metres from the well
- Maintenance of the well on regular basis.

Roads and Footpaths (NB for Details refer to LGDP Environmental Assessment Check List)

- Installation of culverts or bridges across natural or manmade channels and keep them cleared of debris
- Construction of path/road so that water drains away by raising it above the surrounding ground level and by sloping the surface of the path toward the sides.
- Provision of drainage ditches on both sides of the foot path/road and install small check dams to reduce force of water flow.
- Directing water along the foot path/road into natural or manmade channels
- Ensuring that openings of culverts or bridges are adequately sized to accommodate flows
- Organising regular clean out of openings
- Establishing and implementing a maintenance system

Drainage

- Ensuring drainage channels and keep them clear of
- Installation of check dams to reduce force of water flow.
- Checking soil erosion – supporting banks with stones and planting shrubs and trees
- Hygiene education to raise awareness on risks of open defecation and promotion of use of latrines
- Raising awareness of the health risks associated with using unprotected water sources

Sanitation

- Ensuring latrines are located at least 30 metres from water sources, 60 metres is preferable.
- Hygiene education to raise awareness on open defecation and promotion of use and maintenance of latrines
- Hygiene education to raise awareness of the health risks of careless disposal of solid waste.
- Blocking pathways and nuisance for flies and rodents
- Where possible, consider ecological sanitation (Ecosan) Toilets.

Solid Waste Management

- Promotion and education on composting techniques
- Hygiene education to raise awareness of the health risks of careless disposal of human wastes and promotion of use of latrines.

Building people's capacity to participate in their own environment conservation?
(Empowerment)

Guide 4 How to Cost a Plan

Once a Parish/Ward has come up with a list of projects it intends to implement in a given year, it must estimate the amount of money that will be required to implement the projects. This process is called costing.

The following steps describe how a Parish/Ward can go about costing its plan:

- Step 1** For every project, identify and describe all the activities that will be carried out.
- Step 2** For every activity, identify and describe the inputs (resources) that will be required. The resources could be in form of land, building materials, labour, stationery, allowances for participants, transport, etc.
- Step 3** Determine the unit of measurement of each input. For instance if the input is cement then the unit of measurement is bags.
- Step 4** Estimate how many units (the quantity) of each input is required: For instance 50 bags of cement.
- Step 5** Determine how much each unit will cost (unit price). This information can be obtained from the price list issued by the District Local Government Tender Board. It can also be got by surveying the price of goods in the local market.
- Step 6** Determine the total amount of money that is needed to buy the required units. This is done by multiplying the quantity required of each unit by the unit price.
- Step 7** Determine the total amount of money that will be required to carry out the whole activity. This is obtained by adding the total amount required for each input, in other words, the sum total of all inputs required to carry out the activity.
- Step 8** Determine the total amount of money required to carry out the project. This is obtained by adding up the cost of all activities involved in the project.

Bill of quantities for construction of a two classroom Block					
Item	Quantity	Unit cost (shs)	Total Cost	Source of funds	Remarks
1	Bricks	10000	70	700000	Community
2	Sand	10 trips	20000	200000	Community
3	Hardcore	5 trips	35000	175000	Sub-County
4	Aggregates	3 trips	55000	165000	Sub-county
5	Timber 6x2	50 pcs	3500	175000	Plan International
6	Timber 4 x 2	70 pcs	3000	210000	Plan International
7	Timber 12 x 1	30 pcs	4000	120000	Plan International
8	Poles	50 pcs	2000	100000	Local MP
9	Cement	55 bags	16000	880000	World Bank
10	Mortar Pans	10 pcs	1500	15000	PTA
11	Sisal Rolls	3 rolls	2500	7500	PTA
12	Iron Sheets G28	75 pcs	12500	937500	Plan International
13	Roofing Nails	15 kgs	3000	45000	Plan International
14	Wire Nails	25 kgs	1500	37500	Plan International
15	DPC	4 rolls	9000	36000	Community
16	Windows	8 pcs	70000	560000	Sub-County
17	Doors	4 pcs	80000	320000	Sub-County
18	Painting	30 litres	3000	90000	PTA
19	Transport	Provision	500000	500000	School Management
20	Plan Costs	Provision	200000	200000	School Management
21	Labour	15% material costs			
	Grand Total			5473500	

Guide 5 How to Determine and Provide for Operation and Maintenance/Recurrent Costs

Operation and Maintenance entails:

- Management of the facility including – men to operate it, money for payment of salaries, materials and equipment.
- Resource mobilisation and management – Bank Accounts, records etc
- A sustainable reporting maintenance and support systems established for repairs and new investments.

In determining Operation and maintenance costs, consider the following:

- What is the facility (investment)?
- Who is using it?
- What do we need to operate it?
- What do we need to do to keep the facility working?
- What will be the costs per year?
- How will the costs be met?

Guide 6 How to Match Plans with Available Resources/Budgets

In any given financial year, the Parish/Ward will have a long list of projects it intends to implement in order to bring about the development of the area.

The Ward will however not have enough resources to implement all those projects.

The parish/ward should therefore select the projects, which are of high priority, which the available resources can implement.

The following steps explain how a Parish/Ward can match its planned activities with the available resources so as to have a balanced budget:

- Step 1** Determine the resources that will be available to the Parish/Ward during the financial year for implementation of projects. This is done by adding up expected revenue, transfers, and donations from all the sources.
- Step 2** Make a list of all the identified projects (investments) for the year. List the approximate cost of each project alongside it.
- Step 3** On a fresh piece of paper, copy the list of the projects in order of priority with the most important projects at the top and the least important at the bottom.
- Step 4** Now add up the cost starting at the top and working down. When you entire budget is spent – draw a line. This is the zero-base where the money available equals approximately the money to be spent.
- Step 5** The projects that fall below the line are dropped for the period/year unless more money becomes available.

Phasing of Plan Implementation

- ◆ Investments that fall below the budget line are deferred to the next planning and budgeting period or,

- ♦ The scale (targets) of implementation for the project above the budget line is reduced to accommodate other projects below the budget line.

Guide 7 How to Integrate Plans

Do the following:

Step 1 Capture the contribution/interventions (Development Priorities) of LL Councils and other actors and how they contribute to overall LG development.

Step 2 Show contribution of lower local council interventions as below the budget line.

Step 3 Capture the Recurrent Costs of the LLC investments into the LG Budget

Guide 8 How to Develop a Three Year Plan and Budget (Medium Term Plan and Budget)

Step 1 Review the parish vision and the implementation strategies

Step 2 For each implementation strategy, list the projects that are associated with it and that will help achieving the parish vision.

Step 3 List the projects (activities) in order of priority with the most important projects (those that contribute most to poverty eradication and achieving the vision) at the top and the least important (have the least direct link with poverty eradication and achieving the vision) at the bottom, with their approximate cost alongside.

Step 3 Estimate the amount of resources that will be available to the Parish over the three year period. This is done by adding up the estimated revenue of the Parish from all the sources. This should include what is expected from local revenue, community contribution, central government contribution and contribution from NGOs where there is commitment.

Step 4 Add up the cost of the proposed projects starting at the top and working down. When your entire budget (total estimated revenue over the three year period) is spent– draw a line. This is the zero-base where the money available over the three-year period equals approximately the money to be spent. This process can be done sector by sector.

Step 5 In order of priority and based on the estimated resources, determine the targets that will be achieved for every activity for each of the three years. Remember the amount of money available may not be the same every year. Normally, the projected revenue of a Parish should increase year by year. But avoid making unrealistic estimate.

Step 6 For each of the three years, the total estimated cost of achieving the proposed targets must be calculated and provided.

Example How a Three-Year Parish Plan may look like

What have we agreed to do?	Where will it be done?	When will it be done?	Who will do what?	What do we need to do it?	What will come out?	Estimated Cost
Collect ion basic information about the villages (Village Records)	Village by Village	Every year by 30 th September	The Parish Chief and PDC members will organise and divide work among themselves	Village Record ooks, Parish Register Pen or Pencil	Parish information available	20,000=
Spring Protection	O PQ X Y Z Villages	Year I & 2 starting August	Hire experienced fundi	-	6 Protected springs	3,600,000=

Guide 9 How to Develop Annual Work Plans and Budgets from the Three Year Plan

Annual work plans and Budgets (AWP&B) are derived from the Three-Year Plan by taking activities/projects in year one of the Three-Year Plan.

