

GUIDELINES FOR THE PREPARATION OF DISTRICT AGRICULTURAL DEVELOPMENT PLANS

PREFACE

This paper is organised into two volumes. Volume I establishes the policy and overall methodological approach for preparation of District Agricultural Development Plans (DADPs). It is anticipated that this would be used by executive and planning staff at national, regional and district levels who will manage the process and be responsible for consolidation of plans and inter-action with other higher level stakeholders. Volume II would consist of the detailed guidelines and instructions for use by staff and stakeholders at field level, to actually implement the process of DADP formulation. Both volumes are set within the overall framework of the DDP guidelines and the requirements of both the Local Government Reform Programme (LGRP) and the Agricultural Sector Development Strategy (ASDS) and the Agricultural Sector Development Programme (ASDP). The two volumes provide information on the planning methodology to be used, the actual types of information required for participatory planning for agricultural development, and identification of the roles and responsibilities at various levels of the planning process.

VOLUME I

THE CONTEXT AND FRAMEWORK FOR FORMULATION OF DISTRICT AGRICULTURAL DEVELOPMENT PLANS.

1.0 INTRODUCTION AND BACKGROUND

1.1 General

During 2001, the Government of Tanzania formulated and approved the Agricultural Sector Development Strategy (ASDS). The ASDS is a major component of the overall national Poverty Reduction Strategy, and contains a set of innovative and practical actions, including a focus on agricultural productivity and profitability, the promotion of private/public sector partnerships and decentralized implementation through District Agricultural Development Programmes. The ASDS is a key policy statement which:

- targets improvements in farm incomes upon which the majority of the rural population depend, thus achieving rural poverty reduction.
- emphasises availability and access to food, and thus advances food security.
- provides a comprehensive, sector-wide programme for agricultural development which is a key element to national economic development.

The ASDS provides a coordinated agricultural sector response to current macroeconomic and structural reforms which address poverty reduction and improved public sector performance. It provides an instrument for guiding public and private investment towards agreed sector objectives and priorities. It transfers responsibility for formulating, implementing and monitoring agricultural development activities to Local Government Authorities (LGA) and communities. And it augments the reform agenda by promoting a participatory approach to the management of the agricultural sector

The ASDS identifies the improvement in farm incomes of the majority of the rural population to be a precondition for reduction of rural poverty in Tanzania. It recognises that subsistence dominated farming must gradually be transformed into profitable (surplus producing) agricultural production. Consequently, the primary objective is to create an environment that favours the growth of farm incomes, which reduces rural poverty and which attracts private investment.³

The Government is currently formulating an Agricultural Sector Development Programme (ASDP) as a means to implement the ASDS. The heart of the ASDP involves changing the function of central government from an executive role to a normative one, empowering local government and communities to control their planning processes, and establishing an enabling environment which encourages private sector investment in all aspects of agriculture. ASDP does not replace existing national and local planning and implementation mechanisms. Rather it will facilitate the process, highlight priorities and track overall progress.

It has been proposed that the ASDP is organized into three complementary sub-programmes, as follows:

- **Sub-Programme A:** This includes activities that are undertaken in the field in direct support of

³ Text drawn from the ASDP 2001 and the ASDP Draft September 2002.

agricultural production and processing in order to make them it profitable. They are focused on the work of district and local extension and support services and contract service providers. They aim to establish favourable local conditions for small, medium and large-scale production. They also include improved coordination with other sectors on locally important crosscutting issues such as rural infrastructure. ASDP is designed so that by the end of the first five-year phase, approximately 75% of available public resources are invested in this sub-programme.

- ***Sub-Programme B:*** *This includes activities which are public sector functions at the national level in support of agricultural development. These are the responsibility of the lead ministries, supporting ministries, parastatals, commodity boards and other central organisations. By the end of the first ASDP, this sub-programme will be using approximately 20% of available public resources.*
- ***Sub-Programme C:*** *This covers crosscutting issues and liaison with sectors related to agricultural development at a national level, but whose functions are beyond the direct mandate of the four Agricultural Sector Lead Ministries. The activities cover a range of coordination and cooperation functions which demand significant attention the agricultural ministries, but not high levels of investment from their budgets. It is estimated that approximately 5% of the agricultural sector budget will be spent on crosscutting issues each year.*

Within each Sub-Programme a series of Components, Sub-Components and possible Interventions have been identified. These will be further developed in the second Phase of ASDP preparation. Those which have so far been identified for Sub-Programme A are shown in the table below.

ASDP Sub Programme "A" Proposed Components⁴

Sub-program A	Main Components	Proposed Sub-Components
Agricultural Sector Support and Implementation at District and Field Level <i>Indicative funding allocation: 75% of total through DADP</i>	A.1 Investment and Implementation <i>(The production and processing of agricultural outputs)</i> <i>(indicative funding allocation: 70-80% of Sub-programme A)</i>	<i>May include:</i> <ul style="list-style-type: none"> • Irrigation and water management • Range management • Livestock development and animal health • Better land husbandry • Crop production and protection • Mechanisation • Storage and post-harvest • Agro-processing
	A.2 Policy, Regulatory and Institutional Framework <i>(Supporting enabling environment at LGAs for all farmers)</i>	<ul style="list-style-type: none"> • Policy Framework • Regulatory Framework • District Institutions • Agricultural Information & advocacy
	A.3 Research, Advisory Services and Training <i>(Establishing the support services needed for agricultural growth)</i>	<ul style="list-style-type: none"> • Client-oriented research • Animal and plant multiplication • Advisory services for farmers • Training of producers • Service provider training
	A.4 Private Sector Development, Marketing and Agricultural Finance <i>(Supporting the commercialization of agricultural growth)</i>	<ul style="list-style-type: none"> • Private sector development • Market development and infrastructure • Producer organisations • Financial institutions and services
	A.5 Cross Cutting Issues with Other Sectors <i>(Managing links between Agriculture and other sectors)</i>	<i>to include amongst other:</i> <ul style="list-style-type: none"> • Rural Infrastructure and Energy • Civil Service and LGA Reform • Village Land Act Implementation • Health (HIV/AIDS, Malaria etc.) • Gender • Environmental Management • Forestry and Fisheries • Water • Education

Within these components, there are expected to be opportunities whereby rapid progress may be achieved for relatively small financial and technical outlays, so called "Quick Wins". Quick wins may be achieved in several ways, though essentially this is done through either tackling a problem that is easy to resolve, or removing a constraint, or tapping into a potential that is easy to realise. Characteristically, these activities should not initially require large amounts of funding, or new skills and knowledge. Each District will be able to identify possible quick wins for their own areas. If two or three were immediately implemented in each District there would already be a significant impact on agricultural growth. Possible activities of this sort include;

- Rationalising local tax levels and procedures,
- Simplifying trade and processing regulations.
- Strengthening local trade and market information systems.
- Business training and business services support for small and medium enterprise development.
- Increasing focus on animal traction.

⁴ From ASDP Main Text Draft September 2002.

- Developing water harvesting potential for cropping and livestock watering.
- Facilitating private sector and community participation in input procurement.
- Proactively increase women's' access to training and participation in decision making.
- Developing District Private Sector Investment Packages.
- Providing public recognition schemes for outstanding farmers and civil servants.

Improving the regulatory framework is a particularly important option because it requires no more than the removal of existing constraints to production and marketing. This is in line with the ASDP approach of facilitating the creation of an attractive environment to stimulate agricultural development.

It is not the role of ASDP to dictate local needs. Therefore, communities and LGAs will increasingly be involved in identifying the content of the Sub-Programme A interventions. This will be done through the participatory elaboration of District Agricultural Development Plans (DADP), which form an integral part of each District Development Plan (DDP)⁵. The generation of District Development Plans will take place within the framework of the decentralization policy, which commenced in 1999, as well as the Local Government Reform Programme (LGRP).

The LGRP is an initiative of the Government, supported by several donors, which aims to enable the LGAs to undertake the new roles and responsibilities envisioned under the decentralization policy. The programme provides guidance on a number of procedural and legal issues (taxation, regulation, expenditure, audits, by-laws, etc), as well as giving support for capacity building in financial administration, personnel management and service delivery. The LGRP is currently developing a set of written guidelines for the implementation of participatory planning procedures for the generation of District Development Plans (DDPs). It has embarked on a process of introducing Districts to the new procedures, which would ultimately allow for the maximum devolution of power and financial autonomy.

⁵ Agricultural Sector Development Programme, Draft Framework and Process Document, 20th September 2002.

1.2 The Basis for Participatory District Agricultural Development Planning

1.2.1 Political

The Government has publicly proposed and supported the adoption of participatory planning in rural areas as a means to engender more rapid economic and social development. There are numerous references in the Tanzania Development Vision 2025 to the need for democratic participation at all levels in the development processes. This political commitment to the process is re-iterated and elaborated in many subsequent political statements of relevance to the development of the agricultural sector.

