

Prime Minister's Office - Regional Administration and Local Government  
The United Republic of Tanzania

**The Study on Improvements  
of Opportunities and Obstacles to Development (O&OD)  
Planning Process**

**Final Report**

**Summary**

**March 2008**

**JAPAN INTERNATIONAL COOPERATION AGENCY**

**INTERNATIONAL DEVELOPMENT CENTER OF JAPAN**

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## PREFACE

In response to a request from the Government of the United Republic of Tanzania (hereinafter referred to as “the Government of Tanzania”), the Government of Japan decided to conduct the Study on Improvements of Opportunities and Obstacles to Development (O&OD) Planning Process (hereinafter referred to as “the Study”) and entrusted the study to the Japan International Cooperation Agency (JICA).

JICA selected and dispatched a study team headed by Mr. Yoshio AIZAWA of International Development Center of Japan to Tanzania between June, 2006 and March 2008.

In collaboration with the Prime Minister’s Office Regional Administration and Local Government of the Government of Tanzania, the team held close discussions with the stakeholders in Tanzania, and conducted field surveys in various local governments. Based on the result of the discussions and survey, the team prepared this final report.

I hope that this report will contribute to the promotion of the decentralization in the United Republic of Tanzania and to the enhancement of friendly relationship between the two countries.

Finally, I wish to express my sincere appreciation to the officials concerned of the Government of Tanzania for their close cooperation extended to the team.

March, 2008

Eiji Hashimoto

Vice-President

Japan International Cooperation Agency

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## ABBREVIATIONS

ARW	Awareness Raising Workshop
ASDP	Agricultural Sector Development Programme
CBG	Capacity Building Grant
CC	City Council
CCHP	Comprehensive Community Health Plan
CDG	Capital Development Grant
CMT	Council Management Team
CPP	Community Planning Process
CRP	Community Resource Person
DADG	District Agricultural Development Grant
DADP	District Agricultural Development Plan
DCBG	Discretionary Capacity Building Grant
D by D	Decentralization by Devolution
DC	District Council
DF	District Facilitator
DFT	District Facilitators Training
DP	Development Partner
DPP	Department of Policy and Planning
ECBG	Earmarked Capacity Building Grant
EVA	Extra-ordinary Village Assembly
FY	Fiscal Year
GOT	Government of Tanzania
HoD	Head of Department
HSBF	Health Sector Basket Fund
IDCJ	International Development Center of Japan
IPF	Indicative Planning Figure
JHIRF	Joint Health Infrastructure Rehabilitation Fund
JICA	Japan International Cooperation Agency
LGA	Local Government Authority
LGCDG	Local Government Capital Development Grant
LGRP	Local Government Reform Programme
LLGA	Lower Local Government Authority
MC	Municipal Council
MEO	<i>Mtaa</i> Executive Officer
M&E	Monitoring and Evaluation
MoF	Ministry of Finance
MoH	Ministry of Health
MPEE	Ministry of Planning, Economy and Empowerment
MKUKUTA	Mkakati Wa Kukuza Uchumi na Kupunguza Umasikini Tanzania
NF	National Facilitator
NGO	Non-Governmental Organization
O&OD	Opportunities and Obstacles to Development
OC	Other Charges
PE	Personnel Emolument
PEDP	Primary Education Development Plan
PM&E	Participatory Monitoring and Evaluation
PMO-RALG	Prime Minister's Office - Regional Administration and Local Government
PO	President's Office
PRA	Participatory Rural Appraisal
R&B	Review and Backstop
TACAIDS	Tanzania Commission for AIDS
TASAF	Tanzania Social Action Fund

TC	Town Council
TDV2025	Tanzania Development Vision 2025
TYP	Three-Year Plan
UDEM	Urban Development and Environment Management Grant
VADP	Village Agricultural Development Plan
VC	Village Chairperson
VEO	Village Executive Officer
VPO	Vice President Office
WDC	Ward Development Committee
WEO	Ward Executive Officer
WEC	Ward Education Coordinator
WF	Ward Facilitator
WFT	Ward Facilitators Training
WP	Ward Plan

## PHOTOS

### *Study on current status of O&OD Roll-out*



Monduli: A Ward Facilitator is facilitating Community Planning Process during the O&OD roll-out (September, 2006)



Monduli: Village Executive Officer (VEO) is presenting the Community Plan in the village assembly (September, 2006)

### *Study on current status of Review and Backstop (R&B)*



Bagamoyo: A community member is showing the village map prepared during the O&OD roll-out in 2002 (July, 2006)