This is then detailed by giving the following elements:

1. Indicate code and activity/project agreed upon for that year. (This information is obtained from the Local Government Financial and Accounting Regulation (1998) and the Three-Year Parish Plan).
2. Determine sector in which the activity falls (e.g. education, health, production etc.);
3. Identify Where it will it be done
4. Determine when will it be done
5. Decide who will do what
6. Identify what is needed to do it
7. Indicate the expected output(s) per activity/project
8. Indicate the estimated cost of the project/activity;
9. Indicate the estimated expenditure of each project.
10. Indicate sources of funding and Category of investment for the project. If you expect this project to be financed from more than one source, indicate all the sources and how much will come from each source.

Example How to Develop Annual Work Plans and Budgets from the Three Year

Activity/Project agreed upon + Code	Sector in which the activity falls	Where will it be done?	What do we need to do it?	When will it be done?	Who will do what?	What will be the output(s) ?	Estimated Cost	Source of funding Category of investment;
Collect ion basic information about the villages (Village Records)	Cross-cutting	Village by Village	Village Record Books, Parish Register Pen or Pencil Time	Every year by 30 th September	The Parish Chief and PDC members will organise and divide work among themselves	Parish information available	20,000	Parish
Spring Protection	Water	O P Q X Y Z Villages	-	Year 1 & 2 starting August	Hire experienced fundi	6 Protected springs	3,600,000	Sub-county

Guide 10 Format for Parish/Ward Project Profile

1. Name of the investment

2. Location: Where is the project?
3. Identification process (*attendance at meetings: men, women, youth etc.*)
4. Implementation responsibility (*who is responsible for what?*)
5. Project objective
 - a) what is the objective of the project?
 - b) How will the project contribute to poverty reduction?
 - c) What impact will the project have on the environment?
6. Time frame
 - a) start date
 - b) end date
7. Benefits and beneficiaries
 - a) Who will benefit from this project?
 - b) How will the project help the most vulnerable groups identified in the Parish?
 - c) How many households will benefit from this project?
8. Estimated project cost
9. Source of funding
10. Funds secured
11. Funding gap
12. Project will be implemented by
13. Project will be inspected and supervised by
14. Completed work will be maintained by
15. Operating cost will be met by
16. Annual operating cost
17. Annual maintenance cost

Activity 4 Review of Parish Action Draft Plan and Proposal

1. Conduct a Parish Council Meeting
2. Record proceedings and attendance

Activity 5 Parish Council to consider and approve Parish Plan

1. Put announcement in public places to inform the public
2. Use posters Public Notices to inform the public
3. Write and send letters to all Council members

Activity 6 Submission of Parish Plan and Proposals to LG

Parish Chief and Parish Executive make a formal submission the LG

Activity 7 Give feedback to the villages on the decision of the Council

1. Parish Chief posts feedback to the villages on the decision of the Council as regards proposals to the LG
2. Put information on Public Notices

EXAMPLE OF PRIORITISING

Sn	List of Projects	Cost Ug. Shs.	Number of Beneficiaries	Directly leads to poverty reduction	Environment Protected	Ranking Score and Order	
1.	Rehabilitation of a Health Unit - X	20,000,000	70 People	Yes	Yes		
2.	Operation and Maintenance of Facilities	500,000	35 Households	No	Yes		
3.	Spring Protection village Y	600,000	70 People	No	Yes		
4.	New Primary School in Parish B	150,000,000	400 Pupils	No	No		
5.	Food Security (Cassava)	50,000	35 Households	Yes	Yes		
6.	Information Management	50,000	35 Households	No	Not applicable		
7.	Vermin Control	3,000,000	35 Households	No	No		

5.3 Lower Local Government Level (Sub-county/Division/Town Council)

SN	Process/activities	Activity Purpose	Methodology (How)	By who/what level		When	Expected outputs/ desired Situation	Required inputs	Remarks
				Lead Person	Other Actors				
1.	Dissemination of guidelines/policies to the Parishes (a) LG. Level Situational Analysis (b) Put together Parish priorities	To guide LLCs on the policy direction Update LG. Register Analyse key issues taking into account Opportunities Problems of issues Interest groups & associations (e.g. women's groups, youth associations, disabled, etc Make a list of all Parish submissions to Identify common issues	Circulars Conduct meetings Review LG. Information register, timeline analysis, mapping, SWOT analysis, livelihood analysis Poverty Cause/Effect Analysis -Gender analysis and mainstreaming Environment analysis Prioritisation Exercise	S/C Chief /Town Clerk S/C Chief /Town Clerk	Technical Staff	By 30 th September Continuous	Circulars sent and received by Parish Chiefs Overview of LG. situation		
3.	Consultative meeting between LLG Executive, technical officers, and Development partners(NGOs) in the LG, Initiating sectoral Policies, issues, and Priorities	Consultative Meeting on Implications of policy guidelines, Harmonised Planning & Budget process between development partners in the process & Areas of complementarity between Govt and partners, Indicative Panning figures by all actors Review of sectoral performance Formulate LG Vision, Come up with draft sectoral Priorities incorporating parish proposals. Establish resource ceilings	Meeting and discussion, review of past performance by LG. and NGOs, Identify service delivery gaps Review performance exercise Visioning Exercise	LG Chairperson	S/C Chief /Town Clerk	1 st week November	Broad priorities for action between LG., and NGOs, Areas of complementarity identified. Sub-county / Division / Town Council Vision in place		

	Process/activities	Activity Purpose	Methodology (How)	By who/what level		When	Expected outputs/ desired Situation	Required inputs	Remarks
				Lead Person	Others				
4.	Local Government Plan and Budget Conference	<ul style="list-style-type: none"> Review of performance Presentation of recommendations of the consultative meeting in step 3 Further consultations on proposals with a wider spectrum of stakeholders. Parish /ward proposals and parish approved plans deliberated upon Enlist further political input and consensus 	<p>Meeting / conference</p> <p>Discussions</p> <p>Documentation of proceedings</p> <p>Sectoral presentation,</p> <p>Review of performance</p>	Chairperson / Speaker of LG Council	S Chief / Town Clerk Technical Heads Councillors Investment Committee NGO representatives Private Sector	By 15 th November	<p>Consensus built on LG development vision and objectives</p> <p>Broad priorities identified,</p>	Financial reports,	Majority of stakeholders are aware of the Local Government Vision
5.	<p>(a) Hold Sub-county / Division/ Town Council sectoral planning session</p> <p>(b) Appraisal of investment proposals by the LGTPC</p>	<ul style="list-style-type: none"> Incorporation of comments and new ideas from conference, Agreeing on sector specific priorities, Further appraisal and costing of priorities, Formulating three year action plans, annual work plans & budgets, and project profiles Harmonisation of sectoral and lower level council plans Appraise proposals for technical, financial, environmental, gender responsiveness and political acceptability. 	<p>Focus group discussion(sectoral),</p> <p>Plenary to discuss sectoral linkages and final priorities.</p> <p>Three Year and Annual plan guide</p> <p>Documentation of proceedings</p> <p>Appraisal checklist to determine appropriateness, relevancy and cost-effectiveness</p> <p>Costing guide</p>	Sub-county Chief / Town Clerk	Technical Heads IC Members	By 3 rd week of November	Consolidated Draft proposals	Financial, Stationery, Technical facilitators	