1.2.2 Policy

The concept of decentralized planning for the provision of services and public sector investment at District level is well entrenched in the policy matrix.

The Rural Development Strategy (RDS) recognizes the need for a rapid increase in per-capita income growth from the agricultural sector as a means of reducing poverty. Some key parts of this strategy refer to the need for planning and action at district and community levels. Specifically, it proposes that:

- *Good Governance in rural areas will be promoted by making local governments accountable to their citizens;*
- *An enabling and peoples empowering environment would be created; and,*
- *Self-reliance and self-sustaining development would be promoted.*

The Agricultural Sector Development Strategy (ASDS) recognizes that the implementation of the LGRP will demand that there is increasing emphasis on participatory planning at District level in order to formulate the DADPs. The ASDS specifically identifies the use of 3-year rolling plans within the DADP mechanism as a means of implementation of development initiatives.

The Agricultural Sector Development Programme (ASDP) specifically proposes that the implementation of sub-programme “A”, the “Agricultural Sector Support and Implementation at District and Field Level” would be guided by DDP/DADP processes.

Within the **Local Government Reform Programme (LGRP)**, the Fiscal Decentralisation Task Force has prepared various criteria, compliance with which would allow LGAs to have access for unconditional block grants for service delivery and investment within various sectors of activity, including agriculture. Central within the required financial/planning procedures is the requirement that “the Council has a rolling 3 year Council approved Development Plan, which includes financial forecasts and which covers recurrent and development activities.”

Additionally, the preparation of **Participatory District Development Guidelines (PO-RALG)** is almost complete, and it is anticipated that they will be formally launched in the near future. They provide detailed guidance on the processes and content of DDPs, of which the DADP is a sub-set.

1.2.3 Legal

The legal basis for participatory planning at District level is determined from various acts of parliament, specifically:

- a) **The Local Government (District Authorities) Act** (Paragraphs 32 – (1), 111A-(1), 118 –

- (1) and 142-(2));
- b) **Act 7/82 (District Authorities);**
- c) **the Local Government (District Authorities) (Councillors Code of Conduct) Act; and**
- d) **the Local Government Financial (Block Grants) Act (Paragraph 5).**

The imperative for participatory planning processes at District level, for the development of agriculture and other rural enterprises, is clearly established in the legislation of Tanzania. The Districts are directed by the laws to undertake this process, to ensure that democratically based actions are taken in the interests of the development of rural communities.

1.2.4 Practical (Best Practices)

Following are general guidelines on the process of participatory planning for district agricultural development in Tanzania. It is emphasised that the utilisation of an appropriate form of participatory planning is a **pre-requisite for the formulation of an effective DADP/DDP.**

District Agricultural Development Planning is a Subset of District Development Planning. A DDP, incorporating a DADP, must be holistic and provide an overarching framework of development that covers social, economic and environmental aspects. While the ultimate goal of the plan may be to eradicate poverty, other cross cutting issues such as gender, environment and the HIV/AIDS pandemic must also be factored in.

Participatory Planning involves Paradigm Shift (change in a way of doing things), and thus requires a shift in the mind-set at all levels. For the process of district planning to be truly participatory, the officials at the district, ward, village and sub-village levels become facilitators while the actual planning is left in the hands of the communities.

There are many **Precedents in Participatory Planning in Tanzania** from which valuable information on the process of implementation can be obtained. At a national level, the President's Office-Regional Administration and Local Government (PO-RALG) has used these experiences in the formulation of national guidelines for district level participatory planning. Subsequently, an Opportunities and Obstacles for Development (O&OD) approach, that capitalizes on opportunities as a basis for strategizing development, was adopted by PO-RALG in 2001 as the planning framework for the country. The O&OD was nationally launched by PO-RALG on the 24th April 2001 and envisages training district teams in the whole country. The draft Training Manual on Participatory Community Based Opportunity and Obstacles for Development Planning (O&OD) by PO-RALG (2001) provides operational details of the different steps that are outlined in these guidelines.

These DADP programme documents provide guidance for the initiation and utilisation of participatory planning, as well as providing clarification of the linkage between District Development Planning (DDP) and DADP.

2.0 THE PLANNING METHODOLOGY

2.1 The Planning Cycle

In order to provide guidance for the development of DDPs/DADPs, it is useful to understand the Planning Cycle for Public Sector support in the process of agricultural development. This process is both continuous and inter-active. Because the process is continuous, there is no starting or concluding activity. However, for ease of understanding, the commencing point is taken to be in January when the Ministry of Finance provides budget guidelines for central government for the forthcoming financial year to the Agricultural Sector Line Ministries (ASLM).

The Local Government Planning and Implementation Cycle

Date	activity	responsible
January	Budget Guidelines Provided to ASLM	Ministry of Finance
February-March	Formulation of ASDP Budget Proposal and Indicative Guidelines	ASDP Secretariat/ASAC
April	Dissemination of Policy and Budget Advice and Information to Districts	ASDP Secretariat through PO-RALG
April	Formulation of District Guidelines	Districts
May-July	Initial Formulation of DDPs	Villages, Wards, Districts
July	Annual Budget Approved	Parliament
July	District Annual Budget Ceilings Prepared	Treasury
August	District Annual Budget Ceilings Advised	PO-RALG & Regional Sec
August	District Budget Instructions Prepared & Advised	Districts
August-Sept	Village and Ward Plans Finalised	Villages, Wards, Districts
October	DDP Consolidated, Reviewed	Districts, Regional Sec
November	DDP Approved	Full District Council
November	DDPs Forwarded to PO-RALG	Districts, Regional Sec
December	District Plans and Budgets Confirmed	PO-RALG
January	Government Subventions Disbursed	Ministry of Finance & PO-RALG
January-Dec	Implementation of DDPs	Districts

Thus, for Districts, the planning cycle starts in April of each year, when PO-RALG provides councils with advice and information to help them prepare quality plans. It would appear to be practical that a "two stage" approach is adopted for planning in Districts (and constituent Wards and Villages).

- Stage One, during the period May until July, Districts would plan on the basis of policy and budget advice received. As there would not be definitive budget guidance available at this stage, planning would concentrate more on the broad development frame, and less on specifically funded activities.
- Stage Two, during the period August until November, would have the benefit of the approved national budget and specific subventions which would be available to the District from ASDP, as well as resources which would be available from the District.

The content of the DADPs will originate from a holistic participatory planning process involving local communities (*Vitongoji*) and the Village Councils in the formulation of DDPs (n.b not a specific process only for the formulation of the DADP). These initial plans are approved by the Village Assembly and then sent to the Ward Executive Officer (WEO), who reviews them with the Ward Development Committee (WDC). The WDC is not a decision making body, rather it advises

the WEO on the consolidation of the different village plans into a Ward Development Plan and Budget. This is then forwarded to the DED.

Once the Wards' plans arrive at the District, they are reviewed by the District Planning Officer (DPLO) and presented to the Economic Affairs, Works and Environment Committee for comment. The full District Council is required to review and approve all District Plans and Budgets. In support of this process, the Regional Secretariat provides technical backstopping to the districts, monitors implementation and reports progress to PO-RALG.

