

THE UNITED REPUBLIC OF TANZANIA



PRIME MINISTER'S OFFICE REGIONAL ADMINISTRATION AND LOCAL GOVERNMENT

THE OPPORTUNITIES AND OBSTACLES TO DEVELOPMENT - A COMMUNITY PARTICIPATORY PLANNING METHODOLOGY

REVIEW AND BACKSTOP MECHANISM



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LIST OF ABBREVIATIONS

CBG	: Capacity Building Grant (of LGCDG)
CDG	: Capital Development Grant (of LGCDG)
CMT	: Council Management Team
CRP	: Community Resource Person
DED/CD	: District Executive Director / Council Director
DF	: District Facilitator
DPLO	: District Planning Officer
FY	: Financial Year
HoD	: Head of Department
IFMS	: Integrated Financial Management System
JICA	: Japan International Cooperation Agency
LGA	: Local Government Authority
LGCDG	: Local Government Capital Development Grant
LGMD	: Local Government Monitoring Database
M&E	: Monitoring and Evaluation
MEO	: Mtaa Executive Officer
MoF	: Ministry of Finance
MPEE	: Ministry of Planning, Economy and Empowerment
MTEF	: Medium Term Expenditure Framework
NF	: National Facilitator
O&OD	: Opportunities and Obstacles to Development
PlanRep2	: Local Government Planning and Reporting Database
PME	: Participatory Monitoring and Evaluation
PMO-RALG	: Prime Minister's Office, Regional Administration and Local Government
R&B	: Review and Backstop
SBAS	: Strategic Budget Allocation System
TDV2025	: Tanzania Development Vision 2025
VEO	: Village Executive Officer
WDC	: Ward Development Committee
WEO	: Ward Executive Officer
WF	: Ward Facilitator

1.0 INTRODUCTION

1.1 Background

The government of Tanzania is undertaking various initiatives toward poverty reduction and attainment of sustainable social and economic development. These initiatives are founded under the Tanzania Development Vision 2025 (TDV2025) and in harmony with on-going implementation of the Decentralization by Devolution, which is being pursued through the Local Government Reform Programme.

Propelled by these initiatives, the Opportunities and Obstacles to Development (O&OD) was initiated in the year 2002. The O&OD is a participatory Community planning methodology, which focuses on the TDV2025 as a broad National Policy guide and has a positive outlook at the Community to foster the spirit of self reliance and strengthen local resource mobilization. It is also synthesized with key principles of the National Framework on Participatory District Planning and Budgeting¹. Thus a strong emphasis is placed on reversing the planning approach from top-down to bottom-up in order to achieve the TDV2025 Objectives.

So far, the O&OD has been rolled-out in more than two-third of the LGAs both in rural and urban parts of the country. But O&OD rollout is done only once, after which the plans should be updated annually through the R&B process. This makes review of plans an integral part of the planning process. Therefore, there is urgent need to strengthen the capacities of the Communities and the LGAs, in planning, implementation, and monitoring and evaluation. Also, LGAs should provide the necessary support and facilitation to the community in order ensure quality of Community Development Plans. This will give impetus to the Government's determination to have a planning system LGAs which follows the participatory process from the grassroots.

However, it has been recognized that many prepared plans have not been implemented or updated satisfactorily due to inadequate guidance for this continuous cycle since the time when these plans were originally prepared in the O&OD roll-outs.

In response to such concerns, the *Review and Backstop Mechanism* (R&B Mechanism) has been developed as an annex to the *Handbook on O&OD Community Participatory Planning Methodology*. The R&B Mechanism is introduced in order to establish and institutionalize the R&B Process at the Community and the LGA levels.

¹ Key principles have been appended at the end of this booklet as an Annex.

1.2 The Meaning of Review and Backstop (R&B)

O&OD roll-out is done only once in the LGA with the financial and technical support from Central Government, where the Communities are facilitated to prepare their development plans. However, in the subsequent years, Community plans should be updated to reflect the status of implementation and changes in the Community priorities. This is done through review of Community plans. *Review* is a process of updating the existing plans under Communities' initiative. The review process involves updating of Community Development Plans on the basis of information generated from monitoring and evaluation. The process should be scheduled annually in order to respond to changing Community needs, and changing policy environment. In this regard, the prioritized plans prepared by the Communities become rolling plans, feeding into LGA's MTEF.

Backstop refers to the efforts done by LGAs in facilitating and strengthening Communities' development activities. The key players here are the CMT, LGA and Ward officers. It involves provision of technical and financial support, and dissemination of information, especially on various National Policies and Strategies, and sectoral policies, strategies, and guidelines to the Communities, to facilitate processes of Review, implementation, and participatory monitoring and evaluation (PME). While providing this much needed

Box 1.1 Technical advice to the Community by LGA officials

Technical advice includes the advice on the following important elements:

- 1) Available technologies; - including the use of suitable tools and equipment;
- 2) Realistic cost estimates;
- 3) Experiences on similar activities (lessons from other Communities/areas)
- 4) Sector Standards (and issues related to National Policies and Strategies)
- 5) Possible funding sources

backstopping to the Community, the LGA should keep a stance on fostering ownership and building capacity of the Communities. *Review* and *Backstop* promotes Community ownership of the process, making people aware of the current Community priorities, thus facilitating optimal use of resources not only based on the Community priorities but also in accordance with national and sector policies.

Figure 1.1 R&B for LGA's Planning and Budgeting

Actor	Activity	
National	Policy Making	Dissemination of national and sector policies and allocation of budgets to the LGA
LGA	Planning & Budgeting	Formulation of a LGA plan based on community needs, but in accordance with national and sector policies
	Backstop	<p>Facilitation of communities' development activities (planning, implementation and M&E)</p> <p>Identification of a basis for LGA's plan formulation</p>
Community	Review	Annual re-planning and routine M&E through plan implementation

As conceptualized in Figure 1.1, the R&B enables the LGA to formulate LGA plans based on the Communities' priorities, while ensuring conformity with national and sector policies. In other words, the LGA can be in a position to create a real link between Community needs and national/sector policies. This concept of plan formulation is strongly emphasized in the *Guidelines for the Preparation of Local Government Authorities' Medium Term Plans and Budgets*.

1.3 Actors in the Review and Backstop Process

The actors in R&B process could put into two levels, namely the Community and LGA levels. In addition, the R&B process may initially require substantial inputs from PMO-RALG, including distribution of the manuals for R&B Mechanism and arrangement for a session with Council Management Team (CMT) in the respective LGA, to be facilitated by trained National Facilitators (NFs). It is envisioned that, with time, the theory and practice of the R&B by LGA, and therefore the process will require little or no support from PMO-RALG accordingly.

The sections below outline the roles to be played by different actors in the R&B process. Since R&B is treated as part of development activities at the LGA and Community level, the roles of the respective players are in line with the Local Government Act of 1982. These roles and responsibilities are looked at briefly in the following sub-sections.

1.3.1 Community Level

In the rural process, under the supervision of the Village Assembly, the supreme authority of the Village, the Village Council² has, among others, the following function stipulated in the Act:

- Doing all such acts and things as are necessary or expedient for the economic and social development of the Village.

Based on the above stipulation, the Village Council should play a central role in R&B related activities as part of social and economic development of the Village. Under the facilitation of the LGA, the Village Council should internalize the concept and practice of *Review* with time while sensitizing and facilitating other Community members.

In the urban process, the Ward Development Committee (WDC)³ has, among others, the following function stipulated in the Act:

- Doing all such lawful acts and things as are necessary or expedient for the implementation of decisions and policies of the urban authority, or for the economic and social development of the Ward.

Accordingly, the WDC should play a central role in R&B related activities as part of social and economic development of the Ward. Under the facilitation of the LGA, the WDC should internalize the concept and practice of *Review* with time while sensitizing and facilitating other Community members.

² The Village Council consists of the Village Chairperson, hamlet leaders, and the Village Executive Officer (VEO) as the secretary, and other Community members elected by the Village Assembly.

³ The WDC in the urban LGA consists of a Chairperson representing the Ward, Chairpersons of the Mitaa within the Ward, Councilors who are residents in the Ward, Chairpersons of Village Councils within the Ward, a person who is a member of the urban authority and other invited persons as may be determined by the WDC. The Ward Executive Officer (WEO) shall be the secretary to the WDC.

1.3.2 LGA Level

First, both in the rural and urban processes, the LGA (Council)⁴ has, among others, following functions stipulated in the Act:

- Formulating, coordinating and supervising the implementation of all plans in its area of jurisdiction; and
- Considering, regulating and coordinating development plans, projects and programs of villages within its area of jurisdiction.

Therefore, based on the provision in the Act, the LGA should develop an overall framework of the R&B. As part of this, trainings of District and Ward Facilitators (DFs/WFs) will be crucial for the effective facilitation of *Review* at the Community level.

Second, in the rural process, the Ward specifically the Ward Development Committee (WDC)⁵ has, among others, following functions stipulated in the Act:

- Supervising and coordinating the implementation of projects and programs of the District Council within the Ward;
- Planning and coordinating the activities of and rendering assistance and advice to the residents of the Ward engaged in any activity of any kind; and
- Initiating and promoting participatory development in the Ward.

In accordance with these provisions in the Act, the WDC should facilitate the R&B process at the Community level by providing the needed support in cooperation with the DFs/WFs whenever deemed necessary.

⁴ The LGA (Council) is comprised of the Full Council, the Council Management Team (CMT), Standing Committees and the rest.

⁵ The WDC in the rural LGA is chaired by the Councilor representing the Ward, and consisting of Village Chairpersons of all Village Councils within the Ward, the Ward Executive Officer (WEO) as the secretary and others.

1.4 R&B in Planning and Budgeting Cycle

Following is a general planning and budgeting cycle, although the cycle is subject to change due to unforeseeable circumstances:

- LGAs receive planning and budgeting guidelines and other necessary information from PMO-RALG;
- LGAs communicate guidelines, indicative planning figures of the LGCDG and others to Wards;
- Communities prepare plans and submit them to respective LGAs;
- LGAs prepare LGA plans and budgets using plans submitted by the Communities as inputs and basis;
- LGAs submit the plans and budgets to the Regional Secretariat which scrutinizes and combines the LGAs plans and budgets, and submits them to PMO-RALG; and
- PMO-RALG consolidates budgets of all LGAs and submits them to the MoF and the MPEE for incorporation in the national plan and budget.

The R&B is embedded in the overall planning and budgeting cycle above. The aspect of *Backstop* on the other hand means LGA's facilitation of the *Review* process. Appropriate backstopping by the LGA contributes to preparation of reliable plans at the Community level which become a sound basis of the LGA plan.

1.5 Purpose and Contents of R&B Mechanism

The document of the R&B Mechanism aims to explain clearly why and how *Review* and *Backstop* should be carried out as an integral part of the planning process. Accordingly, the contents of this R&B Mechanism document are:

- Chapter 1: An introduction explaining the R&B Mechanism;
- Chapter 2: Review by the Community;
- Chapter 3: Backstop by the LGA (including Ward); and
- Chapter 4: Participatory Monitoring and Evaluation (PME) as part of *Review*.