	Process/activities	Activity Purpose	Methodology (How)	By who/what level		When	Expected outputs/ desired Situation	Required inputs	Remarks
				Lead Person	Others				
			Bill of Quantities (BOQ) guide O & M guide Matching guide Plan integration guide						
6.	Discussion of LG Draft plans by Finance Committee	<ul style="list-style-type: none"> Review of plan costing Matching priority requirements with resources available Further prioritisation in light of available resources 	Meetings and Discussions, Documentation of proceedings	Chairperson Sectoral Committees	Sub-county Chief / Town Clerk LG Chairperson		Recommendations to the LG Executive Committee Revised LG draft plan	Financial, stationery,	
7.	Executive Committee considers Recommendations from Sectoral Committees	<ul style="list-style-type: none"> Incorporate recommendations from sectoral committees Prepare rolled final draft plan and budget for Council 	Meeting(s) and Discussions, Documentation of proceedings	Chairperson LG Council	Sub-county Chief / Town Clerk Secretary Finance		Revised Draft Plan in place, Final recommendations for incorporation		
8.	Share LG. priorities with upper LG. For consideration in Upper LG Plan/Budget Conference, and inclusion in LDBFP	Integration of lower Council priorities into the District / city and national planning framework	Official communication using formats	Sub-county Chief / Town Clerk	District planner	By 3 rd week November	List of proposals for which LLG needs support from upper levels		
9.	Presentation of Local Government Three Year Plan and Annual Estimates	Consideration and approval of Local Government Plan and budget	Meeting and Discussions, Documentation of proceedings	Secretary Finance	Speaker LG Chairperson Councillors		Approved LG Plan and Budget		
10.	Communication and Feedback	<ul style="list-style-type: none"> Submission of approved LLG plans and proposals to Higher LG Councils Provide Feedback to Lower Councils 	Formal Submission Posting	Sub-county Chief / Town Clerk	CAO, Parish chief		LG plan and budget submitted Information disseminated		
11.	Implementation of Plan and Budget	<ul style="list-style-type: none"> Procurement Process Monitoring and Evaluation 	Request for Bids Information to DTB	Sub-county Chief / Town Clerk	PMCs Private Sector		Response from Private sector		

Process/activities	Activity Purpose	Methodology (How)	CSOs		When	Expected outputs/ desired Situation	Required inputs	Remarks
			By who/what level	Lead Person				
12. Review of Performance	<ul style="list-style-type: none"> To track performance, establish gaps, implementation challenges and share lessons / experiences gained To improve performance Review Strategies 	Quarterly Reviews TPC Meetings Plan and Budget Conference	Sub-County Chief, Town Clerk	LG Chairperson, Councillors, Technical Officers	Quarterly		Reports	Regularity of Administrati ve and technical review is key to this area

5.3 GUIDE FOR LOWER LOCAL GOVERNMENT LEVEL PARTICIPATORY PLANNING

Guidelines on to carry out activities

Activity 1 Dissemination of Guidelines and or Policies to Parishes

1. Send Circulars
2. Conduct meetings

Activity 2 (a) LG Level Situational Analysis

Each LG needs to have background information and to know its opportunities, needs, challenges, and resources, before the planning process starts. The Sub-county Chief /Town Clerk should ensure that information is collected, analysed, used, stored in a Lower LG Data record book. The information in the Data record book should be regularly updated and shared with the lower level.

Guide 1 LG Background Information

Key Steps	Source of information/Method	Who will Assist/Mentor?
Step 1 Describe the LG (administrative units – Parishes, Villages, tribal/ethnic make-up, statistics on people, numbers, employment, facilities, etc,)	LG Register	Facilitator/District Planner
Step 2 Up-date lower LG Register	Lower LG Register	-do-
Step 3 Identify the major events or trends that have happened in our area in the recent past	Timeline Analysis	Community Development Officer or other Departmental Staff or Facilitator from NGOs or other eg. Private sector
Step 4 Get/draw a resource map of the lower LG indicating key investments, resources including organisations (NGO/CBOs)working in the area	Mapping	-do-

Guide 2 Strength/Weakness/Opportunities/Threats (SWOT) Analysis

Key Steps	Source of information/Method	Who will Assist/Mentor?
Step 1 Identify the main assets of the LG (strengths) Step 2 What does the LG lack (weaknesses) Step 3 Identify the chances in your LG you can use in the development process (opportunities) Step 4 Identify the main fears as to what can block the development process in the LG (threats)?	Strength/Weakness/ Opportunities/Threats (SWOT) Analysis	Community Development Officer or other Departmental Staff or Facilitator from NGOs or other eg. Private sector

Example of Strength/Weakness/Opportunities/Threats (SWOT) Analysis

Activity/Project	Strength	Weakness	Opportunities	Threats
Information Management (CBMIS)	- LG Executive Committee in place	-Information management skills lacking - Gender analysis skills lacking - Low value attached to information	- District Departmental staff available - Revitalisation of births and deaths programme is on going in the District - Strong political will	The term of office of the Local Council is soon over
Food Production	- Fertile soils - Adequate rainfall (two season per year)	- Presence of vermin - Land scarcity	- Reliable market for our produce	Delayed Payments for produce of farmers

Guide 3 Livelihood and Poverty Analysis

Key Steps	Source of information/Method	Who will Assist/Mentor?
Step 1 Identify the different people/groups and their locations in the Parish and their livelihoods. Analyse livelihoods of disadvantaged groups –women, children, youth, elderly, PWD, PWA , migrants etc	Livelihoods analysis	Community Development Worker or other Extension Staff (Facilitator) from Sub-county or NGO or other e.g. Private sector
Step 2 Analyse changes in the livelihood of the people in the last 5 years	Timeline analysis	-do-
Step 3 Identify causes and effects of poverty	Cause-Effect analysis	-do-
Step 4 Find out which groups are the most well off and which groups most needy and where they are located	Well-being analysis	-do-
Step 5 Who are considered the poor in our area? (No house, food for family, children not in school etc)	- do -	- do -
Step 6 Identify areas where the poor live	- do -	- do -
Step 7 Find out whether the needs and visions of the poor people have been addressed: <ul style="list-style-type: none"> - Are most of the activities targeting where the poorest people live - Do they address the needs of special interest groups e.g. children, youth, women, elderly, PWDs, migrants, labourers, etc. - Are the poor people accessing services. What problems hinder effective access of services for the poor? Is there a fee to be paid? Can you introduce a system where the poor can be served for free? - Look into how information flow can be improved to reach the poor. - Find out how the poor people can be assisted to increase their income. - Find how the households can be assisted from getting poorer. 		
Key Steps	Source of information/Method	Who will Assist/Mentor?

<p>Step 8 Find out whether there is even or uneven accessibility distribution of services and or resources Ensure village inequalities are addressed</p> <ul style="list-style-type: none"> - Identify village inequalities eg. access to facilities, development funds etc. - Which villages of our Parish receive most of your funds and why? (Criteria for allocating funds) <p>Identify uneven accessibility and distribution of resources</p>		
<p>Step 9 Find out whether there are efforts to build the capacity of poor people to participate in their own development? (Empowerment)e.g. Information flow and information sharing Identifying what the poor can do without external support</p>		

Guide 4 Gender Analysis and Gender Mainstreaming in the Planning Process

As Councils plan, the following guide could be used for understanding gender issues and concerns for mainstreaming gender by deliberately addressing the gaps and biases between women and men, girls and boys which may negatively affect the development process.

There is need for Lower LG leadership to be trained in 'Gender analysis using Gender Role /Task, Resource and Time Analysis Exercises etc'.

The concern for the Local Councils here should be with identifying and discussing the following:

- Divide the Parish record between categories e.g. women and men, children under 5 years etc
- Find out who does what, where, when, with what resources – women or men.
- Find out whether there are concerns as regards their roles.
- Ensure representation of women and men visions in the planning process
- Find out who has access to resources - women or men.
- Find out whether there is a gap and implications.
- Find out who has power to control resources - women or men.
- Find out whether there is a gap in this regard and implications.
- Ascertain who benefits form the outcome of the project - women or men.
- Find out whether there is any imbalance between women and men and implications.

- Think of specific projects to put right the imbalances between women and men.

Activity 2 (b) Put together Parish Priorities

Guide 1 How to put development priorities in order of importance (prioritisation)

Prioritisation is about putting things in order of importance for the community and vulnerable groups. Local Councillors, executives and other stakeholders in the planning process should always remember that while development needs can be very many, resources are often not enough, so there is need to select what to do first.

- Step 1** Share up-dated information from the LG Register (divided between women and men) with LG Executive Committee
- Step 2** Using the information got form the above exercises, and lists of priority proposals from the Parishes/Wards, assist Sub-county/Division Executive to list important projects/activities which can help the Sub-county/Division as a whole improve and that can be done in three years' time.
- Step 3** Put the Sub-county/Division list of projects in order of importance (priorities) using prioritisation exercise.
- Step 4** Decide priorities to be referred to the District, those to be implemented at the Sub-county/Division level, and those to be referred back to the Parish.