Bagamoyo: Community members are discussing about their post O&OD roll-out status (July, 2006)

### *Testing of the O&OD roll-out*



Pangani: A group discussion is going on during District Facilitators Training (May, 2007)



Pangani: Community members are pre-sensitizing other members on the 2<sup>nd</sup> day of Community Planning Process (May, 2007)



### *Testing of the Review and Backstop*



Bagamoyo: Draft Community Plans are being shown to the public on the notice board (February, 2007)



Bagamoyo: A village assembly is being held during the re-planning process at each of 12 villages in the testing areas. (February, 2007)

### *Stakeholders Workshop*



Dar es Salaam: Mr Mlupilo of PMO-RALG is facilitating the Stakeholder Workshop held on September 18, 2007. The Workshop was held in order to consult on the results of the Study, inviting personnel from LGAs, the ministries and development partners.



Dar es Salaam: Participants are actively discussing the draft proposals initially prepared by the O&OD Study Team.

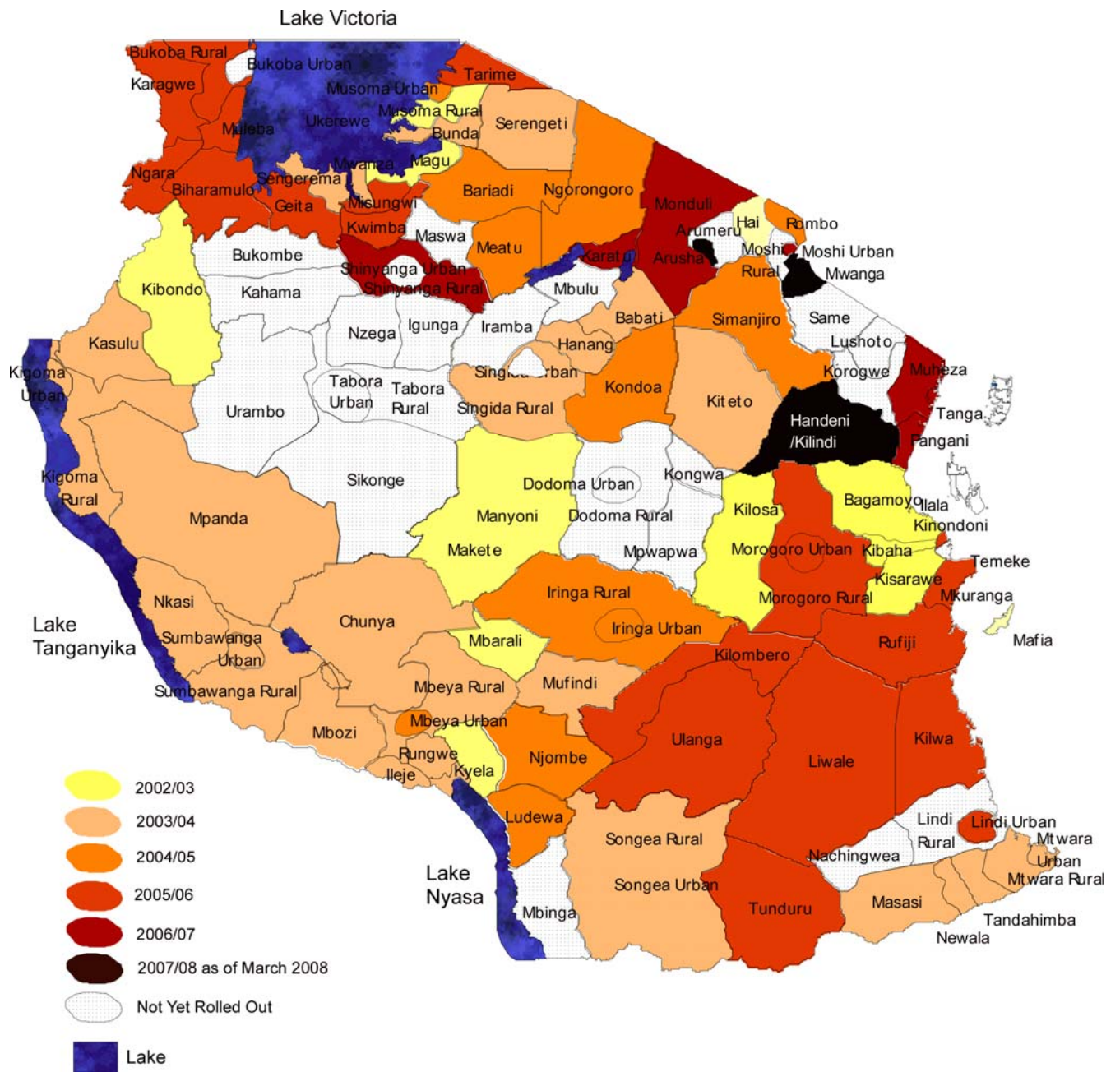
### *Dissemination Seminar*



Dar es Salaam: Mr. Nyimbi, Director of Local Government Division of PMO-RALG, is giving an opening remark for the Dissemination Seminar held at the Protea Hotel on February 21, 2008. Officials of ministries and LGAs and personnel of donors and NGOs were invited.



Dodoma: Mr. Mlupilo of PMO-RALG is giving a presentation, "What is O&OD," to the invitees in the Dissemination Seminar held at New Dodoma Hotel on February 25, 2008. The invitees included officials from LGAs and training institutes.



**MAP 1: PROGRESS OF O&OD ROLL-OUT  
(as of March 2008)**

## 1 OUTLINE OF THE STUDY

### 1.1 Background of the Study

Decentralization by Devolution (D by D) has been a challenge of the Government of Tanzania (GOT) over the years in fulfilling its commitment to strengthen local autonomy through devolution of powers to Local Government Authorities (LGAs). The GOT has thus made efforts to empower the LGAs in the area of technical, financial, and institutional capacities in optimizing administrative functions. The Local Government Reform has been an engine to promote such D by D policies empowering the grassroots and enhancing quality of service delivery for poverty eradication.