Although the LGA (CMT and DFs/WFs) first refers to specific chapters according to their roles in the R&B and actions taken to other actors (Table 1.1), the CMT and the DFs/WFs are expected to understand other chapters in order to capture a whole picture of the R&B. In turn, the Village Council (rural)/WDC (urban) and the Community Resource Persons (CRPs) will acquire knowledge and skills on *Review* from the DFs/WFs through facilitation, so that such knowledge and skills can also be transferred to other Community members.

Table 1.1 Summary of Roles for Each Actor in the R&B Process

Actor	Chapter	Expected Role	Action to Others (Target)
LGA - CMT	1&3 (2&4)	<i>Backstop</i> : Developing an overall framework of <i>Review</i> (including PME) at the LGA level and integrating Communities' needs and priorities into a LGA plan	Sensitization & Training (DFs/WFs)
LGA - DFs/WFs - WDC (Rural)	2&4 (1&3)	<i>Backstop</i> : Facilitating <i>Review</i> (including PME) and compiling Communities' needs and priorities which will be a basis of LGA's plan formulation	Sensitization & Facilitation (Community)
Community - Village Council - WDC (Urban) - CRPs - Focus Group Members	--- (2&4)	<i>Review</i> : Carrying out <i>Review</i> (including PME) under the facilitation of the DFs/WFs, and identifying needs and priorities of the Community	Sensitization & Facilitation (Community Members)
Community - Members	--- (2&4)	<i>Review</i> : Taking part in <i>Review</i> under the facilitation of the Village Council / WDC and the CRPs	

2.0 REVIEW OF COMMUNITY DEVELOPMENT PLANS

This chapter focuses on operationalization of the *Review* process. It highlights on the rationale of Review, the actual activities in the process and timing of these activities, and the facilitation of the process by the LGA. The Review exercise will be carried out by the Community with the facilitation of District and Ward Facilitators (DFs/WFs). The Overall framework for Review Process will be developed by the Council Management Team (CMT) of the respective LGA.

2.1 Rationale of Review

In the context of LGA planning, *Review* by the Community is considerably important since it enables LGAs to outline the Community needs from updated plans. In other words, the updated plans become the most important basis for a LGA plan.

When the LGA plan does not reflect the plans updated by the Community, it becomes insubstantial due to groundlessness of budgeting. Groundlessness of budgeting may lead to ineffectiveness and non-transparency in allocating financial resources from the LGA to Communities since it may be criticized that the budget is allocated to wherein Community needs are not identified. To avoid such in budget allocation and so to increase efficiency of LGAs' service delivery, *Review* should be considered as a process of primary importance in the context of LGA planning.

In the context of Community planning, *Review* is also significant on an equal footing with the LGA planning since it enables Communities to envisage the coming future based on their own past activities.

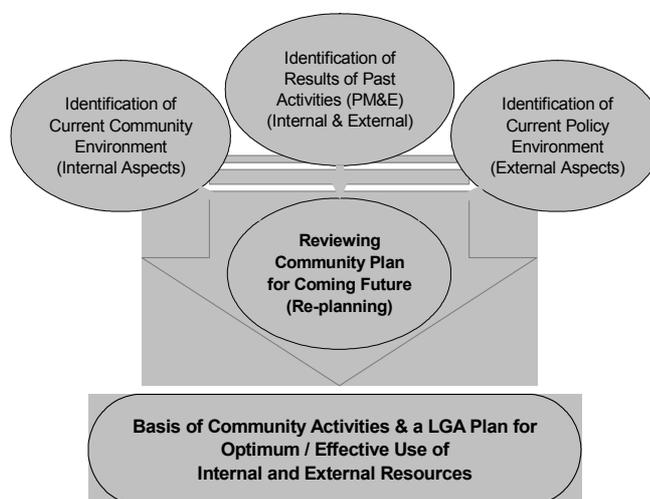


Figure 2.2 Concept of Review

Review in this case should not only be perceived as a plan updating process (re-planning) but also including participatory monitoring and evaluation (PME)⁶ of the plans which provides a basis for re-planning.

As conceptualized in Figure 2.2, *Review* aims to refine the Community's plans based on changes that occurred in the Community and policy environment, and past year's achievements made against set indicators. If such plans are basis of Community activities and a LGA plan, the Community will be able to effectively mobilize its own resources as well as to utilize available external resource for plan implementation.

2.2 Facilitation of Review

Facilitation at all levels is fundamental for participatory planning at the community level.

Village Council in the rural process and the WDC in the urban process and the Community Resource Persons (CRPs) are the immediate facilitators at the Community Level.

The role of DFs/WFs (under the supervision of the CMT) is to facilitate the Village Council/WDC and the CRPs. In this arrangement, information sharing among the stakeholders is the key for the effective facilitation, and the Village Council / WDC and the CRPs will be at the centre of information sharing (Figure 2.3).

The Village Council / WDC thus is fully engaged in the annual cycle of Community development activities with the cooperation from the CRPs.

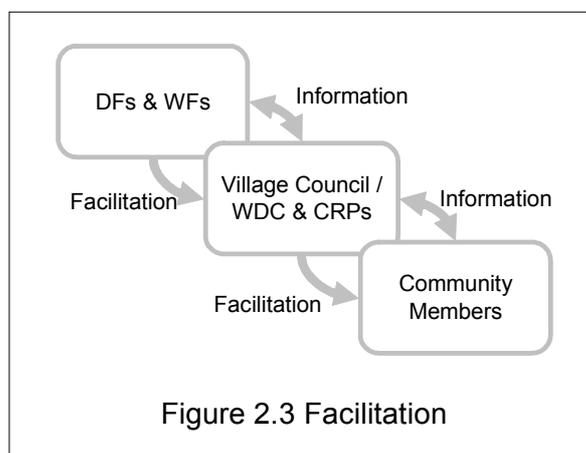


Figure 2.3 Facilitation

⁶ The PME is outlined in Chapter 4.

2.3 Schedule of Review

As seen in Section 1.4. (R&B in Planning and Budgeting Cycle), the LGA itself can make a schedule of Review according to its planning and budgeting cycle, and Community's calendar. Generally it can be scheduled between October and December, so that the LGA can fully utilize the Review results for the next financial year's plan formulation.

2.4 Operationalization of Review

Steps below are considered necessary to operationalize *Review*⁷ at the Community level in the rural and urban processes (Figure 2.4).

- Step 1 Social Preparation
- Step 2 Preparation for Review Process
- Step 3 Launching of Review Process
- Step 4 Review of Community Participatory Plans
- Step 5 Preparation of Three-Year Plans
- Step 6 Community Consultation
- Step 7 Re-compilation
- Step 8 Ward Development Committee (WDC)
- Step 9 Re-compilation (*Not Applied to Urban Process*)
- Step 10 Endorsement of Three-Year Plans (*Not Applied to Urban Process*)
- Step 11 Re-compilation for Submission (*Step 9 for Urban Process*)
- Step 12 Preparation of Summary of Activities by Sector at Ward level

⁷ The steps here mainly focus on Review and those of the PME will be outlined in Chapter 4. But some issues in this chapter are, of course, related to the PME as part of *Review*.

Figure 2.4 Steps for Review Process

Activity	Step	Issues to be considered	
		Rural	Urban
Preparation	Step 1	Social preparation	
	Step 2	Preparation of review	
	Step 3	Launching of review	
Re-planning	Step 4	Re-planning of Community Plan	
	Step 5	Preparation of Three-Year Plan	
Consultation	Step 6	Community opinions, suggestions and comments	
	Step 7	Incorporation of Community comments	
	Step 8	Comments from Ward Development Committee	Comments from Zone/Mtaa
	Step 9	Incorporation of comments	
Endorsement and submission	Step 10	Endorsement at Village Assembly	Endorsement at WDC
	Step 11	Incorporation and submission	
Summary of activities	Step 12	Preparation of summary of activities by sector at ward level using simple format	
Step	Administrative steps done mainly by the Village Council (VEO) / WEO and MEO		
Step	Participatory process done by either elected or eligible Community members		

All of these steps above will be carried out by the Community, and initiated/facilitated by the **Village Council** in the rural process and the **WDC** in the urban process. The LGA, specifically the DFs/WFs, should appreciate and facilitate the initiative of the Village Council / WDC. As stated earlier, elected Community members of the **CRPs**, will also work as Community facilitators during the process in cooperation with the Village Council / WDC.

During the Review process, the above steps may be adjusted by adding some days/week between steps or allocating more days for certain steps, etc. In other words, although the steps in the R&B Mechanism are best to be followed, it is recommended that duration of the Review process be settled according to Communities/LGAs' situations. Each step of review process is explained more in detail in the following sub-sections.

Step 1: Social Preparation

Responsibility: Village Council (Rural Process) / WDC (Urban Process)

Activity:

- Arrangement of *Review*
- Discussion of TDV2025 Objectives and Prioritization

Output: Village Council / WDC is prepared for *Review*.

Arrangement of Review

The Village Council / WDC should prepare itself for *Review* at the Community level. For example, the following should be collected and organized:

- Past three years' financial statements, including the current financial year; and
- A schedule of Review, taking account of Community events and activities.

Through the preparation, the Village Council / WDC should be aware of importance of Review for the Community's socio-economic development as well as its roles in Review. Hence the WFs (or DFs) should join this process and clearly address overall aims and objectives and roles of actors in *Review*. It is also important for the LGA, since plans prepared by Communities will be integrated into a LGA plan.

As part of the social preparation, the Village Council / WDC should start taking actions on sensitizing Community members before launching (Step 3), while being engaged in other preparation work (Step 2). For instance, the sensitization can be arranged with such methods as shown in Box 2.1. It mainly focuses on dissemination of information to the Community members.

Box 2.1 Methods of Sensitization

Following methods have been utilized in some LGAs during the O&OD roll-outs for announcing meetings of the Village Assembly / WDC.

- Visiting houses
- Organizing music and dance performances before the meetings
- Sending messages on TV
- Sending letters to households, or sending messages through school children
- Putting notices at different places
- Making announcements using loud speakers (in some Communities, drums and horns are used to win the attention of the Community members)
- Making announcements at mosque/churches

Step 2: Preparations for Review Process

Responsibility: Village Council (Rural Process) / WDC (Urban Process)

Activity:

- Confirmation of plan implementation status
- Identification of other development activities' status
- Preparation of a financial statement
- Preparation of a Review schedule
- Preparation of CRPs and focus group members' election
- Grouping of Mitaa into Zones (Urban Process only)

Output: Village Council / WDC is ready to facilitate Community members.

In the rural process, a village council meeting is held before a Village Assembly meeting (Step 3).

In the urban process, a WDC meeting is held before Zone/Mtaa meetings (Step 3).

Purposes of this step are to prepare necessary information presented in the next step. Hence a summary of discussions and all the other information, which are described later in this step, should be displayed on the notice board so that Community members have chances to go through them in advance. In addition, a date and time of the forthcoming meeting should be announced to assure the maximum attendance.

If Community members have any comments on the provided information, they can send such comments to the Village Council / WDC through the suggestion box and/or enquire in forthcoming meeting.