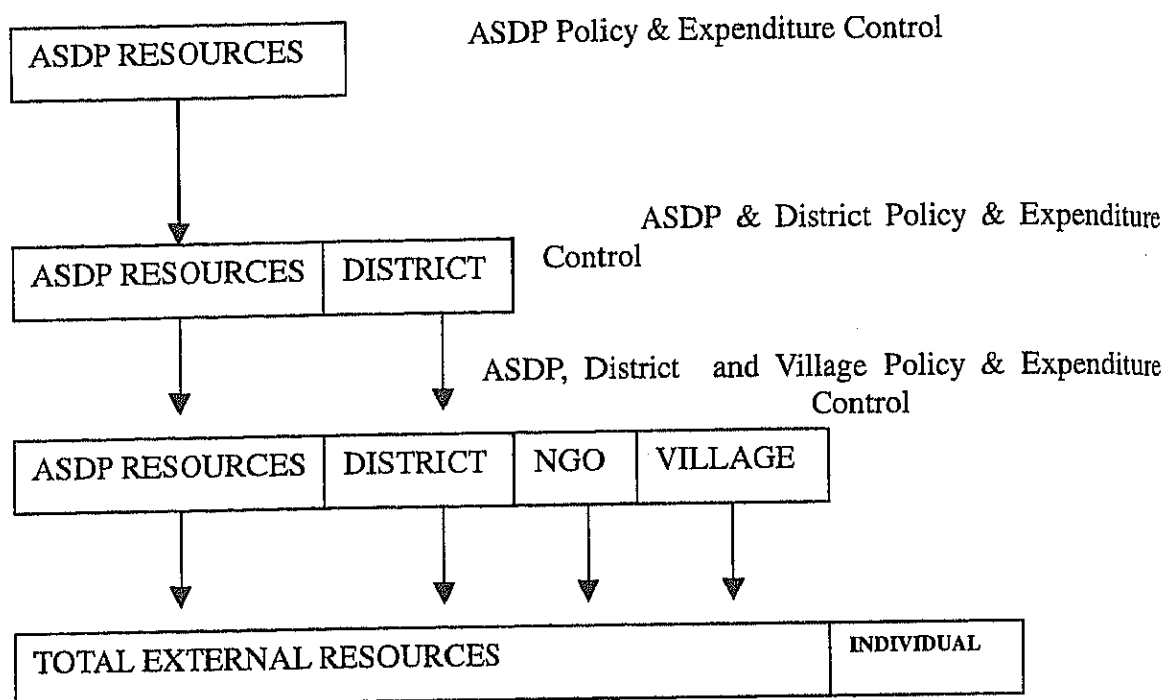
3.0 INSTRUCTIONS AND INFORMATION

The process of effective decentralization explicitly means that power is devolved from central government authorities to those at local levels of the government hierarchy. The system being developed in Tanzania through the LGRP explicitly recognizes this, as do the policies contained in the PRSP, RDS, and the ASDS. Moreover, it is intended that as LGAs improve their management of finance and public sector implementation, they will be granted increasing discretion in expenditure of Government subventions.

Nevertheless, there is a need for national policies and expenditure rules to be known and observed at all levels. Indeed, the need for such instructions and information becomes more critical the greater the degree of autonomy that is attained by an LGA. Figure 2. below attempts to show how this would apply in the aggregate under the proposed system.

At the most devolved levels of planning, the Central Government organs have no immediate means of control. However, it is important that these devolved levels comply with both the rules and the broad policies defined at the higher levels of the government hierarchy. Failure to do so would ultimately result in Central Government funds being suspended, as well as failure to achieve agreed higher level objectives.

Figure 2. Decentralised Policy and Expenditure Control



It is thus vital that Planning for Agricultural Development is done with the maximum level of appropriate knowledge. The system employed would necessarily be an iterative and constantly evolving process. It involves forward and backward information flows between Central Government and the ultimate consumers/users of public agricultural sector services and investments, the farmers and rural inhabitants. The following identifies the types of **Instructions and Information (I&I)** which should be imparted to planners at various levels in order for them to plan within the policy context and real resource parameters.

The **Instructions** provided are orders/directives which must be followed. The **Information** provided would be of a nature which would facilitate accurate planning in the context of national policies and objectives. It also develops the means by which activities are monitored, and the results of monitoring and self evaluation are incorporated into decision-making during subsequent planning cycles. The I&I described at the more decentralized levels are essentially sub-sets of those at the higher levels (and therefore appear somewhat repetitive). However, this chapter can be disaggregated into its constituent parts applicable for each level of government, and the I&I contained in each section can be used as a free standing guide for those responsible for generation and utilization of the information defined.

4.0 PROCESS OF IMPLEMENTATION

4.1 Timeframe

It has been proposed that the adoption of a participatory DADP approach to programming agricultural sector development interventions at District level be commenced in the current (2003) planning cycle. However, it would not be possible to fully apply the proposals presented here within the timeframe required as District plans need to be finalized by November. For the current planning cycle, it is recommended that some aspects of these proposals would be applicable in those Districts which have already implemented a planning process consistent with the recommended approach.

In the majority of Districts, where this concept of planning is new, it is recommended that implementation commences during 2003 in planning for activities to take place in 2004. This would allow adequate time for some of the complementary steps (see below) to be taken to ensure that the integrity of the procedures is maintained through their implementation.

4.2 Consistent Planning Methodology

Some form of participatory planning has either been implemented or is currently being implemented in many Districts. In most cases, this is related to specific projects being supported by various Ministries, donors or NGOs, and the planning is generally limited to the requirements of the specific project. Although all of these have features in common, there is no overall methodological harmony or consistency. The planning approach used in some cases is quite distinct to the O&OD methodology which will be used nationally for the formulation of DDPs.

It has been noted above that the process of formulation of a DADP would be an integral part of overall planning within a District to produce a DDP. It is therefore essential that the approach proposed for DADPs is entirely consistent with, and part of, the methodology being used for overall DDP formulation. While the authors have endeavoured to provide such consistency, it is not at all apparent that this is the case being adopted by all entities with a stake in the process.

It is therefore recommended that the ASDP Secretariat consults urgently with PO-RALG and other public sector entities which have a significant District implementation strategy (Health, Education, Public Works etc) to adopt a consistent national planning approach to DDP formulation. Steps should then be taken to develop a consistent National Participatory Planning framework within the O&OD approach. As all of these entities will rely on DDPs for planning of District activities, it will become essential that one planning approach is used at District level. Failure to achieve this requirement would quickly lead to confusion and a loss of integrity of the methodology and process.

4.3 Implementation Strategy

4.3.1 Existing Programme Support

It has been observed that the process of launching and implementing a genuinely participatory planning process in Districts requires substantial financial and technical support. An attempt to introduce the process with inadequate support would quickly lead to a loss of integrity in the system, and thus failure to adequately address the objectives of the ASDP.

At the Ward and Village level, these processes would necessarily require substantial support from agricultural extension staff. They would need to be trained to be facilitators and specialist "consultants", rather than continuing to behave only as experts in various technical disciplines. They would also need to acquire basic financial skills, in order to assist the communities they serve in identifying profitable and sustainable interventions. This would require substantial training and re-orientation for extension workers, and should be undertaken in concert with the introduction of the participatory planning methodology.

There are currently no nationally available resources which are adequate for a rapid process of implementation for all Districts.

Fortunately, there are several existing programmes and projects operating within the agricultural and rural development sectors which have significant resources available for supporting the implementation of participatory planning at District level. These include the Agricultural Sector Programme Support Phase II (Danida, 13 Districts in Iringa and Mbeya), Tanzakesho Capacity 21 Project (UNDP, 2 Districts), the Pilot O&OD Implementation (Unicef) etc. In all, there are possibly about 50 Districts which would have adequate resources from various programmes and projects to undertake effective implementation of the proposed system.

It is therefore recommended that the ASDP Secretariat encourages full implementation of these proposals initially in those Districts which have adequate resources identified for the purpose. This would be done in a consistent manner (see 4.2 above) with national coordination. It is further recommended that the ASDP Secretariat makes the identification of further resources for implementation of the proposals a high priority for immediate action. National implementation of these procedures would go some way to avoiding the possibility that some Districts would be disadvantaged through not having access to the resources needed for application.

4.3.2 Process Commencement

The inclusion of three - year rolling plans into the DADP has some implications for the commencement of the process. In the initial year, the District (and its constituents) would have the task of preparing a definitive DADP and Budget for the forthcoming year, as well as initially preparing the subsequent two years (i.e. years 2 and 3) of the rolling plan. The inclusion of the requirement for preparation of the rolling plan implies a significantly greater planning effort than that required for planning for only one year. Districts should therefore be advised of this implication, and adequate resources made available to ensure that they are capable of planning accurately for the additional years.

Once the three - year rolling plan has been established, the procedure becomes somewhat simpler. In the second year after commencement, the definitive DADP would consist of an update and refinement of the previous second year of the rolling plan. There would also be the opportunity to refine the previous third year of the rolling plan (to become the new second year), and to add a new

third year for the three-year plan.

Although this system is initially more difficult to establish, it does offer significant advantages over a one year budgeting cycle. In particular, it offers the opportunity for continuous application of refinements by the planning community, based on the actual performance of current year activities. It also allows adequate time for the ASLM and ASDP to respond to changing grass-roots demands emanating from the medium-term plans.

4.3.3 Initial Planning and Implementation Failures

The proposed approach to planning is a relatively new concept to most rural communities and the institutions serving them. It is inevitable that initially there will be numerous mistakes made in both the application of the planning methodology and in the formulation and prioritisation of proposals for activities.

There would be a propensity on the part of “professional” planners (DPLOs etc) to attempt to rectify these mistakes and failures on behalf of the planners at community levels. This must be resisted, as it would delay the development of proper planning capacity at community levels, as well as allowing an inappropriate level of discretion to professional planners. Those responsible for the failures must be advised of their nature and consequences, and then left to make appropriate changes in the next planning cycle. This will lead to greater ownership of the planning process at community level, as well as inducing a more rapid appreciation of the techniques and degree of responsibility required.

4.3.4 Implementation Support and Refinement of Guidelines

As with any new process, there are bound to be initial implementation problems. These could stem from technical errors in these proposals, as well as mis-understanding by users and performance failures at various levels.