EXAMPLE OF PRIORITISING

Sn	List of Projects	Cost Ug. Shs.	Number of Beneficiaries	Directly leads to poverty reduction	Environm ent Protected	Ranking Score and Order
1.	Rehabilitation of a Health Unit - X	20,000,000	70 People	Yes	Yes	
2.	Operation and Maintenance of Facilities	500,000	35 Households	No	Yes	
3.	Spring Protection village Y	600,000	70 People	No	Yes	
4.	New Primary School in Parish B	150,000,000	400 Pupils	No	No	
5.	Food Security (Cassava)	50,000	35 Households	Yes	Yes	
6.	Information Management	50,000	35 Households	No	Not applicable	
7.	Vermin Control	3,000,000	35 Households	No	No	

EXAMPLE OF SUMMARY OF LOWER LG PRIORITIES IN ORDER IMPORTANCE

Sn	List of Priorities in order of Importance	To be referred back to the Parish	To be implemented by Sub-county	To be forwarded to District / Town Council	Remarks
1	Spring Protection village Y		√		
2	New Primary School in Parish			√	For approval and recurrent costs commitment from District
3	Food Security (Cassava Garden)	√	√	√	Support required from all levels
4	Information Management	√	√	√	
5	Vermin Control			√	

Activity 3 Consultative meeting

1. Conduct consultative meeting between LLG Executive, technical officers, and other development partners (NGOs) in the LG,
2. Initiate sectoral policies, issues, and priorities

Guide 1 How to decide on a Lower LG Vision

A vision is a desired situation for the Lower LG in the future e.g. in 5years or 10 years from now. 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 area. It is particularly powerful when it follows on from a situational analysis (SWOT analysis etc), 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 people to build on the strengths of its current situation. A vision should convey a picture which people can identify with as important to achieve.

An example of a lower LG vision could be: *“By 2005, we will be an efficient and effective LG where people like to live and work, where revenue is collected fairly and health, education and extension services are provided for all people. We will be known for our work in helping the most vulnerable, especially orphans and female headed households where extension services will be targeted, and for developing important markets centres that have boosted our agricultural production and incomes ...*

After developing the vision, thought needs to be given about how the vision can come true. This is by developing implementation strategies, the ‘how to’ of achieving the vision. From the above example of a vision, a number of strategies could be selected, for example:

- Improving revenue collection systems
- Upgrading, equipping and staffing primary schools and clinics
- Provision of agricultural extension services for all farmers, but with a developed outreach programme for vulnerable groups
- Develop market centres for key agricultural products

- What problems are urgent and acute and should be handled immediately e.g. out break of cholera, earthquake, etc.
- Is there any similar project carried out in the area? Have they been successful or not? If not why not?
- Is there any support we can get from the Sub-county, voluntary agencies, donor, Government?
- Will the project have a positive or negative effect on the environment and the social set up of the people?

Guide 3 Environmental Check List for Sub-county / Division Planning Purposes

Environmental issues/concerns to be addressed or considered per sector:

Water Supply (NB for details refer to LGDP Environmental Assessment Check List)

- Selection of site for stand post where there is drainage away from kiosk.
- Filling of the depressions in the vicinity of the stand post.
- Construction of drainage channel to lead waste water away from the kiosk and into local drainage channels.
- Support to leakage detection and repair activities arranged by Municipality.
- Ensuring positive pressure is maintained in pipes at all times.
- Flushing the system regularly to remove accumulated silt.
- Providing surface water drainage.
- Ensuring sewage collection piping is installed and in a separate trench from the water supply.
- Maintenance of the systems on regular basis.

Roads (NB for details refer to LGDP Environmental Assessment Check List)

- Installation of culverts or bridges across natural or manmade channels and keep them cleared of debris
- Providing drainage ditches on both sides of the road and install small check dams to reduce force of water flow.
- Construction so that water drains away from the road
- Ensuring that openings of culverts or bridges are adequately sized to accommodate flows and organise regular clean out
- Establishment and implementation of a support roads maintenance programme

Drainage

- Installation of check dams to reduce force of water flow.
- Enlarged drain channels to accommodate peak flows
- Avoiding housing or commercial operations in the flood prone areas
- Hygiene education to raise awareness on open defecation and promotion of use of latrines

- Campaigns to raise awareness of adverse impacts of disposal of industrial and commercial solid and liquid waste in drains
- Raising awareness of the health risks associated with using water from drains
- Hygiene education to raise awareness on open defecation and promotion of use of latrines

Sanitation

- Ensuring latrines are located at least 30 metres from water sources, 60 metres is preferable.
- Establishment of a system to support the service of the caretaker to keep the latrines clean and well maintained
- Hygiene education to raise awareness on open defecation and promotion of use of latrines
- Hygiene education campaign to raise awareness of the health risks careless dumping of flying toilets
- Support to leakage detection and repair activities arranged by Municipality.
- Ensuring sewage collection piping is installed and in a separate trench from the water supply etc.(Refer to LGDP Environmental Assessment Check List)
- Where possible, consider ecological sanitation (Ecosan) Toilets.

Solid Waste Management

- Promotion and education on ` recovery of usable solid waste.
- Hygiene education to raise awareness of the health risks of careless disposal of human wastes and promotion of use of latrines.

Have we come up with ways of building people's capacity to participate in their own environment conservation? (Empowerment)

Activity 4 Local Government Plan and Budget Conference

1. Arrange and invite all stakeholders (Sub-county Chief / Town Clerk, Technical Heads, Councillors, Investment Committee, NGO representatives, Private Sector for a meeting / conference
2. Conduct discussions
3. Sectoral presentation
4. Review performance
 - Assess what was achieved by whom and with what?
 - Find out what was not achieved and why?
 - Establish gaps, implementation challenges, and share lessons / experiences gained
 - Identify areas of improvement
 - Review Strategies to improve performance
 - Determine the way forward
5. Document proceedings

Activity 5 (a and b) Hold Sub-county / Division/ Town Council sectoral planning session

1. Conduct focus group discussion (sectoral)
2. Conduct a plenary session to discuss sectoral linkages and final priorities
3. Document proceedings
4. Develop appraisal checklist to determine appropriateness, relevancy and cost-effectiveness

Guide 1 How to Appraise Plans

Appraisal is a process by which a local government tests its proposed investments/interventions to ensure they meet some minimum requirements. This is done before the plan is presented to the council for approval.

The following issues should be considered when appraising the Sub-county/ Division proposed plan:

Meeting Overall Objectives

Does the proposed project meet the overall national objectives?

Does it meet the overall Sub-county and Parish objectives as set out in the Vision and Implementation Strategies?

Policy Relevance

Is the proposed activity within the 3-year development plan of the Parish/Ward?

Is the proposed activity within the mandate of the Parish/Ward?

Refer to Schedule 2 of the Local Governments Act, 1997 for the mandates of the your Council.

The financial viability

Do you have sufficient funds in the budget to execute the proposed project?

Does the project have recurrent costs?

If the project has got recurrent cost has it been provided for in the budget once the project has been executed?

Does the proposed investment have recurrent cost to the district?

If the project has recurrent cost to the district, has the relevant line department given a go a head and accepted to meet the recurrent cost once completed?

Is there provision for operation and maintenance of facilities / investments

The social Desirability (acceptability)

Who are the primary beneficiaries? How does the project help vulnerable groups? How does it help eradicate poverty?

Have special groups e.g. women, youth, PWDs, PWAs, children been involved in the planning the project and are they going to benefit from its implementation?

Are there gender imbalances?

Is there demand for the service / facility?

The environmental friendliness

Is the proposed investment likely to have any negative impact on the environment?

If it is likely to have any negative impact on the environment, are the mitigation measures taken care of in the project design?

The technical feasibility

Is the proposed investment possible given the choice of technology being proposed?

Is the proposed technology sustainable given the available resources- personnel, skills,

Is the requisite institutional and technical capacity available to carry out the project?

Guide 2 How to Cost a Plan

Once a Parish/Ward has come up with a list of projects it intends to implement in a given year, it must estimate the amount of money that will be required to implement the projects. This process is called costing.