Confirmation of plan implementation status

Current implementation status of the plans (previous year's Three-Year Plans) should be confirmed. When confirming the implementation status, particularly the Village Council / WDC should be aware of which *Specific Objectives* and *Steps of Implementation* have not been realized in Three-Year Plans. This will become fundamental information in the later steps when Community members prepare their Three-Year Plans. Once the PME (details are elaborated in Chapter 4) becomes in operation under Communities' initiative, the implementation status is supposed to be confirmed from time to time so that the results of the PME may be utilized in this process.

Identification of other development activities' status

In addition to Community's own activities, for which implementation status is confirmed in the above process, it is important to summarize other development activities which have recently been implemented in and around the Community. Project summaries of such activities should be prepared including 1) budgets and expenditure, 2) financial sources, and 3) impacts to the Community. The identification will help Community to grasp its surrounding environment and then to be able to update their plans with a much wider perspective.

Preparation of a financial statement

A financial statement should be prepared within the Village Council / WDC before the next step. Preparation of the financial statement is not only to promote transparency and accountability but also to provide Community members reality of available financial resources in the Community so that they will be able to update the plan with an appropriate cost estimate. After preparation it should be displayed on the notice board.

Approval of a Review schedule

A schedule of Review should be prepared before the next step. When planning the schedule, an appropriate timing and time span should be considered taking into consideration irrevocable Community activities such as harvesting crops and religious ceremonies as well as the LGA's planning process.

Preparation of CRPs and focus group members' election

Criteria and roles of CRPs and focus group members should be shared in the Village Council so that these can be announced through the notice board before electing them in the next step. The criteria and roles should be the same as those in the O&OD roll-out.

Grouping of Mitaa into Zones (Urban Process only)

If the number of Mitaa is too large to be catered for as one unit by the DFs/WFs, The Mitaa within one Ward can be grouped into several Zones. This arrangement follows the same procedure as the one in the O&OD roll-out.

Step 3: Launching of Review Process

Responsibility: Village Council (Rural Process) / Zone/Mtaa (Urban Process)

Activity:

- Sharing of various policy issues
- Sharing of the implementation status
- Discussion on positive and negative aspects in the past year's plan implementation
- Sharing of other development activities' status
- Approval of the financial status
- Agreement on the Review schedule
- Election of CRPs and focus group members

Output: Community members become ready to carry out the review exercise.

In the rural process, a Village Assembly meeting is held under the facilitation of the Village Council.

In the urban process, Mtaa/Zone meetings are held under the facilitation of WEO and Mtaa Chairpersons of respective Mitaa as members of the WDC. Mtaa Executive Officers (MEOs) will work with WEO and Mtaa Chairpersons.

Purposes of the meeting are to share information and build consensus on the below topics among Community members.

Sharing of various policy issues

National policies and strategies (e.g. MKUKUTA and TDV2025), and sectoral policies should be shared among Community members. Also, it is important to explain roles of plans prepared by the Community in the LGA's planning process and in achieving national and sector development goals.

Sharing of the implementation status

The implementation status confirmed in the previous step should be shared with Community members so that the Community members will be able to understand their plans more and at the same time find out gaps between what were planned and what have been achieved. Particularly the realization status of *Specific Objectives* in Three-Year Plans should be shared. Those unrealized ones will be re-considered in the next step of Review.

Discussion on positive and negative aspects in the past year's plan implementation

Based on the implementation status shared in this step, Community members could discuss and confirm positive and negative aspects which have affected implementation of the plans and learn lessons for Review. When the PME fully takes place, such aspects could also be identified from M&E results.

It is important to clarify and bear in mind that who have been in charge of plan implementation and the M&E in order to hold them accountable during the discussion.

Sharing of other development activities' status

It will be shared with Community members that the other development activities than Community's own activities summarized in the previous step. Community members then become able to update the plans taking into account an interface between current Community challenges and those activities. In other words, a focus of discussion can be placed on how to optimize the use and impacts of these external resources.

Approval of the financial status

The financial statements displayed on the notice board should be explained clearly in the meeting for approval. All the details in the statement should be explained whenever questions are brought up by Community members.

Agreement on the Review schedule

The schedule prepared in the previous step should be confirmed and agreed in the meeting.

Election of CRPs and focus groups members

The CRPs and focus group members will be elected in the meeting. An election procedure will be the same as the one in the O&OD roll-out.

Step 4: Review of Community Participatory Plans

Responsibility:	Village Council (Rural Process) / Zone/Mtaa (Urban Process) Focus Group Members
Activity:	<ul style="list-style-type: none">• Review of Three-Year Plans and Community Participatory Plans• Preparation of Community Participatory Plans (Rural Process only)
Output:	New/Updated Community Participatory Plans are prepared (Rural Process) Three-Year Plans and Community Participatory Plans are reviewed (Urban Process)

In the rural process, the whole process described below should be facilitated by the Village Council.

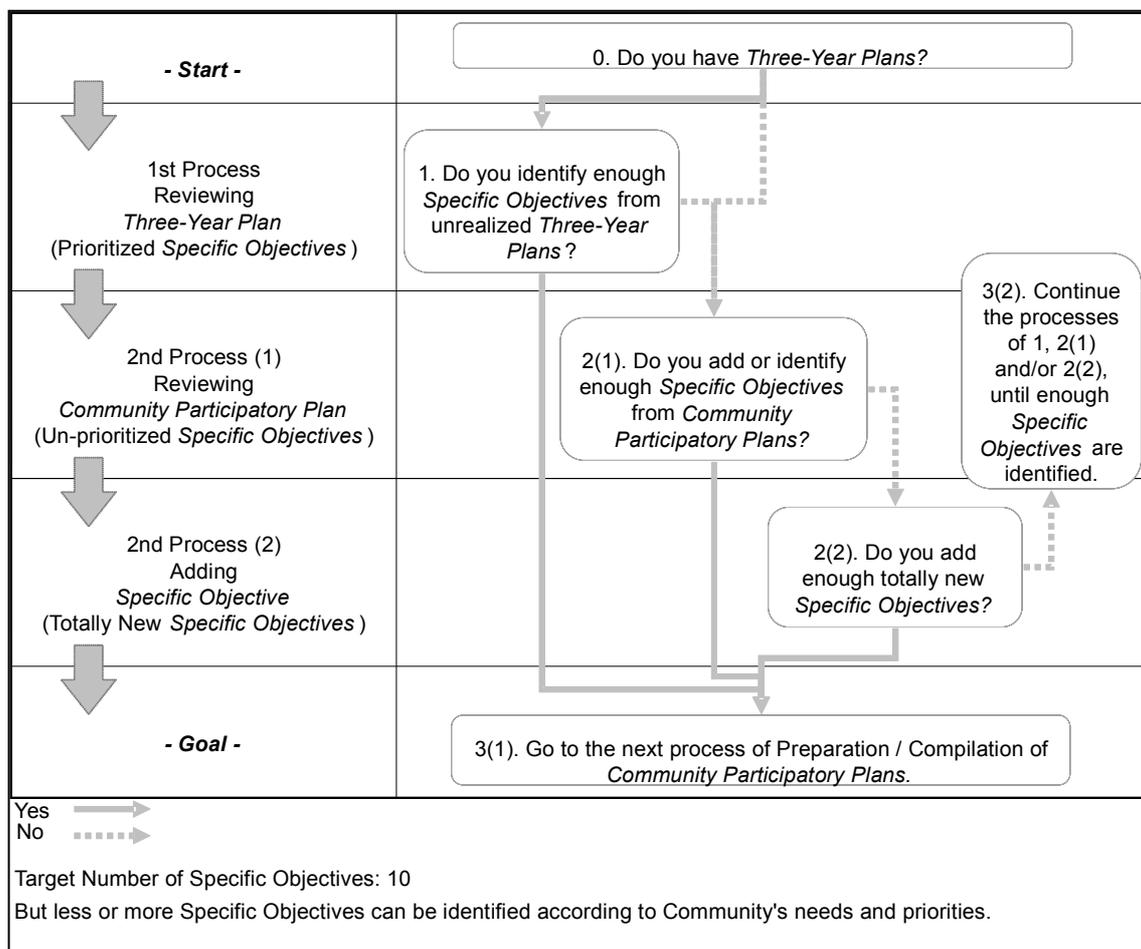
In the urban process, the whole process described below should be facilitated at the Zone/Mtaa level by members of the WDC, like WEO and Mtaa Chairpersons (and Mtaa Executive Officers). These activities will be carried out in cooperation with the Community Resource Persons and Focus Group members elected in the previous step.

The DFs/WFs should only create an enabling environment for the above actors to perform by giving technical advice. In other words, the DFs/WFs should not dominate the process.

Review of Three-Year Plans and Community Participatory Plans

Based on the discussion of TDV2025 Objectives and prioritization in the previous step, a review of Three-Year Plans and Community Participatory Plans will take mainly two processes and a flow of the processes is shown in Figure 2.5. But, before reviewing Three-Year Plans and Community Participatory Plans, a thorough discussion should be held among the participants to have clear understandings of the Community's current socio-economic situation.

Figure 2.5 Flow of Review Process



First, as in the above flow, *Three-Year Plans* with unrealized *Specific Objectives*, which have been set aside in the previous step, are reviewed from the following viewpoints:

- Relevancy of *Specific Objectives* with current socio-economic status of the Community; and
- Levels of achievement against given indicators in those relevant *Specific Objectives*

If the reviewed *Specific Objectives* are no longer relevant, they will be excluded for Review. If they are relevant, those will be utilized for updating *Community Participatory Plans*.

Second, additional *Specific Objectives* suitable for new Community Participatory Plans can be identified according to the current socio-economic status. When the additional *Specific Objectives* are discussed, existing Community Participatory Plans which have un-prioritized *Specific Objectives* should be gone over, since some of the *Specific Objectives* can now become relevant due to status changes. Furthermore, totally new *Specific Objectives* may even be created and added if felt necessary.

In the case that Three-Year Plans do not exist, this review can be carried out only with available Community Participatory Plans (up-prioritized). In this case, only the second process above can be followed, meaning that first *Specific Objectives* suitable for the new Community Participatory Plans are selected from the existing Community Participatory Plans and then totally new *Specific Objectives* are added if still felt necessary.

By the end of this process, around 10 *Specific Objectives* could be selected in total and those are:

- selected from the previous Three-Year Plans which have not yet achieved but still relevant to the current socio-economic status;
- selected from the previous Community Participatory Plans which are still relevant to the current socio-economic status; and
- newly added considering the current socio-economic status.

Preparation of Community Participatory Plans (Rural Process only)

After the review, the Village Council, the CRPs and focus group members will proceed to prepare draft Community Participatory Plans showing selected/newly added *Specific Objectives*.

In addition to *Specific Objectives*, all other items (*Opportunities, Obstacles, Causes, Interventions, and Steps of Implementation, Inputs, Cost and Indicators*) included in the Community Participatory Plan should be updated / added accordingly.

An example of the Community Participatory Plan is shown at the end of this chapter.

In the urban process, this exercise will be done in the next step.

Step 5: Preparation of Three-Year Plans

Responsibility: Village Council (Rural Process) / WEO (Urban Process)

Activity:

- Compilation of new Community Participatory Plans (Urban Process only)
- Prioritization of *Specific Objectives*
- Preparation of Three-Year Plans

Output: Draft Three-Year Plans are prepared.