It is therefore recommended that local consultants are employed to oversee the Initial Year of Implementation of the proposed planning process in a sample of about four Districts. The role of the consultants would be:

- To assist in explanation of these guidelines to ensure that users have a clear idea of the intended processes
- To assess the quality of the plans formulated at various levels
- To identify errors or gaps in the guidelines as they occur through practical utilization
- To propose changes and refinements in the guidelines to allow for more accurate subsequent implementation and application.

4.4 Issues Pertinent for National Implementation

4.4.1 Financial Analysis Capacity

The ASDP aims to implement activities and procedures which would lead to more rapid income growth in the agricultural sector, with resultant rapid alleviation of rural poverty. However, it is apparent that there is extremely limited capacity for application of financial analysis available within institutions serving the sector. Although there are well developed technical skills (agronomy, livestock husbandry, irrigation engineering etc), there is little available skill suitable for assessing the financial viability of interventions. This is especially true of the public sector institutions, but also applies to NGOs, CBOs, Cooperatives and rural business entities. The result is that a financial

analysis is not applied to most interventions, very often resulting in non-viable proposals receiving support. Failure due to financial non viability inevitably follows. It is important to note that even at village and ward level, there are often investments of a major nature; if it is necessary, for example, to have the services of a civil engineer to design a road, then it is equally necessary to have the ability to conduct a financial analysis. There are too many examples of the financial analysis being ignored, and subsequent failure of the investment due to inadequate financial flows, for this to be by-passed.

There is thus a need to provide this type of capacity to enable financially viable (profitable) interventions to be identified and supported, and conversely, for non-viable proposals to be excluded from support. When applied in the aggregate at the micro-economic (enterprise) level, this would lead to an acceleration of rural income growth.

The procedures required are not necessarily sophisticated, although they must be based on sound economic and financial principles. They would include the following:

- Analysis of returns to labour and returns per unit area or livestock unit at the family level
- Benefit/Cost and Internal Rate of Return (or a facsimile for this such as pay-back period) analysis for productive investments
- Analysis of impact of public sector infrastructure investments on private sector profitability
- Analysis of re-current cost and capital maintenance implications for public sector investments (operation and maintenance and depreciation)
- Analysis of impact of tax and regulatory changes on private sector profitability.

It is therefore recommended that the ASDP Secretariat takes urgent steps to improve this capacity in Districts and in various public institutions serving the Districts. This would involve the design and application of short courses at Regional and District levels. It may also involve the preparation of some financial analysis templates for use by Ward and Village officials.

4.4.2 Information Flows to National Levels

As Districts gain greater competence in management of public finance and interventions, they will be granted greater autonomy and discretion in the utilization of sectoral subventions from central Government. This will apply to subventions for the agricultural sector as well as for other sectors with a decentralized approach to implementation of Government services and investment.

This means that for some centrally supported activities, currently applied allocation methodology will become irrelevant. At the same time, the preparation of three – year rolling plans would provide a potential source of information which would allow ASDP/ASLM to respond to the articulated demands for services and investments at District level. It would be important to develop the means to ensure that this information is actually available for appropriate officials in central ministries. We recommend that specialists within Regional Administrations collate and formulate such information, and to provide an information service in this respect for both Districts and for central ministries.

4.4.3 ASDP versus ASLM Budgets and Guidelines

As all of the District level activities of the ASLM will be processed through the ASDP process, there will be no future need for separate instructions from individual ASLMs to Districts for planning of development activities.

VOLUME II

DETAILED GUIDELINES AND INSTRUCTIONS FOR FORMULATION OF DISTRICT AGRICULTURAL DEVELOPMENT PLANS

1. The Planning Methodology at District Level

1.1 Introduction

This section provides guidelines for the introduction and use of participatory planning at the District level. The framework is designed to be flexible enough to be adapted to different circumstances and conditions such that differentiation of gender, age groups, wealth differences, political viewpoint, Community Based Organisations (CBOs), Non Governmental Organisations (NGOs) etc can be accommodated.

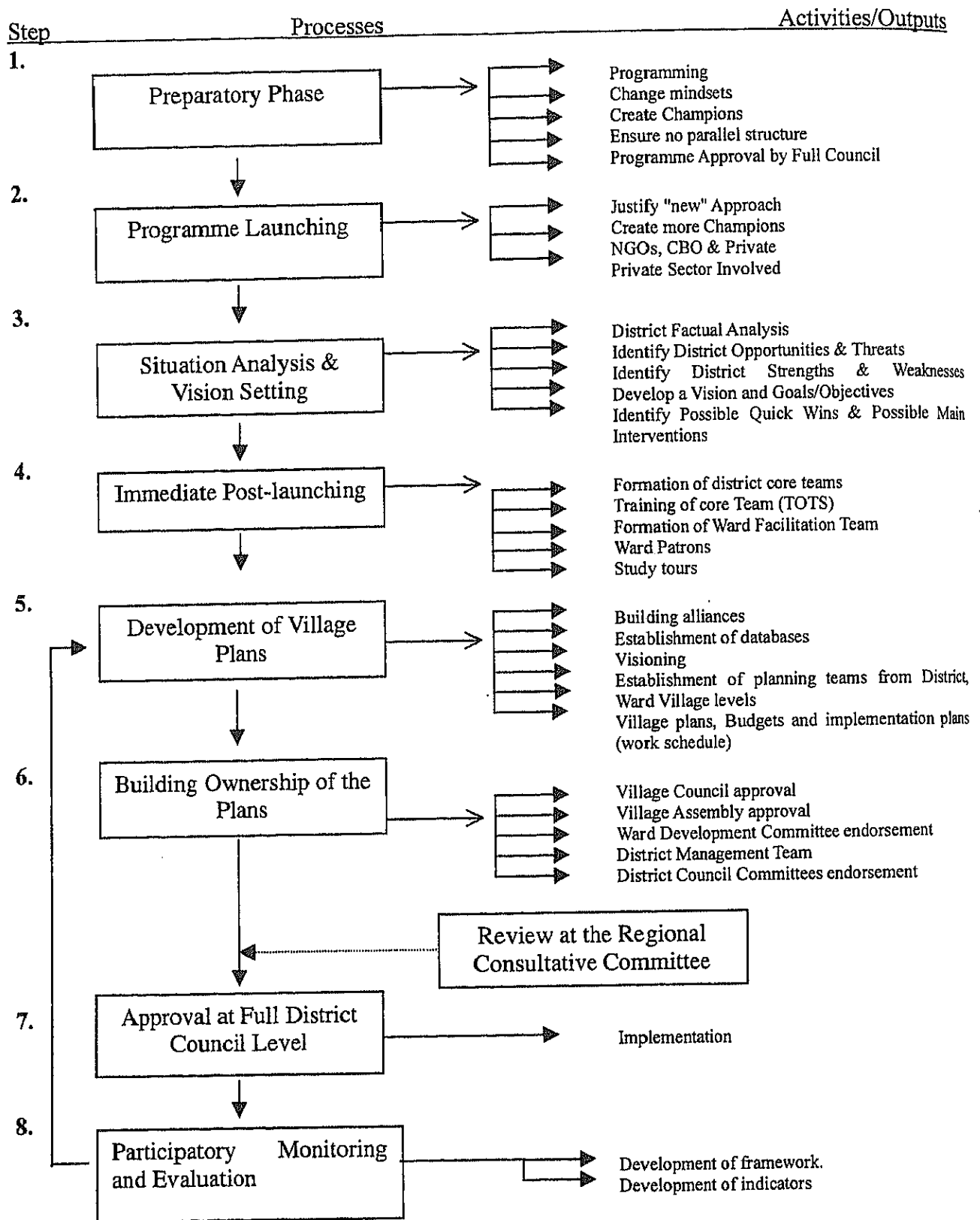
The Opportunities and Obstacles to Development (O & OD) approach is the official planning methodology endorsed by the government. These guidelines are consistent with this official position, although improvements and elaboration of some aspects of the approach have been proposed. These guidelines should be used in conjunction with the various O&OD planning manuals which have been produced by PO-RALG. The process is designed to be used in a decentralized system of local governance i.e. starting from sub-village (Kitongoji/mtaa) through a village and ward to the district level. Under this approach, the technical staff from the District act as facilitators of the process, and not as managers. The facilitation should be provided in such a way that the process capitalizes on the opportunities available in the community to improve livelihoods and proposes solutions to the identified existing problems. Communities must feel that they own the outcome of the planning process. This will motivate them to implement the plans, and to raise their own resources for implementation. The approval procedures of the plans are through the existing official channels i.e. village council, village assembly, ward development committee, district planning and finance committee and finally the **full district council meeting**.

1.2 The Participatory Planning Process

There are essentially eight steps that are proposed in the process. It is emphasised that this process should be used for ALL planning at District level, and not just for a particular sector of Government activity.

The steps in the process are summarized in Figure 1. below.