The following steps describe how a Parish/Ward can go about costing its plan:

- Step1** For every project, identify and describe all the activities that will be carried out.
- Step 2** For every activity, identify and describe the inputs (resources) that will be required. The resources could be in form of land, building materials, labour, stationery, allowances for participants, transport, etc.
- Step 3** Determine the unit of measurement of each input. For instance if the input is cement then the unit of measurement is bags.
- Step 4** Estimate how many units (the quantity) of each input is required: For instance 50 bags of cement.
- Step 5** Determine how much each unit will cost (unit price). This information can be obtained from the price list issued by the District Local Government Tender Board. It can also be got by surveying the price of goods in the local market.
- Step 6** Determine the total amount of money that is needed to buy the required units. This is done by multiplying the quantity required of each unit by the unit price.
- Step7** Determine the total amount of money that will be required to carry out the whole activity. This is obtained by adding the total amount required for each input, in other words, the sum total of all inputs required to carryout the activity.
- Step 8** Determine the total amount of money required to carry out the project. This is obtained by adding up the cost of all activities involved in the project.

Example: Bill of Quantities (BOQ) for Construction of a Two Classroom Block					
Item	Quantity	Unit cost (shs)	Total Cost	Source of funds	Remarks
1	Bricks	10000	70	700000	Community
2	Sand	10 trips	20000	200000	Community
3	Hardcore	5 trips	35000	175000	Sub-County
4	Aggregates	3 trips	55000	165000	Sub-county
5	Timber 6x2	50 pcs	3500	175000	Plan International
6	Timber 4 x 2	70 pcs	3000	210000	Plan International
7	Timber 12 x 1	30 pcs	4000	120000	Plan International
8	Poles	50 pcs	2000	100000	Local MP
9	Cement	55 bags	16000	880000	World Bank
10	Mortar Pans	10 pcs	1500	15000	PTA
11	Sisal Rolls	3 rolls	2500	7500	PTA
12	Iron Sheets G28	75 pcs	12500	937500	Plan International
13	Roofing Nails	15 kgs	3000	45000	Plan International
14	Wire Nails	25 kgs	1500	37500	Plan International
15	DPC	4 rolls	9000	36000	Community
16	Windows	8 pcs	70000	560000	Sub-County
17	Doors	4 pcs	80000	320000	Sub-County
18	Painting	30 litres	3000	90000	PTA
19	Transport	Provision	500000	500000	School Management
20	Plan Costs	Provision	200000	200000	School Management
21	Labour	15% material costs			
	Grand Total			5473500	

Guide 3 How to Determine and Provide for Operation and Maintenance/Recurrent Costs

Operation and Maintenance entails:

- Management of the facility including – men to operate it, money for payment of salaries, materials and equipment.
- Resource mobilisation and management – Bank Accounts, records etc
- A sustainable reporting maintenance and support systems established for repairs and new investments.

In determining Operation and maintenance costs, consider the following:

- What is the facility (investment)?
- Who is using it?
- What do we need to operate it?
- What do we need to do to keep the facility working?
- What will be the costs per year?
- How will the costs be met?

Guide 4 How to Match Plans with Available Resources/Budgets

In any given financial year, the Sub-county/Division will have a long list of projects it intends to implement in order to bring about the development of the area.

The Division will, however, not have enough resources to implement all those projects.

The Sub-county/Division should therefore select the projects, which are of high priority, which the available resources can implement.

The following steps explain how a Sub-county/Division can match its planned activities with the available resources so as to have a balanced budget:

- Step 1** Determine the resources that will be available to the Sub-county/Division during the financial year for implementation of projects. This is done by adding up expected revenue, transfers, and donations from all the sources.
- Step 2** Make a list of all the identified projects (investments) for the year. List the approximate cost of each project alongside it.
- Step 3** On a fresh piece of paper, copy the list of the projects in order of priority with the most important projects at the top and the least important at the bottom.
- Step 4** Now add up the cost starting at the top and working down. When you entire budget is spent – draw a line. This is the zero-base where the money available equals approximately the money to be spent.
- Step 5** The projects that fall below the line are dropped for the period/year unless more money becomes available.

Phasing of Plan Implementation

- ◆ Investments that fall below the budget line are deferred to the next planning and budgeting period or,
- ◆ The scale (targets) of implementation for the project above the budget line is reduced to accommodate other projects below the budget line.

Guideline 5 How to Integrate Plans

Do the following:

Step 1 Capture the contribution/interventions (Development Priorities) of LL Councils and other actors and how they contribute to overall LG development.

Step 2 Show contribution of lower local council interventions as below the budget line.

Step 3 Capture the Recurrent Costs of the LLC investments into the LG Budget

Guide 6 How to Develop a Three Year Plan and Budget (Medium Term Plan and Budget)

The law requires every local government to prepare, approve and implement a Three-Year Rolling Development Plan. The annual budget of every local government is derived from the approved Three-Year Development Plan. Plans are therefore the means by which local governments translate their development goals, objectives and strategies into actions for implementation. Plans describe activities to be implemented by a Sub-county/Division over a defined period of time. In any case Sub-county/Division Plans must be prepared covering a period of three years. They are prepared based on the amount of resources Sub-county/Division projects collect/receive over a three-year period. The following steps outline how a Sub-county/Division can proceed in preparing its three-year action plan:

- Step 1** Review the subcounty/division vision and the implementation strategies
- Step 2** For each implementation strategy, list the projects that are associated with it and that will helping achieving the vision.
- Step 3** List the projects in order of priority with the most important projects (those that contribute most to poverty eradication and achieving the vision) at the top and the least important (have the least direct link with poverty eradication and achieving the vision) at the bottom, with their approximate cost alongside.
- Step 4** Estimate the amount of resources that will be available to the Sub-county/Division over the three year period. This is done by adding up the estimated revenue of the Parish from all the sources. This should include is expected from local revenue, community contribution, central government contribution and contribution from NGOs where there is commitment.
- Step 5** Add up the cost of the proposed projects starting at the top and working down. When you entire budget (total estimated revenue over the three year period) is spent– draw a

line. This is the zero-base where the money available over the three-year period equals approximately the money to be spent. This process can be done sector by sector.

Step 6 In order of priority and based on the estimated resources, determine the targets that will be achieved for every activity for each of the three years. Remember the amount of money available may not be the same every year. Normally, the projected revenue of a subcounty/division should increase year by year. But avoid making unrealistic estimate.

Step 7 For each of the three years, the total estimated cost of achieving the proposed targets must be calculated and provided.

Example How a Three-Year Sub-county / Division Plan may look like

What have we agreed to do?	Where will it be done?	When will it be done?	Who will do what?	What do we need to do it?	What will be the output(s)?	Estimated Cost
Collect ion basic information about the Parish(Parish Records)	Parish by Parish	Every year by 30 th September	The Sub-county Chief will organise and divide work among themselves	Parish Registers Pen or Pencil Time	Sub-county information available	20,000=
Spring Protection	O PQ X Parishes	Year 1 & 2 starting August	Hire experienced fundi	-	6 Protected springs	3,600,000=

Guide 7 How to Develop Annual Work Plans and Budgets from the Three Year Plan

Annual work plans and Budgets (AWP&B) are derived from the Three-Year Plan by taking activities/projects in year one of the Three-Year Plan.

This is then detailed by giving the following elements:

1. Indicate code and activity/project agreed upon for that year. (This information is obtained from the Local Government Financial and Accounting Regulation (1998) and the Three-Year Parish Plan).
2. Determine sector in which the activity falls (e.g. education, health, production etc.);
3. Identify Where it will it be done
4. Determine when will it be done
5. Decide who will do what
6. Identify what is needed to do it

7. Indicate the expected output(s) per activity/project
8. Indicate the estimated cost of the project/activity;
9. Indicate the estimated expenditure of each project.
11. Indicate sources of funding and Category of investment for the project. If you expect this project to be financed from more than one source, indicate all the sources and how much will come from each source.