In the rural process, the Village Council prepares draft Three-Year Plans, after prioritization of *Specific Objectives* identified in the previous step.

In the urban process, WEO and MEOs first compile Community Participatory Plans based on review results at the Zone/Mtaa level in the previous step before prioritization of *Specific Objectives* and preparation of draft Three-Year Plans.

Both the processes should be carried out in cooperation with the CRPs.

Compilation of New Community Participatory Plans (Urban Process only)

After the review (Step 4) by Zone/Mtaa, WEO in cooperation with MEOs and the CRPs will proceed to compile draft Community Participatory Plans showing selected/newly added *Specific Objectives*.

In addition to *Specific Objectives*, all other items (*Opportunities, Obstacles, Causes, Interventions, and Steps of Implementation, Inputs, Cost and Indicators*) included in the Community Participatory Plan should be updated / added accordingly.

An example of the Community Participatory Plan is shown at the end of this chapter.

Prioritization of Specific Objectives

New *Specific Objectives* in Community Participatory Plans are prioritized by pair wise ranking.

Preparation of Three-Year Plans

After prioritization, the *Specific Objectives* should be in order, and costs for 3 years by activity in *Steps of Implementation* should be estimated carefully taking into account such financial arrangements as follows:

- Those are financed/implemented by the Community itself.
- Those are financed by the Community in collaboration with the LGA or other development partners.
- Those require immediate implementation even if the cost only comes from outside the Community (plans of this type are generally few).

An example of the Three-Year Plan is shown at the end of this chapter.

Step 6: Community Consultation on Three-Year Plans

Responsibility:	Community Members and Village Council (Rural Process) / WDC (Urban Process)
Activity:	<ul style="list-style-type: none">• Preparation for Community consultation• Understanding of Three-Year Plans• Comments on Three-Year Plans
Output:	Community members make comments based on sufficient understanding of Three-Year Plans.

Opinions of Community members on draft Three-Year Plans should be invited in various occasions. Those occasions are, among others, 1) hamlet meetings, 2) standing committee meetings of the Village Council / WDC, 3) forums for free debates among interested people and 4) individual comments through the suggestion box.

Preparation for Community consultation

In the rural process, the Village Council will post draft Three-Year Plans on the notice board and at the same time provides copies of the draft plans to all hamlet leaders (members of the Village Council). They are expected to organize and facilitate suitable occasions such as hamlet meetings.

In the urban process, the WDC will post draft Three-Year Plans on the notice board and at the same time provides copies of the draft plans to all Mtaa Chairpersons (members of the WDC). The Mtaa Chairpersons in cooperation with MEOs are expected to organize and facilitate suitable occasions such as meetings in Mtaa/Zone.

Understanding of Three-Year Plans

Since Three-Year Plans will be implemented by Community members, following items should at least be understood before endorsement and implementation:

- *Specific Objectives* (What will be achieved);
- *Steps of Implementation* (What should be carried out);
- *Inputs* (What resources are necessary); and
- *What village can do* (What are responsibilities of the Community).

Village council members (e.g. hamlet leaders, VEO and the Village Chairperson) in the rural process, and WDC members (e.g. WEO and Mtaa Chairpersons) and MEOs in the urban process should explain such details of Three-Year Plans to Community members.

Comments on Three-Year Plans

Comments through above occasions should be compiled by the Village Council in the rural process, and the WDC and MEOs in the urban process using a format presented at the end of this chapter.

Step 7: Incorporation of Comments from the Community

Responsibility: Village Council (Rural Process)/WEO (Urban Process)

Activity:

- Re-compilation of Three-Year Plans

Output: Three-Year Plans are re-compiled based on Community comments.

Based on the comments from Community members, the draft Three-Year Plans should be re-compiled by the Village Council in the rural process, and WEO and MEOs in the urban process.

Step 8: Ward Development Committee (WDC)

Responsibility: WDC

Activity:

- Discussion on Three-Year Plans
- Endorsement of Three-Year Plans (Urban Process only)

Output: Comments are made on draft Three-Year Plans (Rural Process)

Three-Year Plans are discussed and endorsed (Urban Process)

Discussion on Three-Year Plans

After the Community consultation, draft Three-Year Plans should be submitted to the WDC for discussing the plans from the following viewpoints (Also refer to Step 2 of *Backstop*, which describes facilitation of Review at the Community level):

- *Specific Objectives* (Relevant to policy issues and satisfying minimum standards?)
- *Steps of Implementation* (Contributing to achievement of the above *Specific Objectives*?)
- *Inputs* (Available either internally or externally?)

The Village/Mtaa Chairpersons should convey the reality of their Communities to other WDC members in terms of local needs and priorities, available resources and so on based on the draft Three-Year Plans.

The ward extension officers on the other hand should provide relevant and concrete advice/ideas on 1) available technologies, 2) suitable tools and equipment of *Steps of Implementation*, 3) realistic cost estimates of *Inputs*, 4) examples of similar activities in neighboring Communities, 5) possible funding sources, etc., while taking into consideration national and sectoral policy issues and minimum standards.

Endorsement of Three-Year Plans (Urban Process only)

Considering discussion results, the WDC should endorse Three-Year Plans.

The WDC may also discuss other agendas as a regular meeting.

Step 9: Incorporation of Comments from WDC (Rural Process Only)

Responsibility: Village Executive Officer (VEO)

Activity:

- Re-compilation of Three-Year Plans

Output: Three-Year Plans are re-compiled based on WDC's comments.

VEO should reflect WDC's comments in the draft Three-Year Plans before a Village Assembly meeting for endorsement. Whenever clarification is necessary, VEO may consult with ward extension officers.

Step 10: Endorsement of Three-Year Plans (*Rural Process Only*)

Responsibility: Village Council

Activity:

- Preparation of a Village Assembly meeting
- Discussion on Three-Year Plans for endorsement

Output: Three-Year Plans are endorsed.

Preparations for Village Assembly

The Village Council should start preparing a Village Assembly meeting for endorsement of the Three-Year Plans ahead of time. Even after the Community members become aware of the Review schedule in the first Village Assembly meeting (Step 3), the Village Council should still remind Community members when the meeting is held. It is done through the notice board and hamlet leaders.

Discussion on Three-Year Plans for endorsement

The Village Council should present draft Three-Year Plans to the Village Assembly for discussion and endorsement.

Step 11: Finalization and Submission (Step 9 in Urban Process)

Responsibility: Village Council (Rural Process) / WEO (Urban Process)

Activity:

- Incorporation of Comments and suggestions into the Three-Year Plans
- Distribution of Three-Year Plans

Output: Finalized Three-Year Plans are submitted to the LGA and shared with Community members.

Incorporation of Comments and Suggestions into Three-Year Plans

Three-Year Plans should be finalized considering suggestions raised by the Village Assembly/WDC. The incorporation of comments and suggestions for finalization should be done by the Village Council in the rural process, and WEO and MEOs in the urban process.

Distribution of Three-Year Plans

The finalized Three-Year Plans will be copied for 1) display on the notice board, 2) the Ward and 3) the Village Council / WDC. The originals will be sent to the LGA.

Step 12: Preparation of Summary of activities by Sector at Ward Level

After endorsement of the Community plan, step 12 will be the preparation of summary of activities from the 3 Year Plans by sector at Ward Level by using simple format. This task will be carried out by Ward Officers.

In the urban process, Community Plans are formally prepared at Ward level. In this case, the preparation of simple format turns out to be extraction of activities from the Ward Plan by sector. It is important to note that the activities that the Communities can implement themselves without support from outside will not be included in the simple format.

Example of Format for Community Participatory Plan

Village: XXX (Rural Process only)

Ward: XXX

District: XXX

Region: XXX

Target: High Quality Livelihood

Goal: Food self-sufficiency and food security

Specific Objectives	Opportunities	Obstacles	Causes	Interventions	Steps of Implementation	Inputs	Cost			Indicators
							Total	Internal	External	
To increase production of maize from the current 10 bags to 15 bags per acre by year 2010	Availability of farm inputs (seeds, fertilizers and pesticides)	Inadequate extension service	Only one extension officer in 5 villages	To improve extension services	Provision of transport	Motorbike Fuel Lubricants	2,000,000	0	2,000,000	No. of bags of maize produced per acre
					Identifying a farmers' group in each hamlet	---	0	0	0	
					Training on how to make use of manure	Teaching material Manure Grass Water	200,000	50,000	150,000	
					Gathering materials to make composite manure	Manure Grass Water	0	0	0	

Example of Format for Three-Year Plan

Village: XXX (Rural Process only)

Ward: XXX

District: XXX

Region: XXX

Target under TDV 2025	Goal	Specific Objectives	Priority	Steps of Implementation	Inputs	1 st Year		2 nd Year		3 rd Year	
						What village / ward can do	What village / ward cannot do	What village / ward can do	What village / ward cannot do	What village / ward can do	What village / ward cannot do
High quality livelihood	Food self sufficiency and food security	To increase production of maize from the current 10 bags per acre by year 2010	1	Provision of transport	Motorbike Fuel Lubricants				1,500,000		500,000
				Identifying a farmers' group in each hamlet	---	✓					
				Training on how to make use of manure	Teaching material Manure Grass Water	50,000	150,000				
				Gathering materials to make compost	Manure Grass Water	✓		✓		✓	

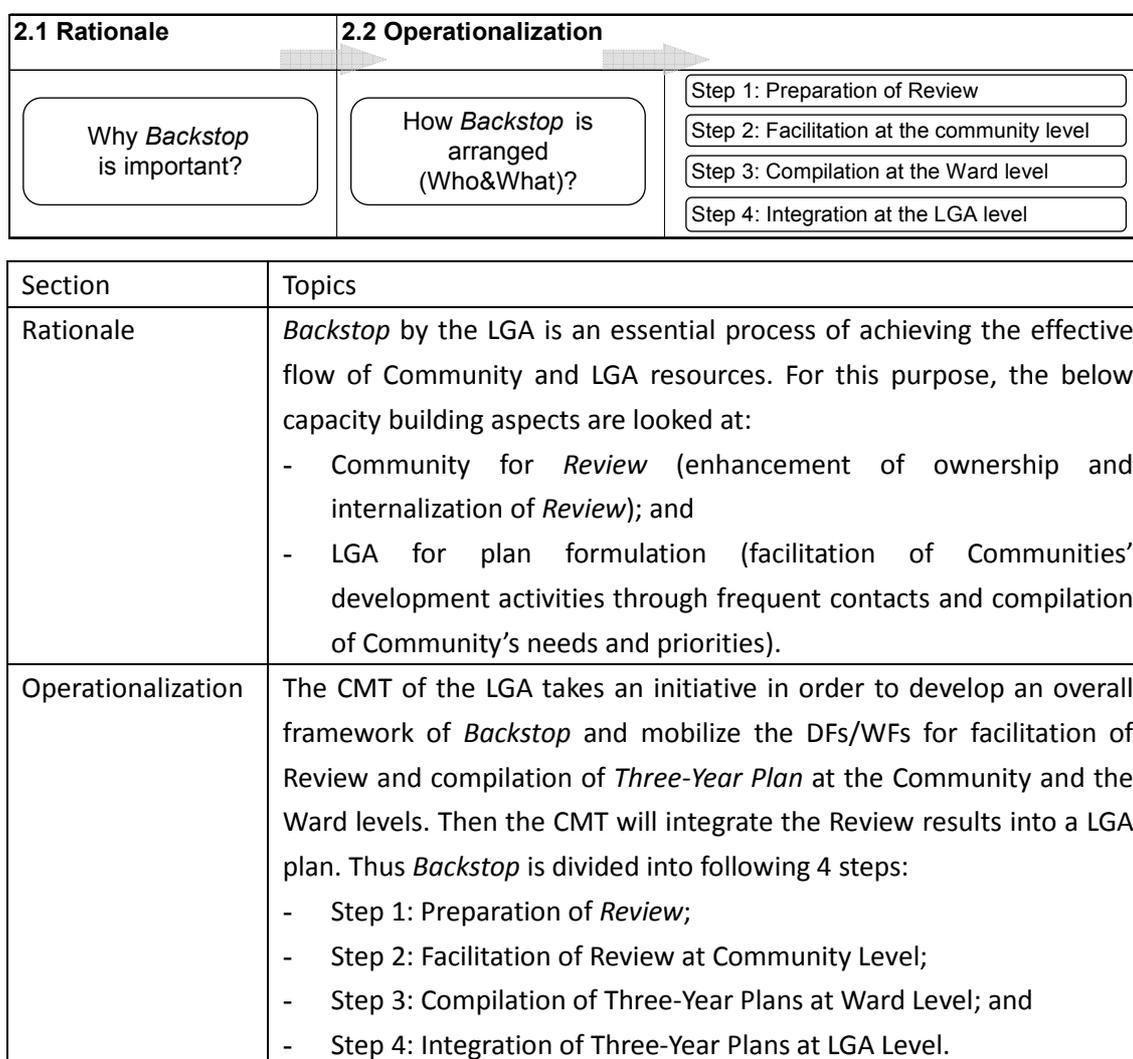
Example of Format for Compilation of Comments from Community Members