Figure 1: The Participatory Planning Process



Step 1. Preparatory Phase for a Participatory Planning Initiative

- **Change of Mindsets and Creation of Champions**

Implementation of participatory planning requires re-orienting people at the National, Regional, District, Ward, Village and household levels away from the traditional top-down planning approach. This entails changing people's mindsets. The process must build champions through awareness creation and advocacy. The identification and endorsement of Champions at district and sub-district level is crucial, involving the participation of important personalities at each of the different levels. It is recommended that the district staff members are involved from the time of formulation, so that they are familiar with the programme from its initial stages. They thus become early 'champions' of the programme.

- **Avoidance of Parallel Structures**

The implementation of the process must avoid the creation of parallel structures. Creation of a parallel structure is a situation where a programme or initiative replicates part of the functions of the local government. In such situations, the approval of the plans, their implementation and accountability are outside the official structures of the local government.

The planning process should be mainstreamed into the structure and operations of the District Council so that the **programme is implemented as part of the normal district council's activities**. It is important that even at this preparatory stage, the programme gets approval of the full council of the District.

Step 2. Launching of the Programme

- **Justifying the 'new' planning approach**

The launching serves a number of purposes, amongst which include the rationalisation of the participatory planning approach (see the O&OD manual Presidents Office-Regional Administration and Local government (PO-RALG)). It is important therefore that the new planning process is conspicuously launched at district level, usually in the form of a stakeholder workshop. During the launching workshop, a Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis of the existing planning process is used to demonstrate that it is not suitable, and that the Participatory Planning Approach can be demonstrated to be the way forward. The launching of the programme can also be used to demonstrate the achievements of participatory planning where it has already been implemented.

- **Advocacy Strategy**

The launch workshops should be planned in such a way that a cross section of stakeholders from central government, regional secretariats, district commissioners, district council staff, ward and village representatives, NGOs and the private sector are represented. This ensures that there is broad support and advocacy for the new measures.

Step 3. District Situation Analysis and Vision Setting

This would also take the form of a stakeholder workshop, which would need several days to complete. The main activities during this process would be as follows.

- **District Fact Analysis**

This process would essentially gather the facts of the geographical area in terms of population (age strata, gender, household types, health statistics), main types of resources (land, water, minerals, climate, vegetation), main productive sectors (cropping, livestock, mining, tourism, manufacturing), income data (gross income, family income, per capita income, poverty and wealth indicators).

- **External Analysis**

This would build directly on the fact analysis and would constitute an analysis of the opportunities for development for the district as whole, as well as the main external threats to the realisation of the opportunities.

- **Internal Analysis**

Similarly, this would focus on the inherent strengths of the District in terms of productive potential, skilled labour etc, as well as the weaknesses, such as poor roads and communications, seasonal labour shortages etc.

- **Development of District Vision and Development Objectives**

An appreciation of the above analyses would facilitate the development of a District Vision, and associated Development Objectives. These should also be consistent with the national vision and development objectives, but with locally important emphasis or qualifications. The District should be prepared to state what it wants to achieve within a given period, and by what means, and this can become a convenient progress assessment indicator. At this stage, it would be prudent for the District to formulate a slogan or catchphrase which captures the essence of the development vision.

- **Identification of Possible Main Interventions and Possible “Quick-Wins”.**

The above process would allow identification of possible interventions (from the indicative list provided by Agricultural Sector Development Programme (ASDP) and other Government development programmes), which could be promoted in the District. It would also provide information which could identify action which could lead to implementation of procedures likely to provide the District economy with “Quick-Wins”. However, care should be taken to avoid the impression that rural constituents are being directed to plan for and adopt any of these measures, unless they co-incide with activities derived from their own local planning processes.

Step 4. Immediate Post-Launching Activities

- **Approval of the Programme Document by the District Council**

After the launch, the new planning process must go through the approval process within the District Council system. It is crucial that the councillors are well informed on the methodology and objectives.

- **Formation of District Core Team**

The programme document must be discussed by the district staff as a team, with each of them noting the role that he/she has to play. Heads of departments in the District Council should form a **core team**, to implement the planning process. The core team leader would be a senior and well-respected officer, e.g. the District Agriculture and Livestock Development Officer (DADLO). The District Planning Officer (DPO) should facilitate the formation of the core team, and should not be

the team leader. This facilitation of an interdisciplinary approach to planning and implementation of activities in the districts has the effect of harmonizing activities and thus avoiding the danger of sending out conflicting messages to the communities. In so doing the programme will be demonstrating the integration of different sectors for planning and operation, i.e. an holistic approach to development. The core team will be the Trainers of Trainers (TOT) and will be the main facilitators of the participatory planning process.

The core team will provide the nucleus of the multi-disciplinary District Participatory Planning Team (DPPT). The terms of reference of the DPPT include responsibility to:

- a) facilitate and coordinate the development of village plans
- b) monitor the implementation of the village plans
- c) facilitate the participatory monitoring and evaluation exercises

- **Formation of the Ward Facilitation Team (WFT)**

The WFT should include the following members:

- Members of the DPPT
- The Ward Executive Officer
- The Village Executive Officers
- The Ward Extension Staff
- Leaders of different community development groups

The terms of reference of the WFT should be the same as those of the DPPT.

- **Establishment of Ward Patrons**

Under this system, a staff member of the District Council or other participating institution, is assigned a ward or a village. The patron becomes the guardian/advocate of the Ward, and a link with the District Council in all matters related to development. The patron must have sufficient stature to be able to provide an effective link between the Ward and the District Executive Director (DED) and District Council Chairman.

- **Learning From Others**

It is possible to induce rapid and effective appreciation of new procedures through visits to villages, wards and even districts where such procedures have been effectively implemented. Those taken on study tours should be at, or close to, the decision-making levels, to promote the chances of rapid appreciation and adoption of positive experiences.

- **Capacity Building**

Capacity needs to be built at all levels of the administration i.e. sub-village, village (the village government), ward and district level. Capacity building at these levels could include an analysis of roles and responsibilities, training in planning techniques, implementation, and monitoring and evaluation of subprojects. It could include both human resource (technical assistance and training) and physical resource (vehicles and necessary equipment). It is important also to train leaders at different levels on their roles, responsibilities and good governance. Training in the basics of financial analysis and management and in book-keeping is also an essential aspect of capacity building at all levels.

Capacity should also be built at the district level to ensure that the core team is conversant with policies and the legal regime governing the local government reform, as well as having the ability to undertake or commission the required financial analyses for proposed interventions.

Step 5. Development of Village Plans

- **Building Alliances With the Village Communities**

Building of alliances at this level is the responsibility of the WFT, coordinated by a member of the core team. It is important to extend the advocacy of the process to the community level, as it is only when the community has accepted the approach that the process can commence and succeed.

- **Databases**

Village databases at community level can be established and used in local level planning. Where such a basic data is not available it may entail doing a quick survey. The O&OD Manual provides operational details of this methodology. It advises that a simple land-use map be prepared. An official manual for participatory land-use planning has also been produced by Government. It is important that during the process of identifying the opportunities in the village, this manual is used to develop a generalized land-use map for the village, and to identify specific opportunities and obstacles within the locality.

- **Visioning of Agriculture**

Development planning, for agriculture or other sectors, should be guided by a vision. For the agricultural sector, the vision should be compliant with Agricultural Sector Development Strategy (ASDS) and ASDP objectives, and also with that developed for the District. It is important, therefore, that the facilitation of the visioning process is carefully done to derive a holistic vision that is encompassing agriculture.

- **Development of Village Plans**

The entry points for the development of village plans is the *kitongoji*, the primary level of local governance. The different social sectors (education and health) in many areas have used this provision to establish functional committees. In the context of the DADP it is recommended that an agricultural committee at a *kitongoji* level be formed, for ongoing planning and review, in harmony with other social sectors.

At village level, a sub-committee of the village government's economic committee should be formed and be dedicated to agriculture. The approach for formulating the plans will be the O&OD method (see O&OD manual in *Kiswahili*, PO-RALG, 2002).

Communities must be facilitated to formulate priorities in agricultural development based on opportunities available within the settings. The consensus on the priorities for development must be agreed upon through all the levels of governance i.e. from *kitongoji* to the village level. Members of the planning team from the *Kitongoji*, and hence the village, must be identified at a public meeting to ensure transparency and common ownership of the process and the product. This approach builds capacity in the village/community actually developing village plans. Cross-cutting issues such as gender, good governance, HIV/AIDS, environment and resource management etc must be factored in during the planning process. The O&OD Manual has some practical details of how to actualize these aspects.

Activities proposed in the village plan must be evaluated and prioritized. The consolidation is done through the participation of all members of the planning teams from the *vitongoji*, the members from the ward and the district.

The village plan will come up with three sets of activities, namely:

- those activities that will be implemented solely using local resources. This is where the opportunities in the local environment are used to remove the development obstacles
- those activities that will use a combination of local and outside resources. The outside resources could be those from the district council, from central government or from any donor
- those activities that are to be implemented solely using outside resources.