Example How to Develop Annual Work Plan and Budget from the Three Year

Activity/Project agreed upon + Code	Sector in which the activity falls	Where will it be done?	When will it be done?	What do we need to do it?	Who will do what?	What will be the output(s)?	Estimated Cost	Source of funding Category of investment
Collection basic information about the Parishes (Parish Records)	Cross-cutting	Parish by Parish	Every year by 30 th September	Parish Register Pen or Pencil Time	The Sub-county Chief will organise and divide work among themselves	Sub-county information available	20,000=	Parish
Spring Protection	Water	O P Q X Parishes	Year 1 & 2 starting August	-	Hire experienced fundi	6 (six) Protected springs	3,600,000=	Sub-county

Guide 8 Sub-County Project Profile

1. Name of the investment
2. Location: Where is the project?
3. Identification process (attendance at meetings: men, women, youth etc.)
4. Implementation responsibility (who is responsible for what?)
5. Project objective
 - a) what is the objective of the project?
 - b) How will the project contribute to poverty reduction?
 - c) What impact will the project have on the environment?
6. Time frame
 - a) start date
 - b) end date
7. Benefits and beneficiaries
 - a) Who will benefit from this project?
 - b) How will the project help the most vulnerable groups in the Sub-county?
 - c) How many households will benefit from this project?
8. Estimated project cost
9. Source of funding
10. Funds secured
11. Funding gap

12. Project will be implemented by
13. Project will be inspected and supervised by
14. Completed work will be maintained by
15. Operating cost will be met by
16. Annual operating cost
17. Annual maintenance cost

Activity 6 Discussion of LG Draft plans by Finance Committee

1. Conduct meetings and discussions:
 - Review of plan costing (Refer to Guide 2 Activity 5)
 - Matching priority requirements with resources available (Refer to Guide 4 Activity 5)
 - Further prioritisation in light of available resources (Refer to Guide 1 Activity 5)
2. Document proceedings

Activity 7 Executive Committee considers Recommendations from Sectoral Committees

1. Conduct meetings and discussions
 - Incorporate recommendations from sectoral committees
 - Prepare rolled final draft plan and budget for Council
2. Document proceedings

Activity 8 Share LG. priorities with upper LG. For consideration in Upper LG Plan/Budget Conference, and inclusion in LDBFP

Use recommended formats and communicate officially

Activity 9 Presentation of Local Government Three Year Plan and Annual Estimates

1. Conduct meetings and discussions:
 - Consideration and approval of Local Government Plan and budget
2. Document proceedings

Activity 10 Communication and Feedback

1. Formal Submission
 - Submission of approved LLG plans and proposals to Higher LG
 - Provide Feedback to Lower Councils
2. Posting

Activity 11 Implementation of Plan and Budget

1. Request for Bids
2. Information to District Tender Board (DTB)

Activity 12 Review of Performance

1. Quarterly Reviews
 - Assess what was achieved by whom and with what?
 - Find out what was not achieved and why?

- Establish gaps, implementation challenges, and share lessons / experiences gained
- Identify areas of improvement
- Review Strategies to improve performance
- Determine the way forward

2. Technical Planning Committee Meetings

3. Plan and Budget Conferences

CHAPTER SIX: OUTLINE OF CONTENT AND KEY ELEMENTS OF SUB COUNTY, TOWN COUNCIL, DIVISION PLAN.

Heading	Purpose of the Heading	Key Elements of the Heading (On how to handle tasks in this column refer to guidance provided in chapter four of this guide.
Title Page	Explains what the document is all about, and concerned LG.	Name of local Council, Type of plan, period of coverage,
Foreword	Introductory summary by the Local council leadership on state of development registered by the local government	This highlights political commitment by the leadership in steering the development of the local government Highlight the major priority investments of the local government in light of the existing LG challenges.
Executive Summary	Gives an overview of the LG overall vision development goals, objectives and priorities in specified years.	A recap on past performance by LG., outstanding core problems including unforeseen hazards that came by, LG. Vision, underlying objectives that, will ensure the fulfilment of the vision, the expected outputs in terms of projects, means of verifying that the objectives are met. In addition , it has to show summaries of <ul style="list-style-type: none"> • Key investments to be undertaken, • Cost of projects per sector per source, • Investments Cost per parish, Plan Implementation framework, Including the interventions of non-LG. (NGOs) interventions. <ul style="list-style-type: none"> • Investment proposals distributed among levels of Lg (categories of investment) indicating the available commitment by ULG to meet recurrent cost implication of investment and proof of commitment by upper LG. to meet any such costs, • Comments on how the planning process went,
Chapter One	General Background information of the LG., the nature of participation that the planning process went through	
1.0.Introduction		<ul style="list-style-type: none"> • Objective of the plan (what the plan aims to achieve in broad terms) • The participatory planning process and the outcomes i.e. the steps and major outputs • The lay out of the plan in terms of chapters and how each feeds into preceding and successor chapters.
1.1.L.G. Profile and Situational Analysis	Assists stakeholders to know about their LG. in terms of geographical location, the emerging locational challenges, opportunities/ resource endowments, and how these can be used to determine the future..	<ul style="list-style-type: none"> • Geographical information about the LG. by Distance from main city, direction, borders of other LGs and how this impacts on LG social - economic development. • Administrative and political strata how the two structures relate, • Unique differences amongst parishes and villages and how such differences contribute to their current social economic disparities and similarities, • Key salient physical features that may create unique identity of the LG., • Climatic conditions and how they shape the peoples economic activities and later on to social welfare, • Local Government set-up and how the structure helps in the

		<p>fulfilment of roles and responsibilities as mandated by the LGA 1997,</p> <ul style="list-style-type: none"> • Existing development partners, how they compliment LG. Service delivery system, and anticipated mode of support by the LG • Specific and relevant information that helps to the identification of key priorities, • Demographic characteristics desegregated by age groups, gender, ethnicity i.e. size, density, ethnicity and how these impact on development in terms of LG. economic activities, • Livelihood groups/social economic analysis, • Analysis of LG Strengths, Weaknesses, Opportunities and Threats
1.1(a) L.G. Major Development Challenges	Identify key development impediments within the L.G. that deny communities of good livelihood	<p>1. Key issues to consider are those that for example deny communities of their citizenry rights. These include</p> <ul style="list-style-type: none"> • Good health, • Access to basic education, • Access to adequate safe water and sanitation • Desirable/adequate household incomes • Access to market • Good nutrition • Good physical environment • Protection from HIV/AIDs • Stable security and political environment etc. <p>2. Establish why there are deficiencies in the above. Ask questions like,</p> <ul style="list-style-type: none"> • What is causing the high prevalence of malaria in parish X • Why is it that most children in the school age bracket in parish A are not in school? • Why are most households in village Y grass thatched? Etc.
1.1(b) LG. Development Opportunities /Endowments	Identify existing opportunities; strengths, and/or endowments that exist within L.C. that if harnessed, used in a sustainable way, protected, improved upon can help the LG. to overcome the identified challenges above.	<p>Identify if any of these exist, document the contribution they can provide towards the existing challenges</p> <ul style="list-style-type: none"> • Natural resources base including lakes, rivers, wetlands, forests, waterfalls, mountains, land (for investment and agriculture) etc. • Existing infrastructure like trunk roads, feeder roads, schools, airfields, health units, access to marketed. • Human resource base especially the general productive age population, trained, semi-skilled, • Investment opportunities in the area and how they can be exploited, • Existing industrial base or its potential • Production of raw materials that can foster industrial base, • Favourable climatic conditions and how it influences agricultural production, • Soil fertility and texture and how it can promote rural development

1.1© Recent Developments	It is important to track some of the emerging issues and how they may have influenced the existing development or slack of the LG. Lessons learnt would then guide future planning	<ul style="list-style-type: none"> • What levels of service delivery has the LG achieved as an answer to the LG challenges. • What opportunities came our way to tackle some of the challenges of the LG, e.g. new development programmes, • What hazards came our way and what lessons do we learn to cater for such in future etc. • What were the policy achievements of council? • Recent changes in the political, social and economic structure
Chapter Two: Sectoral Situational Analysis	To dig out relevant information necessary to guide the council in informed decision making. Emphasis here should be on the cause-effect analysis using simple tools e.g. Problem Tree Analysis	
2.1(a) Water and sanitation		<ul style="list-style-type: none"> • Water and sanitation coverage per parish, • population to water source ratio per parish (noting particularly the villages that have high population /water source ratios), • pupil to stance ratios per school by gender and parish, • Number of schools with safe water facilities, • Incidence of water and sanitation related diseases per parish, • health units with; adequate water and sanitation facilities, • public sanitation facilities with PWD provisions, • percentage of functioning water sources, • capacity utilisation per facility as a gauge for additional need,
2.1(b) Primary Education		<ul style="list-style-type: none"> • School infrastructure in terms of classrooms, • enrolment to class ratio per school, • Average distance to the nearest school per parish, • Enrolment per school desegregated by gender, • teachers staffing per school and the teacher pupil ratio per school, performance trends for at least the past 3-4 years, • pupil retention rate and drop out rate from school by gender, • drop out reasons by gender, number of private and government aided schools
2.1(c) Feeder Roads maintenance		<ul style="list-style-type: none"> • Road length by category, • motorable kms of road by category • kms of non motorable roads, • no of bridges functioning and non functioning, • key roads leading to major economic /commercial terminals like boarder posts, landing sites, agriculturally potential areas in the LG,
2.1(d) Health care		<ul style="list-style-type: none"> • Population by parish, • Health units by category, • health personnel in terms of population per technical staff, • private health units and by category, • health services commonly provided by the existing health units, • health services lacking, • nearest referral services in terms of distance, • commonly prevalent diseases per parish, • the relationship of common disease cases in respect to household sanitation and or immunisation levels per parish, • average distance to nearest heath facility,