Comments from Community Members		
		Date: _____
Village / Mtaa: XXX Ward: XXX District: XXX Region: XXX		
Objectives	Specific Objectives	Comments
Food self sufficiency and food security	To increase production of maize from the current 10 bags to 15 bags per acre by year 2010	- Increase in production should achieve up to 20 bags by 2010 (Last year's production was not good, due to minor drought. - XXX
YYY	YYY	- YYY -
ZZZ	ZZZ	- ZZZ -
Other comments (Collective comments and proposals for other <i>Specific Objectives</i>)		
<ul style="list-style-type: none"> - More emphasis should be placed on income generating activities - Poultry has a potential and should be considered as a <i>Specific Objective</i> - One more secondary school should be constructed in XXX Ward. 		

3.0 BACKSTOP BY LGA

Since the previous chapter covers *Review* from the viewpoint of the Community (practical facilitation by the DFs/WFs), this chapter outlines roles of the LGA, including the Ward, in backstopping *Review* (Figure 3.1). In this regard, the chapter is designed to provide ideas on the rationale and operationalization of *Backstop* for an overall framework development (at the beginning of the *Review* process), facilitation and compilation (in the *Review* process), and integration of *Review* results (after the *Review* process). But the CMT and the DFs/WFs should also refer to Chapter 2 and 4 so as to capture more details about practical aspects of *Review*.

Figure 3.1 Structure of Chapter 3 (Backstop)



3.1 Rationale of Backstop

Backstop is a process of facilitating and strengthening Community development activities, which subsume significant values in expanding capacities of Communities as well as LGAs. As shown in Figure 3.2, significance of *Backstop* could be confirmed particularly in the following interrelated aspects.

First, backstopping fosters Communities' capacity of *Review* so as to enhance ownership of their plans and activities. Through continuous facilitation of the DFs/WFs for *Review*, the Community members will accumulate their experience in a series of processes including those of *Review*, implementation, and monitoring and evaluation of implemented activities. Accordingly, they increasingly perceive importance of the series of processes and start internalizing the processes as Community's routine activities. As a result, self-awareness and sense of collectiveness are enhanced, conducting to the betterment of Communities' livelihood.

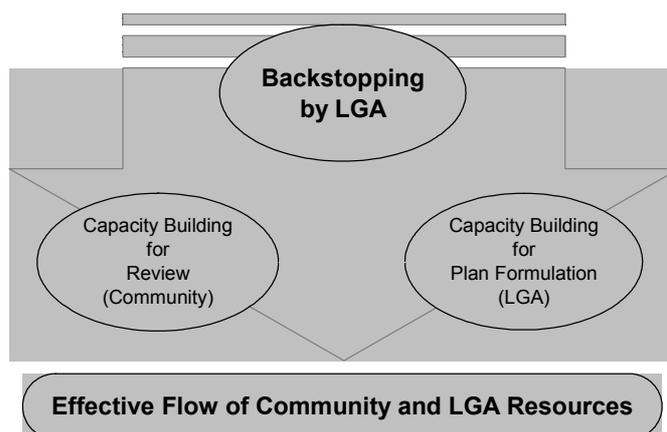


Figure 3.2 Concept of Backstop

Second, continuous efforts of the DFs/WFs in facilitating Community activities enhance capacities of the LGA. Capacities are not only facilitation skills of the DFs/WFs but also inter-connectedness between Communities and the LGA. Through frequent contacts of the DFs/WFs with Communities, mutual trust among them is gradually constructed. Mutual trust enables the DFs/WFs to know the aspects should be supported by the LGA and for Communities of appropriately understanding what they can expect from the LGA.

Third, the increased Community capacities of *Review* and the strengthened inter-connectedness between the Communities and the LGA are conducive to an effective flow of financial resources from the LGA to the Communities. In fact, when Community capacities of *Review* and an information flow between the LGA and Communities are improved, quality of plans at the Community level appears to be improved. The quality particularly means sufficient reflection of accurate Community needs and resources in the plans in harmony with national and sector policies. Hence, when the quality plans (Three-Year Plans) are integrated into the LGA plans, an effective financial flow could be expected.

3.2 Operationalization of Backstop

For effective backstopping by the LGA, operationalization of following 4 steps⁸ is considered essential to assure the quality of *Review* (Figure 3.3):

- Step 1: Preparation of Review;
- Step 2: Facilitation of Review at Community Level;
- Step 3: Compilation of Three-Year Plans at Ward Level; and

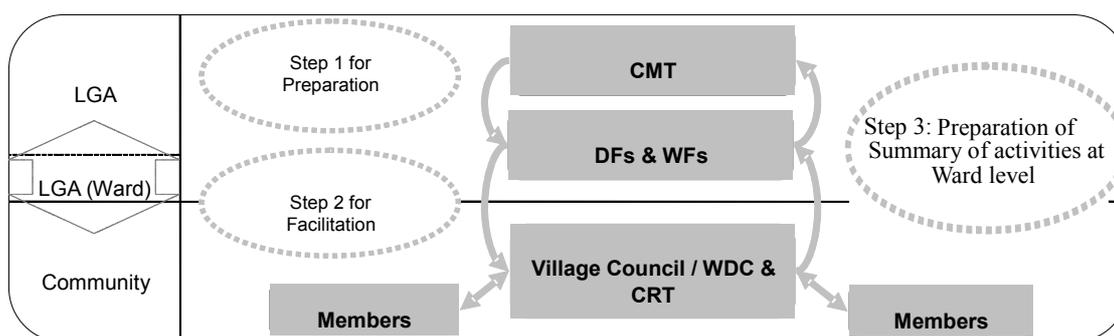


Figure 3.3 Steps for Backstop

The above figure and the steps indicate that the CMT takes an initiative of developing an overall framework of *Backstop* (Step 1) and mobilizing the DFs/WFs for facilitation of Review (Step 2). The DFs/WFs then compile Three-Year Plan (Step 3) at the Ward level.

Step 1: Preparation of Review

<p>Responsibility: CMT, but initially in cooperation with PMO-RALG</p> <p>Activity:</p> <ul style="list-style-type: none"> • Sensitization of CMT members • Framework development • Orientation of facilitators • Assignment of facilitators to Wards and Communities • Announcement of <i>Review</i> <p>Output: LGA understands the importance of the R&B and become ready to facilitate review process.</p>
--

The Council Management Team (CMT) makes following arrangements of *Review*, and it is

⁸ The steps here mainly focus on *Backstopping* of Review Process and steps for the PME will be outlined in Chapter 4. But some issues in this chapter are also related to the PME as part of *Review*.

initially supported by PMO-RALG. This step is carried out at the very beginning of the *Review* process, meaning that the following time of the year can be considered appropriate according to situations of LGAs:

- Those LGAs which have not introduced the participatory monitoring and evaluation (PME), of which the details are described in Chapter 4: This step can be scheduled before October, since *Review* can generally be carried out between October and December. However, in this case, the timing of *Review* entirely depends on LGAs' planning and budgeting schedule and Communities' calendar. In other words, the schedule should be made prior to the actual *Review* process at the Community level.
- Those LGAs which have already introduced the PME: This step will best be carried out at the beginning of the financial year, when Communities develop monitoring frameworks (See Chapter 4, Step 1 of Participatory Monitoring, for more details).

Sensitization of CMT members

As the CMT is directly involved in preparation of a LGA plan, CMT's understanding and commitment are vital in incorporating Three-Year Plans into the LGA plan.

In this regard, a sensitization session should be organized and chaired by the Council Director, and facilitated by the National Facilitator (NF). The session should be held at the beginning of *Review* covering following topics:

- Importance of the O&OD and Community planning in LGA's planning;
- Purposes and procedures of *Review*; and
- Roles and responsibilities of the CMT in *Review*.

However, detailed agendas and a timetable of the session can be arranged by the District Planning Officer (DPLO)⁹ in cooperation with the NF and under the supervision of the Council Director.

The sensitization may be necessary only for the first few years till *Review* becomes part of an annual routine of the LGA's planning process. The session will be incorporated eventually in general CMT meetings.

⁹ The DPLO is called the City/Municipal/Town Economist in the urban LGA.

Framework development

During and after the sensitization session, the CMT should also discuss and develop an overall framework for *Review* process, and then be engaged in related preparation under the coordination of the DPLO. This includes following items.

- Preparation of a schedule and budget for *Review*: It is necessary to prepare a schedule and budget for 1) a DF/WF orientation session, 2) *Review*, and 3) participatory monitoring and evaluation. These should be prepared according to 1) LGA's planning and budgeting process, 2) LGA's available budget for *Review*, and 3) Communities' calendar.
- Selection of DFs/WFs: Although the recommended number of the DFs and the WFs are 25 and 2-4 per Ward respectively, the number of the DFs/WFs will depend on available budgets of the LGA. On the selection, O&OD/R&B experiences of the DFs/WFs should also be confirmed, since these will be basis for the preparation of topics and a timetable for an orientation session (See the following sub-section for more details about the orientation session).
- Identification of sector categories for the Simple Format: Sector categories for preparation of summary of activities by sector at Ward level should be identified, ready for dissemination to the DFs/WFs in the orientation session. The sector categories should be selected according to LGA's planning and budgeting categories, such as those in the *Local Government Planning and Reporting Database (PlanRep2)*.
- Confirmation of updated sector/national policies and guidelines: Since these will also be basis of planning at the Community level, major changes in the policy environment should be confirmed. These will also be shared with the DFs/WFs in the orientation session.