It is crucial that the facilitation during formulation of the *vitongoji* and village plan is carefully done to ensure that agricultural aspects also come out in the final plans, creating awareness in the communities that agriculture is not just producing food for consumption. It must be strongly advocated that agriculture is business and has a lot of potential in contributing to the betterment of livelihood systems. At this stage, facilitators should advise communities so that proposals requiring external assistance are compliant with the relevant policies and procedures (e.g. from ASDS).

- **Budgeting**

The planning team must come up with a budget for all activities contained in the plan, including those activities requiring external funding.

- **Implementation Plans**

The timeframe for implementation of the plans must be decided and persons nominated and assigned for specific activities.

Step 6. Building Ownership of the Plan

- **Approval by Village Council and Village Assembly**

The village plan budget and implementation plan thus developed are then presented to the Village Council and then to the village assembly. This should be a process during which alternative opinions and objectives are aired and discussed. Ultimately, a consensus should be achieved.

- **Scrutiny and Consolidation at Ward Level**

The Ward Development Committee (WDC) consolidates the village plans in its area into a ward plan. At the ward level, the village plans should not be amended. Where aspects of a proposed plan are at variance with policies and procedures, the planning village should be advised and provided with an opportunity to make appropriate revisions. However, if villages persist with non-compliant plans, these must be noted by the WDC for the attention of the District Management Team (DMT). Where proposals fail to secure support due to lack of compliance, the village council must be advised.

- **Scrutiny, Consolidation, Harmonization With Other Aspects of DDP and Validation of Budgets by District Council Organs**

The ward plans will need to be consolidated into a district plan by the DMT. The DPLO will guide this process. The process should also include the harmonization of the DADPs within the DDP. This, however, should not alter the priorities contained in the contents of the plans as developed by the communities, so long as they are consistent with policies and procedures.

At the district level, the approval process of the plans should follow the following sequence before the plan goes to the full council:

- Approval by the core team
- Approval by the District Management Team
- Economic Development and Environment Committee of the District Council
- Planning and Finance Committee
- Regional Consultative Committee

THE REGIONAL SECRETARIAT, THROUGH THE REGIONAL CONSULTATIVE COMMITTEE, HAS AN ADVISORY ROLE. AT THIS STAGE THE DISTRICT PLAN AND THE ACCOMPANYING BUDGET ARE SUBMITTED TO THE REGIONAL SECRETARIAT FOR REVIEW BY THE REGIONAL CONSULTATIVE COMMITTEE. IT IS IMPORTANT THAT THE APPROVAL PROCESS DOES NOT ALTER THE PRIORITIES FROM THE VILLAGES. ADVICE IS PROVIDED ONLY TO ALLOW THE DISTRICT ORGANS TO MAKE AMENDMENTS NECESSARY FOR LEGAL, BUDGET AND POLICY COMPLIANCE. THUS, THE COMMUNITIES HAVE THE RESPONSIBILITIES TO MAKE ANY CHANGES. FAILURE TO OBSERVE THIS PROTOCOL MAY RESULT IN THE COMMUNITIES DISOWNING THE AMENDED PLANS.

Step 7. Approval at Full District Council

The full council approves the plans ready for implementation. The plans thus endorsed should provide the basis for intervention by external funding agencies, CBOs and NGOs.

• IMPLEMENTATION

Those activities that can be supported from village resources can start being implemented as soon as the plans have been endorsed by the village assembly. Those that require support from NGO, Districts or ASDP can commence when the plans receive formal financial support and consent from those entities.

At Village Level, the village council, the village executive officer and members of the planning team from that village are at the centre of the implementation of the plans. The implementation team should ensure that it meets regularly to review the progress of implementation.

At Ward Level, the Ward Executive Officer, the Councillor, the Village Executive Officers, the members of the planning team from the ward and probably selected members of the ward and the Ward Patron are responsible of the coordination of the implementation of activities that cover the whole ward.

At District Level, the district council and its district level functionaries (DED, Core Team, Chairman where possible) have the overall responsibility to ensure that the plans are implemented.

Step 8. Participatory Monitoring and Evaluation

The performance of the implementation of the plans should be monitored and evaluated by the implementers and beneficiaries within the normal course of the planning and implementation cycle. The use of Statutory Committees in various Government levels is the basis for participatory monitoring and evaluation (PO-RALG, 2001). This approach is designed to facilitate critical self-auditing, the results of which are built into the plans. Experiences of the first cycle are used to improve the next round of planning cycle, i.e. to update the second and subsequent years of the 3-year rolling plan, and as a means of inducing more realistic and accurate planning in future planning cycles.

The indicators which should be **monitored** are:

- a. Timeliness; whether or not planned activities are implemented within the planned time-frame.
- b. Budget Compliance; whether or not activities are completed within the allocated budget.
- c. Resources; whether or not the resources agreed to be provided from various sources are in fact provided.

The indicators used for **evaluation** are:

- d. Financial Impact; has implementation produced financial benefits greater or less than expected at the planning stage.
- e. Non Financial Impact; has implementation produced the expected physical outcome or not.
- f. Cross-Cutting Issues; has implementation had the expected impact on identified cross-cutting issues.
- g. Unintentional Impact; detail the positive and negative impacts observed which were not intended during the formulation of the activity plan.

These data may be consolidated at District level to provide an overall District M&E assessment. This exercise should be undertaken by the DPLO, and provided to both the Council and to PO-RALG through the Regional Secretariat.

External experts may be initially required to facilitate the communities to develop a framework for monitoring and evaluation instruments. The O&OD manual also provides some insights of how to come up with a framework for Participatory monitoring and evaluation.

2. INSTRUCTIONS AND INFORMATION

2.1 Introduction

It is vital that the formulation of DADPs is done with the maximum level of appropriate knowledge. The system employed would necessarily be an iterative and constantly evolving process. It involves forward and backward information flows between Central Government and the ultimate consumers/users of public agricultural sector services and investments, the farmers and rural inhabitants. The following identifies the types of **Instructions and Information (I&I)** which should be imparted to planners at various levels in order for them to plan within the policy context and real resource parameters.

2.2 National Level

2.2.1 Authorities Responsible for Preparation

Preparation of "national level" I&I would be the responsibility of the agricultural sector line ministries (MAFS, MCM, MLWD) plus PO-RALG, acting jointly through the ASDP Secretariat.

In some cases, it may be necessary for one of the line ministries acting alone to formulate and provide complementary information. This would be necessary when there are specific policies or procedures which apply only to a service or intervention within the mandate of a specific ministry (e.g. a procedure which applies only to activities within the livestock production sub-sector may be subject to a specific instruction from the MLWD).

This national level I&I would be provided through PO-RALG and incorporated into the set of advice and information provided to Districts to enable them to formulate quality District Development Plans (DDPs).

2.2.2 Recipients of Instructions and Information

The I&I provided at this level would be prepared for use by District Councils for overall planning within the agricultural sector. This forms the basis for planning for District-wide activities, as well as for those to be undertaken at Ward, Village and Kitongoji level. However, in most cases, it would be initially provided in aggregate form to Regions. The Regions, through the services of the Regional Secretariat, would provide dis-aggregation of the I&I for the Districts in the Region.

2.2.3 Contents of Instructions and Information

The Instructions would consist of the following:

- i. Annual Budget. The maximum amount of finance available for each item in the approved national agricultural budget for the forthcoming year, covering both recurrent and development expenditure.
- ii. Medium Term Expenditure Framework (MTEF). The maximum indicated amount of finance available for each item under the medium term expenditure framework (MTEF) for the agricultural budget for the subsequent two years, covering both recurrent and development expenditure.
- iii. Rolling Plans. Procedures for formulation of the three-year rolling plans, and the methods to be used in revising and updating these plans during each annual planning cycle.
- iv. Expenditure Conditionality. Specific expenditure conditions, especially when there are conditions for provision of beneficiary equity contributions.
- v. Targeted Expenditure. Specific instructions for expenditure which is targeted at certain districts, or where expenditure is targeted according to other criteria such as a specific sub-sector or a specific income range.
- vi. Policy Compliance. Instructions to enable compliance with national policies, such as those which prohibit public sector activity in areas which are the preserve of the private sector.
- vii. Allocation Methodology. Instructions for Regional Administrations on allocation methodology for sectoral block grants, especially in cases where Districts have the right for discretionary expenditure.
- viii. Cross – Cutting Issues. Instructions on application of measures to ensure that cross-cutting issues are adequately dealt with in the planning process.
- ix. Monitoring Procedures. The requirements for monitoring of expenditure and activities would be advised.