		<ul style="list-style-type: none"> • HIV/AIDS case per parish and by gender, • immunisation performance/ Coverage per parish.
2.1(e) .Environment management		<ul style="list-style-type: none"> • What environment challenges exist in each parish e.g. deforestation, forest acreage per parish, • acreage of private forests and government forests, • acreage of recently planted forests, • refuse disposal, • wetlands in the LG and numbers of wetlands being misused, • strategies being used to guard against,
2.1(f) Good governance and security		<p>General political and social security in the LG as manifested by the:</p> <ul style="list-style-type: none"> • Number of armed rebellion incursions, robberies, killing of innocent people, • human rights abuse, • refuge cases, camps of internally displaced people, • Indicators of political accountability to the electorate,
2.1 (g) Production		<ul style="list-style-type: none"> • General economic activities by parish, • key agricultural spots in the LG, • production trends by activity for the last 3 years, • key incentives that are encouraging production in the area, • main production set backs limiting the sector, • Number of people employed in agriculture, commerce, fishing, trade, tourism, • what can be done to enhance production levels, • what percentage of the population are landless
2.1(h) Finance		<p>Major economic activities in the LG by parish,</p> <ul style="list-style-type: none"> • how the economic activities contribute to the revenue base of the LG, existing deterrents to the performance of the sector, • trends in revenue generation for the last three years and why declining or improving trends, • what can be done to improve existing situations
2.1(l) Critical observations arising from sectoral Situation analysis		<p>The need to have inter-sectoral linkages or cross sectoral analysis indicating the contribution of each sector to the others and to the overall vision. E.g.</p> <ul style="list-style-type: none"> • How does poor health impact on agricultural productivity • How does lack of or poor sanitation impact on school attendance • How do poor roads impact on overall revenue generation and poverty, etc
2.2. Vision, and Implementation Strategies of the Local Council	Developing simple Specific statements of intended achievement and how the achievements will be met.	<p>The vision should show direction of where the L.G. Would wish to be in terms of development within a given time duration. I.e.</p> <ul style="list-style-type: none"> • The kind of changed situation the council wishes to have in a prescribed period of time i.e. Where do we want to be in 5 or 10 years time? • The implementation strategies, as statements of how the vision can be achieved. Where possible these should be specific, measurable, time bound and achievable in terms of existing resources, potentials, challenges and endowments. E.g. We have to increase water coverage from 55% to 77% within one year so that we can reduce on the cases of diarrhoeal diseases in parish B • Each strategy should spell out how it contributes to the four pillars of the Poverty Eradication Action Plan (PEAP) i.e. Good

		<p>Governance and Security, Improving the Quality of life of the people, Macro Economic Stability and growth, and increased household income</p> <ul style="list-style-type: none"> • Examples of questions that can be used to develop implementation strategies may include: • How will the LG reduce on household poverty? • How will the LG increase on safe water coverage, develop primary schools etc?
Chapter Three		
<p>Sectoral Plans and their relationship to key development themes</p>	<p>To identify appropriate sectoral intervention areas for action as arising from existing challenges, sector situation analysis</p> <p>Establish key activities , linkages between the objectives and the identified set of activities, scheduling of plans</p> <p>Identifying those objectives and activities that can be shared amongst different sectors of LG as well as linking the contributions of each sector objective to the overall vision</p>	<p>Questions involved:</p> <ol style="list-style-type: none"> a). Where do we want to be in three years time, b). How are we going to get there (strategies) c). What do we need to do d) What should the LG do and what should the other development partners do in fulfilling the objective and mission? e). What specific activities will we carry out to ensure that we achieve our objective and vision f). Who is our partner in overcoming this problem <p>Cross Sectoral linkages are crucial and can be done by asking such questions, What are those objectives or actions that require sector specific actions, What are those objectives that require the intervention of more than one sector, How will sector A Contribute to sector B 's contribution to meet the objective</p>
<p>Key Planning Outputs</p>	<p>It indicates the means by which the LG translates their development vision, objectives and strategies into action for implementation.</p>	<p>Three year Action plan Annual Work plan, Investment profiles (capital and non capital), Investment budgets,</p>
<p>Three year Action Plan</p>		<ul style="list-style-type: none"> • Identified SMART Objectives • Strategies of achieving the objectives • For each strategy, identify appropriate activities • Estimated amount of resources that will be available over the three year period • Key prioritised matched with the estimated available resources • Pull- outs of specific activities to be implemented in each of the three years • For each of the three years the total estimated cost of achieving the proposed targets
<p>Annual Work plan</p>	<p>Indicates those targeted</p>	<p>This is a tabulated format indicating the following.</p>

	actions that must be tackled in the first year of the LG rolling plan across the various sectors	<ul style="list-style-type: none"> • Objective (what is to be achieved) • The corresponding activities (what exactly is to be achieved) • Activity Quantifiable targets (how many, how much is to be achieved) • Activity indicator (what will show that the targets have/are being achieved) • Location of implementation (what parish and village is the activity to implemented) • Lead implementor9title of lead person) • Start and completion time (months) of the activity • Total required budget (how much will it cost) • Source of funding (who will finance the activity)
Investment Profiles (capital and non -Capital)	<p>Descriptive information of the project.</p> <p>The depth of content varies from one level of local council to another.</p>	Sector and Sub-sector under which the investment lies, Title of investment, Implementing agency (whose responsibility are the accruing recurrent costs, if for upper level attach commitment from responsible level at the end of plan document) , Location of investment by parish and village, Total planned expenditure(show the funds secured per source, amount of recurrent expenditure), Completion time (start and end time month and year), Project Objectives (statement of intended achievement), Project background (information highlighting the desire for the project), Technical description (description of project components), Financing terms (what are financing phases of the project), Project feasibility, Plan of Operation (phased implementation), Investment monitoring responsibility and when, Operation and maintenance strategies
Indicators for Monitoring And Evaluation		<p>A section on:</p> <p>How the objectives and activities in the plan will be monitored.</p> <p>Who will be responsible for the monitoring</p> <p>When the monitoring will take place</p> <p>The tools for monitoring</p>

Table: Investment and Recurrent Cost Estimates: Selected Service Categories

Sector	Type of Investment	Investment Cost (000) shillings	Estimated Recurrent Costs (Per Annum)
Education	Classroom Block – four Classrooms (WV) Classroom Block (RDDP)	27,000 30,000 – 50,000	Mainly GoU UPE. Except maintenance of buildings
Water	Protected Spring Shallow wells fitted with U3 hand pumps <ul style="list-style-type: none"> ▪ Dug well ▪ Drilled well Shadoof (unprotected dug well) Bore hole	800 – 5,000 8,000 9,000 800	20 80 80 100
Roads	Gravel Road / path with 2.5 metre width <ul style="list-style-type: none"> ▪ New construction with single gravel layer ▪ Community Bridge ▪ Culverts 	40,000 per km 7,000 – 15,000	Routine maintenance amounts per km per year
Health	Sub-county Health Centre Construction of Health Centre(RDDP)	35,000	Estimated District recurrent cost per unit Health centre 40,000 Dispensary – Sub Dispensary

			15,000 – 30,000
	Construction of Aid Post (RDDP)	10,000	
	Construction of Health Unit (WV)	15,000 – 20,000	

Form: ME – P – 01 PARISH CHIEF’S SUMMARY REPORT ON PROJECT IDENTIFICATION PROCESS

Purpose: To summarise all projects identified in villages and those forwarded to the Parish Council. this report also captures the level of participation in villages during project identification. This information will help the Chief and or PDC to get an impression of the views held by the people about their development and the extent to which they are involved in finding solutions to the problems that stand in their way of development.