Based on the above, the CMT can organize the orientation session for the DFs/WFs described in the sub-section below, and then coordinate *Review* at the Community level.

Orientation of facilitators

When the LGA is introducing the R&B in the first year, the DFs/WFs should attend an orientation session in order for them to be equipped with necessary knowledge and skills on backstopping.

Box 3.1 Number of DFs and WFs

DFs: Minimum 25 DFs

WFs: WEO + 2-4 Extension Officers per Ward

However, since the total number of the DFs/WFs (Box 3.1) is, in most of the LGAs, too large to be accommodated in one session, the orientation session can also be organized using a cascade system similar to the one in the O&OD roll-out. This means that the LGA should first organize an orientation session for the DFs, which will be facilitated by National Facilitators (NFs) trained by PMO-RALG. Those DFs will in turn facilitate the session for groups of the WFs.

Contents of the orientation sessions for the DFs and the WFs should be the same, covering following topics:

- Summary of the O&OD planning process (1-day);
- Practice of planning (Community Participatory Plan, Three-Year Plan and Simple Format) (2-day);
- Discussion on MKUKUTA and TDV2025 (0.5-day);
- Presentation of sector policies and priorities by the CMT or the DFs (0.5-day);
- Purposes and procedures (steps and a timetable) of *Review* (1.5-day); and
- Participatory monitoring and evaluation (0.5-day).

Orientation could be organized by the DPLO in cooperation with National Facilitators according to the situation of LGA. For example, if the LGA does not have sufficient number of the DFs/WFs who were trained during the O&OD roll-out, the LGA needs to appoint new staff as facilitators to fill the gap. In this case, an emphasis should be placed on the theory and practice of the O&OD planning process in order for newly appointed facilitators to be familiar with the O&OD methodology.

From the second year onwards, the orientation can be organized as refresher sessions by the LGA. It can focus more on the issues of planning and budgeting trends in the coming financial year, and participatory monitoring and evaluation.

Assignment of facilitators to Wards and Communities

After the orientation, the DFs/WFs will be assigned to duty stations (Wards and Communities), and work as a team in each Ward during the Review process. If the team consists of experts in various fields, the team would have a chance to draw more ideas from the Communities. Moreover, if one experienced DF/WF is assigned as a coordinator, he/she can oversee the whole process at the Ward level for quality control.

Hence, following aspects can be taken into account on formulating a facilitation team:

- Level of understandings and skills of participatory Community planning;
- Locality (relationship with Community people and DFs/WFs' hometown);
- Field of expertise, such as agriculture, education and health; and
- Gender and age.

Announcement of Review

The WFs (or DFs) first visit Communities and discuss a Review schedule with respective Village Councils in the rural process and the WDC in the urban process. The DFs/WFs should clearly address overall aims and objectives of Review and the linkage with national and sector development goals (See details in Step 1 of Review)

The DFs/WFs should visit the Community to facilitate Participatory Monitoring and Evaluation. During the first step of Review at the very beginning of the LGA's R&B process, the facilitation to the community should focus on Participatory Monitoring (See Chapter 4 for more details about the PME and an example of an annual R&B schedule annexed at the end of this booklet)

Step 2: Facilitation of Review at Community Level

Responsibility: DFs/WFs under the supervision of CMT

Activity:

- Facilitation of the actual Review process
- Technical advice in the Review process
- Team meetings during the Review process
- Communication with the Village Council / WDC, the CRPs and focus group members

Output: DFs/WFs ensure the quality and timely submission of Three-Year Plans.

Facilitation of the actual Review process

Initially, the DFs/WFs should facilitate Communities to review their plans in a similar way to the one in the O&OD roll-out. But, as knowledge and skills on facilitation are transferred to the Village Council/WDC and the CRPs, roles of the DFs/WFs will then remain in assurance of quality and timely submission of updated plans. The expected roles of DFs/WFs are briefly explained below:

Technical advice in the Review process

While facilitating the Review process, the DFs/WFs have to provide technical support to the Communities in order to enhance the quality and feasibility of plans at the Community level. The DFs/WFs should also examine whether Three-Year Plans are in line with national and sectoral policies and guidelines.

Team meetings during the Review process

Before and after Step 5 of *Review*, it is suggested that the DFs/WFs have team meetings and discuss:

- Progresses of the process for timely submission;
- Possible actions for mitigating constraints; and
- Ideas based on the sector expertise of the DFs/WFs for quality control.

A CMT member, like the DPLO and Community Development Officer (CDO), who is in charge of *Backstop*, should also join the meetings wherever deemed necessary.

Communication with the Village Council / WDC, the CRPs and focus group members

The DFs/WFs should arrange meetings to discuss with the Village Council in the rural process and the WDC in the urban process about how to improve their facilitation skills. For example, wrap-up meetings may be held every day after sessions. The DFs/WFs should not take a lead in the meetings; rather facilitate the Village Council / WDC to discuss progresses and successive processes based on their own findings. Such meetings should involve the CRPs and focus group members.

Step 3: Preparation of Summary of Activities by Sector at Ward Level

Responsibility: Ward Officers (Extension Officers), WEO

Activity:

- Preparation of Summary of Activities from Community Development Plans by sector using simple format at Ward level.

Output: Summaries of activities by sector are prepared using simple format.

Community Development Plans should be the basis of LGA plan formulation. Therefore, it is essential to go through all Three-Year Plans and to compile the activities by sector and sub-sector in line with a current planning and budgeting system. But manually sorting out a large number of hand-written Three-Year Plans from each Village (and Ward) at the LGA level does not seem workable in the present situation. In this regard, a summary of activities (by sector) that require substantial support from outside will be prepared at Ward level by Ward Officers (Ward Extension Officers and Ward Executive Officer). This summary will make it easy for the Heads of Departments at the LGA to see the Community Needs easily. The sector/sub-sector categories for preparing the summary of activities should be determined by the CMT. An Example of the Simple Format is shown at the end of this chapter.

Example of Simple Format for Compilation of Three-Year Plans at Ward (Rural Process)

Simple Format, Summary of Activities (Steps of Implementation) by Sector

Ward: XXX, District: XXX, Region: XXX

Sector: Agriculture (506)

Name of Village	Steps of Implementation				Inputs			
	To establish agriculture field classes	To construct irrigation schemes	To employ agriculture officers	To disseminate education on food conservation	N/A	N/A	N/A	N/A
Chahua	3	2	---	✓				
Pingo	4	1	---	✓				
Pera	5	3	---	✓				
Mdaula	4	1	---	---				
Msolwa	3	---	1	✓				
Chamakweza	3	---	---	✓				
Bwilingu	2	2	1	---				
Total	24	9	2	---				

NB: This Simple Format Form will be prepared at the Ward Level by extension staff.
 “Inputs” will be determined at the LGA level while preparing the LGA’s MTEF.

4.0 PARTICIPATORY MONITORING AND EVALUATION

This chapter presents the definition and rationale of the participatory monitoring and evaluation (PME) as part of *Review*. The chapter also focuses on roles and responsibilities of the Community and the DFs/WFs in the PME process. The monitoring part will be carried out by the Community under the facilitation of the DFs/WFs, while the evaluation part will be conducted jointly by the Community and the. In this respect, PME becomes a means to create Community's knowledge base. In order to ensure the realization of the above, the LGA should oversee, prepare, and facilitate the PME process from the very beginning.

4.1 Meaning of Participatory Monitoring and Evaluation (PME)

Participatory Monitoring and Evaluation (PME) is a process through which the Community is actively engaged in undertaking the monitoring and evaluation exercise. The PME is an important tool for assessing progresses/achievements and impact during the plan implementation. It refers to the assessment of implementation of Community Plan under the initiatives of the Community itself. Participation is recognized as integral to the monitoring and evaluation process, since it offers new ways of assessing and learning from change that are more inclusive and more responsive to the needs and aspirations of the Community. PME is geared towards not only measuring the effectiveness of plan implementation, but also towards building ownership and empowering the Community, building accountability and transparency, and taking corrective actions to improve performance and outcomes. PME has two parts: participatory monitoring and participatory evaluation.

Output and Outcome

Output: refers to the tangible products and services during the implementation. In the O&OD, outputs are related to completion of activities specified in *Steps of Implementation*.

An example of outputs: *a training program provided to the farmers.*

Outcome refers to the actual or intended changes of targets through implementation. In the O&OD, outcomes describe degrees of achievements specified in *Specific Objectives*.

An example of outcomes: (as a result of a training program provided to the farmers) *increased maize yield and/or increased income for the farmers.*

First, *participatory monitoring* is a routine process to assess transformation of inputs to outputs in the course of plan implementation. Transformation of inputs into outputs is assessed based on the important aspects, which include: financial and administrative considerations; physical progress of the activities identified in the plan; and human resources considerations in the course of plan implementation. Therefore, participatory monitoring aims at analyzing impact and progress, and, as a result, drawing ideas to improve plan implementation.

Second, *participatory evaluation* is a periodic assessment of achievements of the plans at the Community level. It is a process that systematically assesses the achievement of outcomes against indicators set in the plans and the related impacts to the Community. Therefore, PME is key to determining the outputs and outcomes of the implementation of Community Plan.

4.2 Rationale of PME

The importance of PME process is to create a sense of ownership and commitment at the Community level. Through PME activities, Community members become aware of challenges during and after the implementation of their plans. By being aware of the challenges, they may recognize that their plans should be updated accordingly. The accumulation of experience as the Communities plan, implement and update their plans gradually fosters pro-activeness to work for positive changes. Fig 4.1 presents the concept of PME.

Also, the PME enables information sharing among stakeholders since it provides formats for record keeping (See examples attached at the end of this chapter). The records that are kept could be shared with those who did not participate directly in the process.

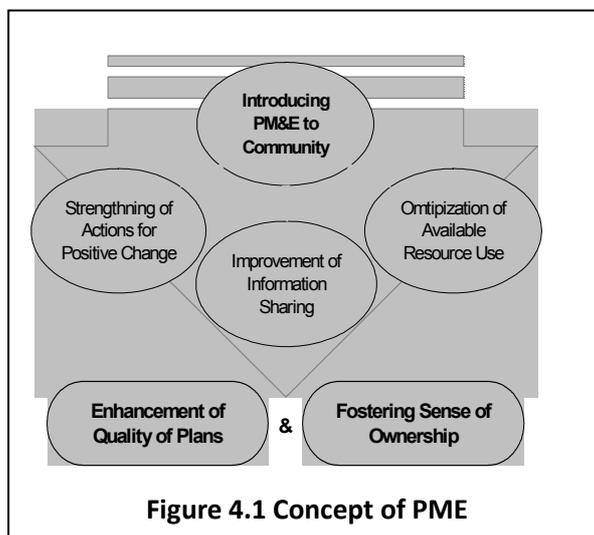


Figure 4.1 Concept of PME

Furthermore, PME facilitates the Community to ensure effectiveness and efficiency in the use of available resources. Through PME, the Community is able to know how much resources have been used and the output that has been generated.