Propelled by the Reforms, the Opportunities and Obstacles to Development (O&OD) was initiated in 2002. The O&OD is a participatory community planning process to empower the people based on a bottom-up approach with a positive outlook. Since its initiation, the GOT has rolled out the O&OD planning process in more than 103 LGAs out of 132 LGAs as of February 2008. The O&OD is prominent and unique in the sense that it is embedded within the administrative structure and uniformly applied nationwide. However, it still faces challenges to improve the methodology itself and to make the process sustainable after the O&OD roll-out.

It is in this context that the Study on Improvements of Opportunities and Obstacles to Development Planning Process was launched under the initiative of the Prime Minister's Office - Regional Administration and Local Government (PMO-RALG) with assistance of Japan International Cooperation Agency (JICA).

### 1.2 Outline of the Study

The objective of the Study is to provide comprehensive and concrete proposals for improvements of the O&OD planning process based on the findings from 1) the field studies on status-quo of the O&OD roll-out and the post O&OD roll-out and 2) testing activities of the O&OD roll-out and the post O&OD roll-out.

The coverage of the Study includes two tiers: the O&OD roll-out and the post O&OD roll-out. **The O&OD roll-out** is the process of applying the O&OD participatory planning methodology through: i) sensitization of councilors and the Council Management Team (CMT) in *Awareness Raising Workshop*; ii) capacity building of LGA and ward officers to become District Facilitators (DFs) and Ward Facilitators (WFs) through *DF Training and WF Training*; iii) the *Community Planning Process* (CPP) facilitated by those DFs and WFs; and iv) integration of Community Plans into the LGA Plan. **The post O&OD roll-out, or Review and Backstop (R&B)**, is a continuous process of: i) implementing, reviewing, and monitoring and evaluating the Community Plans on communities' own initiative; ii) facilitating the community initiative by district and ward officers and community leaders; and iii) integrating updated Community Plans into the LGA Plan.

For the O&OD roll-out, the Study identified challenges in the existing O&OD roll-out process and proposes measures to improve the process while for the post O&OD roll-out process, the Study analyzed current state of affairs and proposes measures to establish an R&B mechanism.