Frequency / Date of Submission: Once a year in March

Predecessor Document: Documentation of village prioritisation process. Format in guide

Successor Document: Sub-County Chief / Town Clerk report summary on project identification (ME – S – 02)

Prepared by: Parish Chief
Submitted by: Parish Chief
Submitted to: Sub-county Chief / Town Clerk

Form filling Instructions:

1. Write the name of Parish and Number of villages
2. Indicate the number of project identification meetings held and reported (this would be equivalent to the number of reports)
3. a) Add up all attendance by sex and divide by number of meetings in (2) above. Indicate the expected attendance (Parish Adult Population)
b) Add up all expected attendance by sex and divide it by number of meetings
4. In Column 1, list all projects identified / proposed in the prioritisation processes in village. For each project indicate whether or not it was adopted by the village council by ticking either column 2 for YES and 3 for NO.
5. From the village reports, indicate the number of villages falling under each category of participation.

Date.....

1. Parish.....No of Villages.....

2. Number of village project prioritisation meetings held and reported on

3. a) Average attendance: Males

Females.....

b) Average expected attendance: Males

Females.....

4. Summary of village Priorities

PROJECT PROPOSED	ADOPTED	NOT ADOPTED
1	2	3

5. Level of Participation

Number of villages with active participation:

.....

Number of villages with little or no participation:

.....

Number of villages with at least 30% women participation:

.....

Parish Chief’s Name..... Signature

.....

ME – P – 02 PARISH CHIEF’S SUMMARY OF PROJECT PROGRESS

Purpose: To summarise the status of progress of projects in the parish. It also facilitates the assessment of whether projects are being implemented on target and assists in determining whether there are functional Project Management Committees.

Frequency: Quarterly

Predecessor: Project Management Committee progress reports (ME – PMC - 01)

Successor Document: a complete Sub-county’s summary of completed and on going projects (ME – S – 04) and Parish Performance assessment form (ME – S – 03)

Prepared by : Parish Chief

Submitted by : Parish Chief

Submitted to : Sub-County Chief

Form Filling Instructions:

Column 1 : list name of the project.

Column 2: Tick if progress is on schedule

Column 3 : Tick if progress in not on schedule

Column 4 : Write YES if Project Management Committee is in place and functional

Column 5 : Indicate reasons for progress being behind schedule

Column 6 : State action proposed or taken

ME – P – 02 PARISH CHIEF’S SUMMARY OF PROJECT PROGRESS

PROJECT	PROGRESS ON SCHEDULE	PROGRESS BEHIND SCHEDULE	FUNCTIONAL PMC	REASONS FOR DELAYS	PROPOSED ACTION
(1)	(2)	(3)	(4)	(5)	(6)

Parish Chief Signature

ME – S – 01(a) SUB-COUNTY CHIEF’S SUMMARY REPORT ON ATTENDANCE OF PLANNING MEETINGS

Purpose: To determine the extent to which people have been involved in planning process

Frequency : Once a year in May

Predecessor Document: Parish Chief’s Summary report on project identification process (ME – P – 01)

Successor Document : Sub-county performance assessment Form (ME – S – 03)

Prepared by : Sub-county Chief

Submitted by : Sub-county Chief

Submitted to : District Technical Planning Committee

Form filling instructions:

- Column (1) Indicate name of Parish
- Column (2) Indicate average attendance by males in Parish
- Column (3) Indicate average attendance by females in Parish
- Column (4) Indicate total average attendance in Parish
- Column (5) Indicate expected male attendance of males (adult population)
- Column (6) Indicate expected female attendance (adult population)
- Column (7) Indicate total adult population
- Column (8) Divide figure in Column (2) by figure in Column (5) and multiply 100
- Column (9) Divide figure in Column (3) by figure in Column (6) and multiply by 100
- Column (10) Divide figure in column (4) by figure in Column (7) and multiply by 100

ME – S – 02 SUB-COUNTY CHIEF'S REPORT ON PROJECT IDENTIFICATION PROCESS

Purpose: The report will allow for the comparison of projects identified at different levels and those that are approved. It will also indicate the percentage of the budget that is direct to PPAs and Schedule II Activities

Frequency / Date of Submission Once a year in May

Predecessor Documents: Parish Chiefs' reports on project identification process (ME – P – 01)
Proposals from Technical Planning Committee
Minutes of Sub-county Council on Project Identification

Successor Document: District Planner's summary of identified projects (ME – D – 01)

Prepared by : Sub-county Chief

Submitted by : Sub-county Chief

Submitted to : District Planner

Form filling Instructions:

In column (1) write project name, in column (2) indicate source of project idea (District, Sub-county/ Division/ Town Council, parish or village), in column (3) indicate whether project was approved by Sub-county council; in columns 4 – 6, for only approved projects, show budget and its distribution. Tick column (7) if project is PPA and tick column (8) if project falls under schedule II activities

ME – S – 02 SUB-COUNTY CHIEF'S REPORT ON PROJECT IDENTIFICATION

Sub-county.....Date.....

Project	Source	Approved YES/NO	Project Budget (If Approved)			PPA	Schedule 2
			LDG	Community	Other Sources		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

Sub-County Chief:.....Signature.....

FORMAT FOR VILLAGE LEVEL PROPOSALS

To be filled by Secretary Village Council

1. Date
2. Name of Village
3. Name of Parish
4. Name of Sub-County / Division / Town Council
5. Attendance List (with designation, representation and signatures)
6. Issues / Problems discussed (mention each problem and the person who raised it) for example “the need to repair the bore-hole was raised by the women representative on the Village Executive”
7. Of the issues / problems raised, the following were finally accepted as Investment priorities
8. Comments:
 - i) The meeting lasted ----- minutes / hours
 - ii) The nature of the discussion was:
 - a) Lively / Active
 - b) Dominated by a few
 - c) There was confusion

FORMAT FOR PARISH PROPOSALS

Refer to earlier proposal on page 45.

INVESTMENT PROJECT PROPOSALS

The Investment Projects as developed by the Investment Committees should describe the project in accordance with the format below:

1. Sector ("Technical Services")
2. Sub-sector (e.g. water) – indicating PPA: YES/NO
3. Code (Based on Accounting Code)
4. Title (Dug wells in Busimbi)
5. Implementing Agency
 - a) e.g. "Sub-county, District, NGO, etc
 - b) Category of Project (Community, Sub-county, District)
6. Location (clearly indicate the Parish)
7. Total planned expenditure
8. Funds secured
9. Funding gap
10. Recurrent Expenditure: Responsible Institutions and Estimate of Costs
11. Completion date (estimate)
12. Objectives (e.g. to improve on health conditions or accessibility of water)
13. Background (may be lack of water sources or high prevalence of water borne diseases)
14. Technical Description: a description of the different components of the project: e.g. wells dug by village fundis, hand pumps supplied through Water Department etc.
15. Financing (funding sources)
16. Feasibility Study (has any study been carried out? May be recommendations from fundis and health assistant, may be the water department?)
17. Plan of Operation (main activities as per financial years)
18. Monitoring report (how to report)
19. Detailed budgets and or Bill of Quantities to enable Tendering / Approval of force contracts
20. Indicate **origin of priorities**
 - a) Proposed by Village Executives, Parish Executives, Sub-county Executives or others
 - b) Were women, youth and disabled involved – how?
21. Indicate **target group** – does the project benefit
 - a) particular parish or other sub-locality
 - b) men
 - c) youth
 - d) the disabled
 - e) other disadvantage / marginalised / vulnerable groups as may be identified

FEEDBACK FROM SUB-COUNTY TO PARISHES

To:..... Parish.....

Arising from the Sub-County Council meeting held on The following projects proposed by were reviewed And decided upon

Priorities of Investment Projects from Parishes to Sub-County

Parish	Priorities Received	Priorities Forwarded	Priorities Approved by Sub-County Council
Village A			
Village B			
Village C			
Village D			
Village E			

Signature of Sub-County Council Chairperson