The **Information** provided would consist of:

- i. National Targets. The RDS and the ASDS both have identified ambitious targets for productivity and income growth in the agricultural sector. These targets would be carefully explained to LGAs, and wherever possible, information to assist the formulation of district targets for productivity and income growth would be provided.
- ii. Implementing Quick Wins. A number of potential “quick wins” have been identified, some of which could be applied at District level. These include streamlining procedures for legal access to land and implementing land demarcation, as well as rationalisation of District taxes, levies and regulations applicable to the agricultural sector. Therefore, the ASDP Secretariat would provide guidance to Districts on the means to apply these policies within the support provided under the ASDP. Information of relevance which could assist in Districts would be provided, including applicable national studies, identification of Districts which had already implemented some of these measures, and advice on their legal capacity to formulate and apply enabling by-laws.
- iii. Development of District Strategic Plans. It has been proposed that Districts would be encouraged to formulate and apply strategic plans for agricultural development. These could include the introduction of tax incentives to attract private investments in agriculture, targeted district investments, changes in by-laws and identification and promotion of the comparative advantages (resources, markets, climate, labour) possessed by the District. The ASDP Secretariat would provide information on the availability of financial and technical resources to develop strategic plans, the existence of pertinent studies and reports, and the identity of Districts which had already formulated and implemented strategic plans.

2.2.4 Timeframe for Preparation and Dissemination

The timeframe for preparation of National I&I for Districts is as follows:

- Dissemination of Policy and Indicative Budget Advice and Information to Districts would be completed by the 1st of April of each year, when PO-RALG provides councils with advice and information to help them prepare quality plans.
- Approved District Annual Budget Ceilings for the forthcoming year would be advised to Districts through PO-RALG and Regional Secretariats by 1st of August each year.

2.3 Regional Level

2.3.1 Authorities Responsible for Preparation

The authorities at the Regional level would have an important facilitatory role in the provision of I&I to Districts. The responsible authority would be the Regional Administrative Secretary (RAS) supported by the various specialist officers within the Regional Administration.

2.3.2 Recipients of Instructions and Information

The I&I would be provided to Districts, through the office of the DED.

2.3.3 Contents of Instructions and Information

At the Regional level, the contents of the I&I provided to Districts would be a dis-aggregation of that which had been received from PO-RALG. That is, the Regional Administration would prepare specific I&I for each District within the Region, using the policies and instructions received from the ASDP Secretariat. The RAS would not have the authority to make substantive changes in instructions received.

2.3.4 Timeframe for Preparation and Dissemination

The Regional Administration would be expected to conclude its work in dis-aggregation and transmission of I&I to Districts without delay. In general, this would mean that the work is completed within seven days of receipt from PO-RALG.

2.4 District Level

2.4.1 Authorities Responsible for Preparation

The preparation of "District level" I&I would follow directly from the national I&I received from PO-RALG. Preparation would be the responsibility of the District Management Team (DMT) which is headed by the DED. The DMT would be advised by the proposed⁶ District Agricultural Sector Advisory Committee (DASAC). The DASAC would be a stakeholder forum that will discuss issues of common interest on agricultural development to be tabled by DALDO at DMT meetings. Its main function will be advisory and not decision making. It will be composed of the following stakeholders:

- i. District Agricultural and Livestock Officer-Chairperson
- ii. Cooperatives Officer
- iii. Livestock/Crop Officer
- iv. Representatives of relevant NGOs active in agriculture
- v. Representatives of relevant NGOs active in gender sensitisation
- vi. Representatives of farmers'/livestock keepers' associations
- vii. Primary cooperatives representatives
- viii. Representatives of the private sector/agribusiness community.

The District Council would be responsible for authorizing the I&I prepared by the DMT.

2.4.2 Recipients of Instructions and Information

⁶ Agricultural Sector Development Programme, Draft Framework and Process Document, Annex 2, ASDP Coordination and Management.

The I&I provided at District level would be prepared for use by:

- District Staff and Councillors planning for strategic and enabling actions as well as for the provision of services and investment on behalf of the entire District (as opposed to planning at Ward and Village level).
- Each Ward Development Committee, through the Chairman of that committee, the Councillor.

2.4.3 Contents of Instructions and Information

a) For District Staff and Councillors

For District Staff and Councillors, the **Instructions** would consist of the following:

- i. District Status within the LGRP. This factor determines the degree of discretion allowed to the District with respect to expenditure of Government subventions.⁷
- ii. Legal Capacity. The legal capacity of the District to institute changes in by-laws and regulations pertaining to the agricultural sector.
- iii. Annual Budget. The maximum amount of finance available from all sources (Government subventions, District revenues, local NGOs etc) for the forthcoming year, for activities to be undertaken on behalf of the entire District. This would cover both recurrent and development expenditure.
- iv. Medium Term Expenditure Framework. The maximum indicated amount of finance available from all sources under the MTEF for activities to be undertaken on behalf of the entire District. This would cover both recurrent and development expenditure for the subsequent two years.
- v. Rolling Plans. Procedures for formulation of the three-year rolling plans, and the methods to be used in revising and updating these plans during each annual planning cycle.
- vi. Expenditure Conditionality. Specific expenditure conditions.
- vii. Targeted Expenditure. Specific instructions for expenditure which is targeted according to criteria such as a specific sub-sector or activity.
- viii. Policy Compliance. Instructions to enable compliance with national policies, such as those which prohibit public sector activity in areas which are the preserve of the private sector.
- ix. Cross – Cutting Issues. Instructions on application of measures to ensure that cross-cutting issues are adequately dealt with in the planning process.
- x. Monitoring Procedures. The requirements for monitoring of expenditure and activities would be advised.

The **Information** provided would consist of:

- i. National Targets. The targets for productivity and income growth in the agricultural sector would be explained, with possible implications for the formulation of district interventions targeting productivity and income growth.
- ii. Implementing Quick Wins. Suggestions on identifying and implementing policies, changes and investments which could yield “quick wins” would be provided.
- iii. District Strategic Plans. It has been proposed that Districts would be encouraged to formulate and apply strategic plans for agricultural development. These could

⁷ Both the criteria for graduation to higher status and the degree of autonomy allowed at each status level is currently under review by the Local Government Reform Programme.

include the introduction of tax incentives to attract private investments in agriculture, targeted districts investments, changes in by-laws and identification and promotion of the comparative advantages (resources, markets, climate, labour) possessed by the District. The DMT would provide information on the availability of financial and technical resources to develop strategic plans, the existence of pertinent studies and reports, and the identity of Districts which had already formulated and implemented strategic plans.

- iv. Constituent Feedback. The key factors which had been identified by District constituents as constraints on agricultural sector growth. This information would be generated from previous Village and Ward plans, as well as from monitoring and evaluation data.
- v. Additional Information. This would consist of information and advice concerning additional external resources which may be available to identify and implement the identified quick-wins and/or strategic plans. This would include advice about available studies, reports and experiences of other Districts involved in implementing these changes.

b) For Ward Development Committees

These I&I for the agricultural sector would comprise part of the overall information provided for holistic planning for activities undertaken by the “public sector” through District implementation at the Ward and Village level. The instructions would be written, in a format consistent with requirements for plan formulation (i.e. in a template). They would be specific for the forthcoming calendar year, and would be indicative for the following two years of the three-year rolling plan period. For Ward Development Committees, **the Instructions** would consist of the following:

- i. Degree of Autonomy. The degree of discretion allowed in planning for expenditure of various Government subventions, which is determined due to LGRP status.
- ii. Taxation Timing and Reimbursement. The District policy on local taxation timing and revenue sharing/management would be advised⁸.
- iii. Mandatory Expenditure Items. The amount of external resources for which expenditure within a specific category is mandatory (e.g. agricultural extension services supported by MAFS).
- iv. Annual Budget. The maximum amount of finance available from all sources (Government subventions, District revenues, local NGOs etc) for the forthcoming year, for activities to be undertaken within the Ward. This would cover both recurrent and development expenditure.
- v. Medium Term Expenditure Framework. The maximum indicated amount of finance available from all sources under the medium term expenditure framework (MTEF) for activities to be undertaken within the Ward. This would cover both recurrent and development expenditure for the subsequent two years.
- vi. Rolling Plans. Procedures for formulation of the three-year rolling plans.
- vii. Revision and Updating of Rolling Plans. The methods to be used in revising and updating these plans during each annual planning cycle would be advised. These would include criteria for assessment on the basis of cost, impact and timeliness of the initial year activities.
- viii. Expenditure Conditionality. The District policy on cost sharing for different types of expenditure, as well as any other specific expenditure conditions.

⁸ This is important because it would determine the amount of local tax revenues which could be available for discretionary use by individual Wards and Villages.