4.3 PME in the Review Process

The PME as part of *Review* is embedded in the cycle for updating, implementing and assessing plans at the Community level. Specifically the impact assessments should not be ignored since identification of positive impacts would provide confidence and motivation among concerned actors like Community members, Community leaders and the DFs/WFs. Even identified negative impacts can be utilized for adjusting existing action plans as lessons learned.

Through the assessment, the PME aims to develop a knowledge base by accumulating experience and lessons learned from plan implementation. The knowledge base can help in identifying Community's real needs and priorities, and available internal/external resources (e.g. human, physical and financial resources) and ways for mobilization of resources and optimum use. These are, in fact, fundamental for adjusting the plan in the implementation and updating existing plans in the Review process.

As the knowledge base is being established, the quality and feasibility of plans will possibly be enhanced. Consequently, it is anticipated that allocation of resources to development activities will synergistically be optimized by stages.

4.4 Operationalization of Participatory Monitoring and Evaluation

4.4.1 Participatory Monitoring

The following are the steps for participatory monitoring:

- Step 1: To develop action plan for monitoring
- Step 2: Collection of Data;
- Step 3: Analysis of Data;
- Step 4: Documentation and Reporting; and
- Step 5: Utilization of Monitoring Results.

These steps will be done by the Community, led by the ***Village Council*** in the rural process and the ***WDC*** in the urban process. The DFs and WFs will facilitate the Village Council and WDC, who will thereafter facilitate the community to undertake the activities in the steps. Elected Community Resource Persons (CRPs) will work as Community facilitators.

Step 1: Development of Action Plan for Monitoring

Step 1 aims to prepare and agree on action plans which are basis for monitoring activities in a Community. The action plan (*Form 1*), is a tool showing the schedule of implementation by activity in the Three-Year Plans. This is an initial stage for monitoring activities, since without a planned schedule it is difficult to monitor the progress of each activity in the plans.

Facilitation to the Village Council / WDC

The DFs/WFs should facilitate the Village Council (rural)/WDC (urban) to understand the importance of PME and be able to undertake the exercise accordingly. The major aspects to be emphasized in this step include:

- Preparation of action plan as shown in *form 1*
- Preparation of draft schedule for each activity in Steps of Implementation on Form 1 according to Community's calendar and LGA's budget allocation schedules.

Step 2: Collection of Data

Step 2 aims to collect the necessary data for analysis of progress of scheduled activities. The necessary data include the items that appear in *Form 2: Monitoring (1)*. Data collected in this step will be the basis for discussion among Community members in the next step.

Data to be collected by the Village Council/WDC and the CRPs include: (1) secondary data collected from records of the Village/Ward and other institutions and (2) primary data, directly collected from the field. Data could be collected using various methods, including:

- Observation through field visits: The Village Council / WDC with Community members such as the CRPs regularly visit sites and monitor progress.
- Interview with key informants: Community members can provide essential information on plan implementation. Interviews can be done during the confirmation/observation.
- Minutes of meetings: Since during the meetings important issues are recorded, a review of minutes of meetings is useful in verifying the past activities.
- Quarterly report to the WDC (Rural Process only): as the Village Council submits quarterly reports to the WDC, those reports can be utilized for the same purpose as above.

The DFs/WFs should join site/field visits at least once a month to give technical advice to the community.

Step 3: Analysis of Data

Step 3 aims to assess the progress of activities and impact based on the action plans agreed in Step 1. This step is carried out by using *Form 2: Monitoring (1)* and *Form 2: Monitoring (2)*. The forms are not only tools to confirm progress of the activities but also to identify positive and negative aspects which promote or hinder the progress. All these would be utilized to determine the way forward.

The collected data should be discussed under the facilitation of DFs and WFs in the Village Council/WDC meeting, and *Form 2: Monitoring (1)* will be completed by VEO/WEO (urban).

Discussion on progress and the way forward

Discussion on the progress of implementation and way forward will be an agenda in the normal quarterly Village Assembly/WDC meeting (urban). The DFs/WFs should also attend the meeting to give technical advice where necessary, but the meeting will be fully led by the Village Council / WDC (urban). The following issues will be discussed during the meeting:

(1) Analysis on progress of the implementation

Based on the draft *Form 2: Monitoring (1)*, following topics will be discussed and approved in the meeting:

- Situation change: Against Three-Year Plans, if *Opportunities, Obstacles* and *Causes* have changed, and reasons for such changes.
- Progress (outputs): Implemented activities should be recorded. Also, some details about implementation of activities could be useful for easy reference: e.g. *Who did What and When (How)* should clearly be specified.
- Amount spent for implementation of activities: Actual expenditure should be recorded. Information on external funds can be obtained from the DFs/WFs.

(2) Way forward

Next quarter's implementation plans are also discussed based on schedules set in the action plans. If the schedules are in need of adjustments, such adjustments can be discussed and approved in the meeting. During the meeting, the community members will agree on the next steps, based on the time table set in the action plans. The contents of *Form (2): Monitoring (2)*, the results of discussion on the progress and the way forward for implementation will be compiled in the next step, including:

- Comments from Community members: Comments made by Community members will be recorded as collective information.
- Next quarter's activities: Ideas can be drawn from monitoring results as lessons learned. It is also important to make sure *who does what and when (how)*.
- Request to the Ward for facilitation: Any activities which need external support will be specified.
- Feedback from the Ward (Rural Process only): It can be recorded after a WDC meeting

Step 4: Documentation and Reporting

Both in the rural and urban process, *Form 2: Monitoring (1)* and *(2)* will be completed after Step 3. But, in the rural process *4) Feedback from the Ward (Form 2: Monitoring (2))* will be completed after WDC meeting.

Information sharing

In the rural process, the monitoring report should be submitted to the WDC for technical advice. The comments from WDC meeting should be recorded in *4) Feedback from the Ward (Form 2: Monitoring (2))*. Monitoring report will be displayed on the notice board for information sharing and also to invite comments from the community. Thereafter the comments will be incorporated, and a final monitoring report will be displayed and a copy be sent to the WDC.

Monitoring report will be displayed on the notice board for information sharing and also to invite comments from the community. Thereafter the comments will be incorporated, and a final monitoring report will be displayed on the notice board.

Step 5: Utilization of Monitoring Reports

Monitoring reports will provide the necessary information and data required for the Review process. These reports will also be kept as Community's knowledge base, to enable the community draw lessons from the implementation of their plans. The lessons to be drawn could include:

- Financial and administrative aspects: Whether or not there are appropriate financial flows and technical services for implementation of the plan. If not, what are alternatives and actions to implement plans?
- Physical progress of activities: The extent to which activities have been accomplished; and availability of facilities and sites. If there are shortfalls in the physical progress, what are the alternatives and actions?
- Human aspects: Whether or not Community members and other stakeholders are participating in implementation of the plan. If not, what actions should be taken for mobilization

The DFs/WFs should also internalize Communities' findings and include these in their own reports which are regularly submitted to their respective Heads of Departments.

4.4.2 Participatory Evaluation

Evaluation is the systematic analysis of data or information collected through monitoring. It is usually carried out at regular intervals than monitoring e.g. once a year or over a longer period depending on the type of evaluation. It is often advantageous to have outside expert or a third party to carry out the evaluation and the Village Council/WDC should participate in the planning or designing of the evaluation and sharing the evaluation report.

It is better to emphasize that the evaluation should be designed to address the following

- i. Effectiveness
- ii. Efficiency
- iii. Relevancy and
- iv. Impact

Briefly, in PME, the monitoring aspect assesses inputs and outputs; whereas Evaluation aspect examines impacts.

The following are the steps for participatory evaluation:

- Step 1: Development of Evaluation Framework;
- Step 2: Collection of Data;
- Step 3: Analysis of Data;
- Step 4: Documentation and Reporting; and
- Step 5: Utilization of M&E Results.

These steps will be done by the Community, led by the **Village Council** in the rural process and the **WDC** in the urban process. The DFs and WFs will facilitate the Village Council and WDC, who will thereafter facilitate the community to undertake the activities in the steps. Elected Community Resource Persons (CRPs) will work as Community facilitators.

Step 1: Development of Evaluation Framework

The framework for Participatory Evaluation will be developed by the Community, with the facilitation of the DFs/WFs. The Village Council/WDC (urban) will undertake the participatory evaluation exercise on behalf of the Community. Since Participatory Evaluation is done only once in a year, it should be done during the 4th Quarter.

The DFs/WFs will facilitate the Village Council/WDC (urban) to understand clearly the importance of participatory evaluation, and explain the use of evaluation formats (or tables).

Step 2: Collection of Data

In step 2, the Village Council/WDC (urban) in cooperation with the Community Resource Persons will collect the necessary data for Participatory Evaluation. Data collection in this case will involve the compilation of information from monitoring results. During evaluation, supplemental information, particularly the data on indicators identified in the plan, will be collected, according to the importance.

Step 3: Analysis of Data

After data collection exercise, the collected information will be analyzed to assess the results, in order to and to identify the successes and failures/gaps in the course of plan implementation. The analysis will shed light on important experiences during implementation, to rectify any shortfalls which emerged. This step is carried out at the end of the annual cycle of the Participatory Monitoring and Evaluation, utilizing *Form 3: Evaluation (1)* and *Form 3: Evaluation (2)*.

Procedure:

- The Village Council/WDC (urban) will be facilitated by the DFs/WFs to pre-analyze the collected data for the effective discussion
- The results of data analysis will be presented to the Village/Mtaa Assembly for the Community to confirm and deliberate on the way forward.

Form 3: Evaluation (1)

FY 2007/08

Village: XXX (Rural Process Only), Ward: XXX, District: XXX, Region: XXX

Date: 10 Sep 2008

1) Achievements	2) Actual Implementation and Expenditure (1 st Year)			
	Steps of Implementation	Inputs	What Village Can Do - Actual Expenditure - (Planned)	What Village Cannot Do - Actual Expenditure - (Planned)
<u>Outcome</u> 11 bags per acre this year (Target: 15 bags per acre)	Provision of transport	Motorbike	0 (0)	0 (0)
	Identifying a farmers' group in each hamlet	---	✓ (✓)	0 (0)
	Training on how to make use of manure	Training materials, Manure, Grass and Water	50,000 (50,000)	90,000 (150,000)
	Gathering materials to make compost	Manure, Grass and Water	✓ (✓)	0 (0)
3) Positive Aspects				
<u>Financial and Administrative:</u> Training was partially done, since training materials and a lecturer were provided by the LGA.		<u>Physical:</u> The compost making site was identified and is now in operation		<u>Human:</u> Identified farmers' groups have been working well with the Village Council.
4) Negative Aspects				
<u>Financial and Administrative:</u> No regular extension service was received.		<u>Physical:</u> Some people are still requesting the relocation of the compost site.		<u>Human:</u> Half of the CRPs have left the Village in the past year.