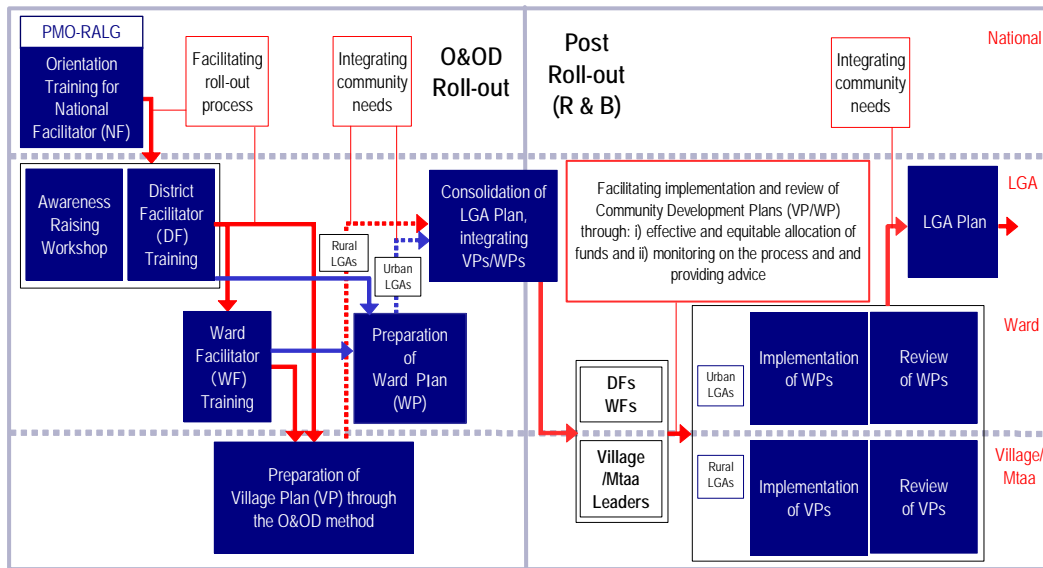


Figure 1.1 O&OD Roll-out and Post O&OD Roll-out Stage

### 1.3 Flow of the Study

The Study commenced from June 2006 and ends in March 2008. The Study included five tasks shown in the figure below. First, it came up with hypothetical proposals to improve the O&OD process in Task 3 based on studies on status quo in Task 1 and Task 2, and then verified the validity of proposals through testing activities in Task 4 for further elaboration. Based on the verification, final proposals and action plans were prepared in Task 5.

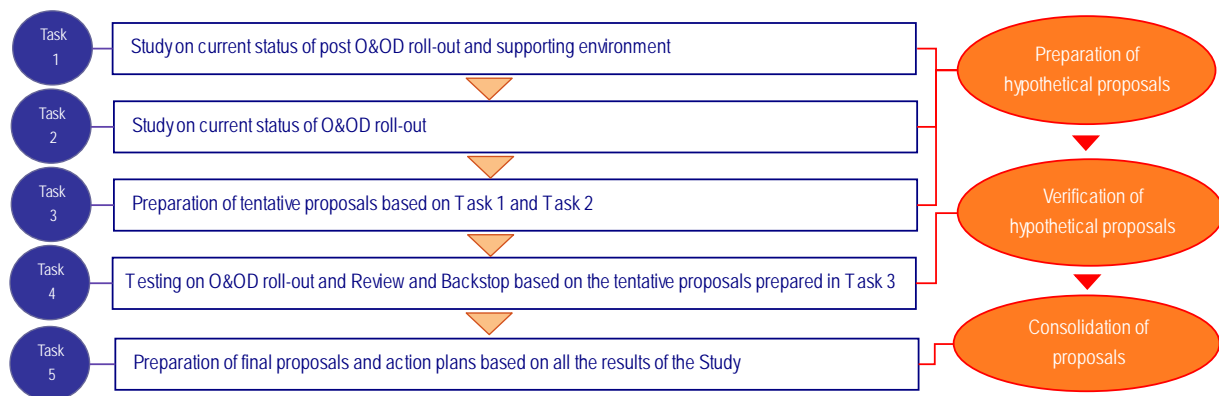


Figure 1.2 Scope of the Study

### 1.4 Target Area of the Study

The focus of the Study is whole of Tanzania since the purpose of the Study is to formulate proposals for improvement of the O&OD planning methodology which is applied nationwide. To formulate the proposals, the Study selects sample

Table 1.1 Target Regions and LGAs for O&OD Roll-Out

Region	LGAs
Tanga Region	Handeni DC, Kilindi DC, Korogwe DC, Korogwe TC, Lushoto DC, Mkinga DC, Muheza DC, Pangani DC, Tanga CC
Arusha Region	Arumeru DC, Arusha MC, Karatu DC, Longido DC, Meru DC, Monduli DC
Kilimanjaro Region	Mwanga DC, Same DC, Moshi MC, Moshi DC

CC: City Council, TC: Town Council, MC: Municipal Council, DC: District Council

LGAs for the field surveys on status quo in Task 1 and Task 2, and for the verification activities on tentative proposals in Task 4

Alongside the field surveys and verification activities, the Study financially assists LGAs for their O&OD roll-out during Task 2, Task 4 and Task 5. As indicated in Table 1.1, the target LGAs were selected from Tanga, Arusha, and Kilimanjaro Regions as initially agreed between the GOT and the Government of Japan.