- ix. Targeted Expenditure. Specific instructions for expenditure which is targeted according to criteria such as a specific sub-sector or activity.
- x. Policy Compliance. Instructions to enable compliance with national policies, especially those specifically promoting rapid productivity and income growth. This could consist of financial criteria to be applied to proposed activities.
- xi. Cross – Cutting Issues. Application of measures to ensure that cross-cutting issues are adequately dealt with in the planning process.
- xii. Monitoring Procedures. The requirements for monitoring of expenditure and activities would be advised.
- xiii. Evaluation Procedures. Evaluation would primarily be undertaken at the commencement of each new planning cycle. The criteria for evaluation, especially financial and productivity criteria, would be advised.
- xiv. Ward Plan Consolidation. Instructions for the consolidation of Village plans into a Ward Development Plan would be provided. These would be provided in the form of a template (format) to be completed.
- xv. Time for Completion. The deadline for completion of the Ward Plan, and its return to the DPLO, would be advised. Under current circumstances, this would be about 30th of September each year. _

The **Information** provided would consist of:

- i. National Targets. The targets for productivity and income growth in the agricultural sector would be explained, and implications for the formulation of interventions targeting productivity and income growth would be provided.
- ii. District Strategic Plans. The main factors in the strategic plan, and possible implications for the Ward would be advised. Specifically, the implications of any changes which could affect the viability or profitability of the agricultural sector would be explained.
- iii. Constituent Feedback. The key factors which had been identified by District constituents as constraints on agricultural sector growth.
- iv. Additional Information. This would consist of any further information which would improve the quality of the planning process. This could consist of information and advice concerning the experience of “leading” Wards or Villages in applying innovative approaches to agricultural development.

2.4.4 Timeframe for Preparation and Dissemination

The timeframe for preparation of District I&I is as follows:

- The initial Policy and Indicative Budget Advice would be disseminated by the 15th of April of each year.
- The Approved District and Ward Annual Budget Ceilings for the forthcoming year would be advised through the DPLO by 15th of August each year.

2.5 Ward Level

2.5.1 Authorities Responsible for Preparation

The following I&I would be provided for each Village and Kitongoji so that community planning takes place in a setting of accurate knowledge and information. This would ensure that the village plans are compliant with policies and likely to receive appropriate levels of financial support, as well as contributing to income growth (and poverty alleviation) in the District. The Ward Development Committee (WDC) would be responsible for formulating the I&I for each village and

Kitongoji. However, dissemination would be done verbally, using the Ward Facilitation Team (WFT) as disseminators within the application of the O&OD planning methodology. The dissemination of I&I at this level would take place throughout the planning process, and would not be limited to one or two formal sessions or meetings.

2.5.2 Recipients of Instructions and Information

These I&I would be prepared for use by all village inhabitants, through Village Government and planning teams, Village assemblies and Kitongoji assemblies. It is important that the information is available to, and understood by, all village constituents, and not only the representatives in formal village governance structures.

2.5.3 Contents of Instructions and Information

The presentation of these I&I would be introduced by a **preface** which provides an explanation of the context for the planning. Within this **preface** would be the following:

- i. Rationale for Participatory Planning. It would be emphasized that participatory planning is a means to identify and realize opportunities for agricultural development, as opposed to merely being a means to gain access to public resources. The concept of community self-help would receive prominence. It would also be emphasized that planning is a continuous activity, not merely limited to formal planning sessions in advance of preparation of village plans.
- ii. National Objectives. The need for rural poverty alleviation, through income growth derived from profitable agricultural production and associated commercial activities, would be emphasized. It is crucial that the concept of commercially viable agriculture at all levels of production is effectively communicated; i.e. agriculture is not just a means of survival, but is also potentially a means of income growth and poverty alleviation.

Once the context is established, the following **instructions** would be communicated:

- i. Policy Compliance. Instructions to enable compliance with national policies, especially those specifically promoting rapid productivity and income growth. This would mean the application of simple financial criteria to proposed activities.
- ii. Taxation Timing and Reimbursement. The District policy on local taxation timing and revenue sharing/management would be advised.
- iii. Table of Contents of the Village Plan. This would be provided along with various forms to assist with the planning process. See Appendices 1 and 2.
- iv. Pre-determined Activities. The nature of services or investments which have been pre-determined at either national or District level.
- v. Annual Budget. The amount of finance available from all sources would not be specifically advised, as a means of avoiding "planning in order to gain external resources". However, the WFT would be aware of the ceilings in various categories of expenditure, and would advise villages and Kitongoji accordingly. The WDC would ensure that the ceilings are not breached during consolidation of village plans into the Ward plan.
- vi. Medium Term Expenditure Framework. As similar approach to that in #iv above would be adopted.
- vii. Rolling Plans. Communities would be assisted to formulate three-year rolling plans.
- viii. Revision and Updating of Rolling Plans. The methods to be used in revising and

- updating these plans during each annual planning cycle would be given to the planning communities.
- ix. Expenditure Conditionality. The District policy on cost sharing for different types of expenditure, as well as any other specific expenditure conditions.
 - x. Targeted Expenditure. Specific instructions for expenditure which is targeted according to criteria such as a specific sub-sector or activity.
 - xi. Cross – Cutting Issues. Application of measures to ensure that cross-cutting issues are adequately dealt with in the planning process.
 - xii. Time for Completion. The deadline for completion of the Village Plans, and their return to the WDC for consolidation would be advised. Under current circumstances, this would be about 25th of September each year. _

The **Information** provided would consist of:

- i. District Strategic Plans. The main factors in the strategic plan, and possible implications for planning at the Village level would be advised.
- ii. Additional Information. This would consist of any further information which would improve the quality of the planning process. This could consist of information and advice concerning the experience of “leading” Wards or Villages in applying innovative approaches to agricultural development. It may also consist of advice concerning resources for training or capacity building which would assist in the development process.

Appendix 1. Table of Contents for a Village Plan.

The table of contents of a village plan would reflect the process of formulation. It is important that records are kept of the process, and not just of the finally agreed plan. This would aid in refinement of the process over time, as well as serving as a part of the “institutional memory of the village. The suggested table of contents are:

1. Introduction

- * Population
- * Land Area
- * Production Statistics
- * Current Value Adding
- * Land Use Map
- * Climate

2. Opportunities for Development

- *Crops
- *Livestock
- *Processing
- *Expansions
- *Services
- * Other

3. Obstacles for Development

- *Soils
- *Climate
- *Knowledge Gaps
- *Poor Communication

- *Poor Resources
- * Other

4. Possible Interventions

5. Prioritising of Interventions

6. Financial Analysis of Proposed Interventions

7. Status of Previous Plans

- *Cost
- *Timeliness
- *Contribution Shares
- *Financial Impact
- *Physical Impact
- *Cross-Cutting Impact
- *Unintended Impact

8. Agreed Plan

For each Activity

- *Objective
- *Cost & Cost Sharing
- *Expected Financial Impact
- *Expected Physical Impact
- *Cross-Cutting Impact
- *Risks
- *Implementing Responsibility

Appendix 1. Table of Contents for a Village Plan

Form 1: Participatory Planning Sheet/Format
(distributed in the training session)

Village's Agricultural Vision (with 'Catchphrase')

Objectives	Opportunity	Obstacles	Causes	Interventions	Actions	Responsibility

(Form: B-2)

Form 2: Village Narrative Plan/Format
(distributed in the training session)

Village Name	Village Chairman
Ward and District	Ward Councillor
Village's Agricultural Vision (with 'Catchphrase')	
Heading	Narrative Description
<ul style="list-style-type: none"> * Introduction * Population * Land Area * Production Statistics * Current Value Adding * Land Use Map * Climate 	
<ul style="list-style-type: none"> * Opportunities for Development * Crops * Livestock * Processing * Expansions * Services * Other 	
<ul style="list-style-type: none"> * Obstacles for Development * Soils * Climate * Knowledge Gaps * Poor Communication * Poor Resources * Other 	
<ul style="list-style-type: none"> * Possible Interventions 	
<ul style="list-style-type: none"> * Prioritising of Interventions 	
<ul style="list-style-type: none"> * Financial Analysis 	
<ul style="list-style-type: none"> * Status of Previous Plans * Cost * Timeliness * Contribution Shares * Financial Impact * Physical Impact * Cross-Cutting Impact * Unintended Impact 	
<ul style="list-style-type: none"> * Agreed Plan * For each Activity * Objective * Cost & Cost Sharing * Expected Financial Impact * Expected Physical Impact * Cross-Cutting Impact * Risks * Implementing Responsibility 	

Form 3: Village Budget and Monitoring Sheet

(distributed in the training session)

Village Name District	Financing						Timeframe	
	Village		External		Total		Planned	Actual
	Budget	Actual	Budget	Actual	Budget	Actual		
1								
2								
3								

Form 4: Village Evaluation and Impact Sheet

(distributed in the training session)

Village Name District	Evaluation									
	Financial Benefit		Physical Benefit		Cross-Cutting Benefit		Unintended Result			
Activity Description	Planned	Actual	Actual% of Planned	Planned	Actual	Actual% of Planned	Planned	Actual	Actual% of Planned	Actual Plus or Minus
1										
2										
3										