Form 3: Evaluation (2)

FY 2007/08

Village: XXX (Rural Process Only), Ward: XXX, District: XXX, Region: XXX

Date (Village Assembly): 10 June 2008

Date (WDC): 20 July 2008

1) Comments from Community members	<ul style="list-style-type: none"> - Manure use for compost should be continued. - We have to send requests to the Ward continuously regarding motorbike provision to the duty extension officer.
2) Ideas for Next Year's Planning (Review)	<ul style="list-style-type: none"> - While continuing compost use, it is necessary to obtain a skill in minimizing a post harvest loss. - In addition to maize production, other sources of income should be established. Now poultry and charcoal production can be options.
3) Request to Ward for Technical Assistance and Facilitation	<ul style="list-style-type: none"> - We would like to know the possibility of organizing training on mitigating post harvest loss. - We would like to know the possibility of providing a motorbike to the duty ward extension officer for effective agricultural technology transfer.
4) Feedback from the Ward (after WDC) Rural Process Only	<ul style="list-style-type: none"> - Charcoal production is not encouraged according to a government policy, since it will cause a serious environmental degradation. - The motorbike issue is still under the discussion at the LGA level. - We will send a request to the LGA for a post-harvest loss training budget, please incorporate this idea in the next plan.

Rural Process: 1) Original for Village Council's file, 2) Duplicate for Ward (WDC) and 3) Triplicate for Notice Board

Urban Process: 1) Original for WDC's file and 2) Duplicate for Notice Board

Step 4: Documentation and Reporting

In Step 4, based on the results of the previous step, the Village Council (Rural) / WDC (Urban) will prepare an evaluation report (*Form 3*), which will be shared as follows:

- A copy will be displayed on the notice board for Community members
- A copy will be sent to Ward (in the urban process, a copy will be sent to Mitaa)
- Original copy will be kept by the Village Council / WDC

Step 5: Utilization of Evaluation Results

The findings of Participatory Evaluation should be used in the review process, and implementation of Community Development Plan. The Findings of the Participatory evaluation are a Community's knowledge base, and will inform the future development initiatives of the Community. Also, the DFs/WFs should carefully accommodate the participatory evaluation results in their reports to their respective Heads of Departments.

ANNEX I: Examples of Formats for PME

Form 1: Action Plan

FY 2007/08

Village: XXX (Rural Process Only), Ward: XXX, District: XXX, Region: XXX

Date: 27 June 2007

Target: High Quality Livelihood

Objective: Food self-sufficiency and food security

Specific Objectives	Steps of Implementation	Inputs	1 st Year (FY2007/08)		2 nd Year (FY2008/09)		3 rd Year (FY2009/10)		1 st Year's Schedule of Implementation (Month)											
			What village can do	What village cannot do	What village can do	What village cannot do	What village can do	What village cannot do	7	8	9	10	11	12	1	2	3	4	5	6
To increase production of maize from the current 10 bags to 15 bags per acre by year 2010	Provision of transport	Motorbike Fuel Lubricants	---	---	---	1,500,000	---	500,000	Start the Implementation from 2 nd Year (FY2008/09)											
	Identifying a farmers' group in each hamlet	---	✓	---	---	---	---	---	X	O	O									
	Training on how to make use of manure	Teaching material Manure Grass Water	50,000	150,000	---	---	---	---				X	X	X	O					
	Gathering materials to make compost	Manure Grass Water	✓	---	✓	---	✓	---							X	X	O	O	O	O

X: Preparation for Implementation, O: Implementation

Person(s) in Charge of Data Collection: Village Council (Rural) / WDC (Urban) and the CRPs

Indicator: Number of bags per acre

Form 2: Monitoring (1)

Quarter ① 2 3, FY 2007/08

Village: XXX (Rural Process Only), Ward: XXX, District: XXX, Region: XXX

Date: 28 Sep 2007

1) Situation Change: Has situation changed (Y / N, and If Yes, WHY?)	2) Progresses: What has been implemented?	3) Amount Expended	
		Internal	External
No.	<u>Provision of transport:</u> No progress in this quarter	0	0
4) Summary of Activities: <i>(Who did What, When (and How)?)</i>			
Farmers groups of all hamlets have been identified, members were displayed on the notice board (VEO's visit to each hamlet from 20 Aug to 08 Sep). Request of manure use training was sent to the Ward by the Village Council, a copy of the letter was displayed on the notice board (on 13 Sep).	<u>Identifying a farmers' group in each hamlet:</u> Farmers groups identified	✓	0
	<u>Training of how to use manure:</u> No progress in this quarter	0	0
	<u>Gathering materials to make compost:</u> No progress in this quarter	0	0
5) Positive Aspects			
<u>Financial and Administrative:</u> No specific points have been identified.	<u>Physical:</u> Site identification for making compost has been started.	<u>Human:</u> Farmers groups have been identified in each hamlet.	
6) Negative Aspects			
<u>Financial and Administrative:</u> In the 1 st quarter, the LGA does not have enough funds for disbursement. Therefore, no fund has been provided.	<u>Physical:</u> Some Community members complained the possible site for compost making since it would be near their house.	<u>Human:</u> No specific points have been identified.	

Form 2: Monitoring (2)

Quarter ① 2 3, FY 2007/08

Village: XXX (Rural Process Only), Ward: XXX, District: XXX, Region: XXX Date (Village Assembly): 28 Sep 2007
Date (WDC): 15 Oct 2007

1) Comments from Community Members	<ul style="list-style-type: none"> - The manure use training should be conducted before the end of Jan 2008. - No farmers group has been identified in XX hamlet. - A motorbike for the duty ward extension officer should be requested, we have not seen the officer for a long time.
2) Next Quarter's Activities by Community <i>Who do What, When (and How)?</i>	<ul style="list-style-type: none"> - Farmers groups, in cooperation with the Village Council, will elect their representatives in the first half of 2nd quarter. - Also confirm the situation of XX hamlet's farmers group as requested by a Community member. - Farmers groups' representatives will select a site for compost making before the end of the 2nd quarter.
3) Request to the Ward for Facilitation	<ul style="list-style-type: none"> - We would like to know the possibility of organizing a manure use training. - We would like to know the possibility of providing a motorbike to the duty ward extension officer.
4) Feedback from the Ward (after WDC) Rural Process Only	<ul style="list-style-type: none"> - The LGA is now waiting for the CBG fund, which can be used for training programs. - But, a small workshop for manure use can be organized by a trained extension officer. The duty ward extension officer will visit your village and discuss more details. - No motorbike can be provided to the duty ward extension officer in this FY, because of lack of available funds.

Rural Process: 1) Original for Village Council's file, 2) Duplicate for Ward (WDC) and 3) Triplicate for Notice Board

Urban Process: 1) Original for WDC's file and 2) Duplicate for Notice Board

Form 3: Evaluation (1)

FY 2007/08

Village: XXX (Rural Process Only), Ward: XXX, District: XXX, Region: XXX

Date: 10 Sep 2008

1) Achievements	2) Actual Implementation and Expenditure (1 st Year)			
	Steps of Implementation	Inputs	What Village Can Do - Actual Expenditure - (Planned)	What Village Cannot Do - Actual Expenditure - (Planned)
<u>Outcome</u> 11 bags per acre this year (Target: 15 bags per acre)	Provision of transport	Motorbike	0 (0)	0 (0)
	Identifying a farmers' group in each hamlet	---	✓ (✓)	0 (0)
	Training on how to make use of manure	Training materials, Manure, Grass and Water	50,000 (50,000)	90,000 (150,000)
	Gathering materials to make compost	Manure, Grass and Water	✓ (✓)	0 (0)
3) Positive Aspects				
<u>Financial and Administrative</u> : Training was partially done, since training materials and a lecturer were provided by the LGA.		<u>Physical</u> : The compost making site was identified and is now in operation		<u>Human</u> : Identified farmers' groups have been working well with the Village Council.
4) Negative Aspects				
<u>Financial and Administrative</u> : No regular extension service was received.		<u>Physical</u> : Some people are still requesting the relocation of the compost site.		<u>Human</u> : Half of the CRPs have left the village in the past year.

Form 3: Evaluation (2)

FY 2007/08

Village: XXX (Rural Process Only), Ward: XXX, District: XXX, Region: XXX

Date (Village Assembly): 10 June 2008

Date (WDC): 20 July 2008

1) Comments from Community members	<ul style="list-style-type: none"> - Manure use for compost should be continued. - We have to send requests to the Ward continuously regarding motorbike provision to the duty extension officer.
2) Ideas for Next Year's Planning (Review)	<ul style="list-style-type: none"> - While continuing compost use, it is necessary to obtain a skill in minimizing a post harvest loss. - In addition to maize production, other sources of income should be established. Now poultry and charcoal production can be options.
3) Request to Ward for Technical Assistance and Facilitation	<ul style="list-style-type: none"> - We would like to know the possibility of organizing training on mitigating post harvest loss. - We would like to know the possibility of providing a motorbike to the duty ward extension officer for effective agricultural technology transfer.
4) Feedback from the Ward (after WDC) Rural Process Only	<ul style="list-style-type: none"> - Charcoal production is not encouraged according to a government policy, since it will cause a serious environmental degradation. - The motorbike issue is still under the discussion at the LGA level. - We will send a request to the LGA for a post-harvest loss training budget, please incorporate this idea in the next plan.

Rural Process: 1) Original for Village Council's file, 2) Duplicate for Ward (WDC) and 3) Triplicate for Notice Board

Urban Process: 1) Original for WDC's file and 2) Duplicate for Notice Board

ANNEX III: SUMMARY OF KEY PRINCIPLES

Summary of Key Principles: National Framework on Participatory District Planning and Budgeting (2002)

Inclusiveness: In facilitating participatory planning and budgeting processes, it is essential that all stakeholders at various levels of the local government structure are identified.

Consultation to reach consensus: Consultation is a multi-faceted process in which stakeholders through advocacy and exchange of views and information as a first step. Secondly the stakeholders deliberate openly through public hearings and presentation of issues in various Community contexts.

Transparency: Local forums, such as the Village Assembly, Village Council, Vitongoji/Mtaa, WDC and District Council meetings, should be publicized as much as possible for all stakeholders at each level to know and participate as required.

Facilitation: Facilitation involves enabling local stakeholders to take a leading role in doing things for themselves. It involves enabling local stakeholders to be the analysts, vision setters, planners, budgeters, implementers and evaluators.

Efficiency: Efficiency, among other things, means executing planned and budgeted activities in accordance with the plan as laid down and agreed upon by the respective owners of the plan. The implementers follow the agreed timeframe, appropriate and optimum expenditure of resources and ensure the quality of the final product.

Empowerment: Community should be capacitated with an intellectual skills and knowledge base, capacity for self organization and management of development actions, and for gaining access to material resources/information and legal power to develop a productive base.

Equitability: The planning and budgeting process should involve and reflect all stakeholders' interests and priorities by considering gender, inter generation (age groups), differences (socio-economic, religious and marginalized groups).

Sustainability: It should address cross cutting issues that are often ignored or taken for granted by many, such as use of natural resources (water, land, flora and fauna).

Accountability: Stakeholders should be accountable to the public and to each other for their shared decisions and the tasks they have committed themselves to accomplish.

Vision: A vision should be a reflection of a collective conceptualization of the needs, opportunities and dreams of the majority but at the same time taking cognizance of minority views. The vision should be clearly understood and shared by all stakeholders.

NB: This summary is an abstract from the *Local Government Capital Development Grant System, Planning and Budgeting Guidelines for Villages and Mitaa* (PMO-RALG, 2004).