Those financially assisted LGAs are at the same time utilized as study samples in Task 2 and Task 4. Selected LGAs in Task 2 become the study samples for the field survey on current status of the O&OD roll-out and those in Task 4 become the study samples for verification activities on tentative proposals for the O&OD roll-out process. In addition, those in Task 5 are purely for dissemination purpose of an improved O&OD roll-out process based on the final proposals.

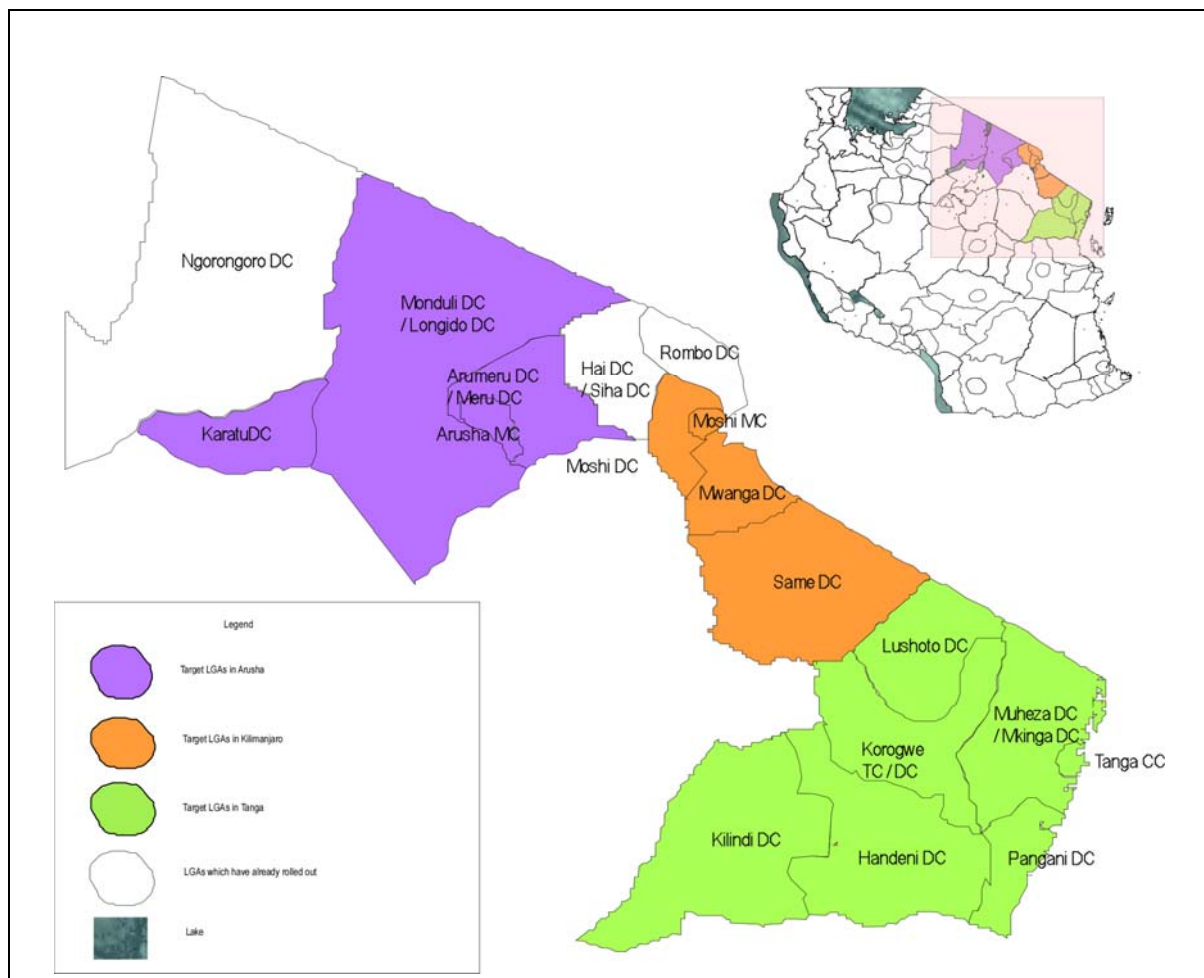


Figure 1.3 Target LGAs for O&OD Roll-out

## **2 CURRENT PLANNING AND BUDGETTING SYSTEMS IN TANZANIA**

### **2.1 Introduction**

The ongoing progress of the D by D has led to initiatives to establish a harmonized fiscal transfer system, formula-based budget allocation, and performance based qualification criteria for a capital development grant. The establishment of the Local Government Capital Development Grant (LGCDG) system is among others the most significant achievement since it provides a discretionary block grant to LGAs, within which LGAs are able to decide allocation of the grant across sectors.

Accordingly, the role of the O&OD planning process has become increasingly important since it is the only multi-sectoral planning methodology applied nationwide and it enables the community to prioritize their needs. The Community Plans prepared through the O&OD planning process could thus become a solid basis to realize effective fund flow to the community in the LGCDG system.

Under the above circumstance, the current status of planning and budgeting systems in operation were reviewed in order to understand how the O&OD planning process could be in harmony with such systems.

### **2.2 Overview of Current Planning and Budgeting Procedure**

The planning and budgeting cycle begins when national planning and budgeting guidelines are issued. The guidelines provide a performance review of the previous financial year (FY), and recapitulates sector policies and areas which are accorded as priorities within MKUKUTA (National Strategy for Growth and Reduction of Poverty) and Tanzania Development Vision 2025 (TDV 2025).

The guidelines are prepared by the Ministry of Finance (MoF) and the Ministry of Planning, Economy and Empowerment (MPEE) with close involvement of PMO-RALG. Along with the national guidelines, PMO-RALG also issues planning and budgeting guidelines, which are circulated to all LGAs informing them to start planning and budgeting at the LGA level. Then the LGAs are supposed to translate the LGA guidelines into simple language and forward it to respective Village Councils (VCs)/Ward Development Committees (WDCs).

In the rural setting, after receiving the instruction, with the support of ward officers, the VC reviews the Community Plan in the past year. The Plan, being a 3 year rolling plan, is supposed to be reviewed annually by VC members and other community members through the O&OD planning methodology. After the review of the Plan, the Village Assembly is supposed to approve the Three-Year Plan (TYP), which is then directly submitted to the LGA. In the urban setting, the Ward Plan is also supposed to be annually reviewed by representatives of *Mitaa* (community units based on streets in urban area). After the review, the WDC consolidates the Three-Year Ward Plan and submits to the LGA. However, this planning process at community level is not necessarily practiced in all communities.

Suppose that Community Plans exist and they are submitted to the LGA, the LGA is supposed to incorporate these Plans into the LGA Plan. At LGA level each department prepares its sector plan reflecting its sectoral policy and strategy, which will be incorporated into the LGA Plan and discussed at various standing committees of the LGA council. The LGA approves its plan

on the full council with the advice of the Regional Secretariat, and then the LGA Plan is submitted to PMO-RALG. MPEE and the MoF incorporate LGA Plans in a government plan and budget.

Prior to provision of grants/funds, PMO-RALG carries out an annual assessment whose result determines which LGA is qualified for which grants/funds in the coming financial year. Sector ministries also conduct the review and appraisal of LGA's sector plans before funds allocation.

## 2.3 Planning System

Current planning initiatives in Tanzania are classified into two: multi-sectoral and sector-wise. The former indicates the O&OD approach. On the other hand is the sector-wise approach in many cases based on a sector program. The major difference in planning approach between these two is that the former is to foster community initiative while the latter attaches importance to effective and efficient implementation of interventions which meet the sectoral objectives and strategies. In other words, the former is on bottom-up basis while the latter is more on top-down basis.

The Sector Programme tends to entail the basket funding mechanism. Since those supporting development partners (DPs) need to ensure financial accountability, they usually lay on the Government to systemize a solid planning and budgeting system. This is among others one reason why each of education, health and agriculture sectors has a planning system either in the LGA level or below. Table 2.1 summarizes the institutionalized or being-institutionalized plans at different levels. Tanzania Social Action Fund II (TASAF II) has also been included since it is a nation-wide approach dealing with community development and its financial operation is in-built within the LGA budget.

Table 2.1 Major Planning in Multi-sector and Sector Approach

		National Policy/ Program	LGA	Ward	Village /Mtaa	Planning methodology applied/being applied at LGA/LLGA	
Multi-sector Approach		TDV 2025 MKUKUTA Local Government Reform Program	LGA Plan	Rural	-	Village Plan	O&OD planning methodology (2002- )
				Urban	Ward Plan	-	
Sector Approach	Education	Primary	Council Education Development Plan	-	School Plan	Methodology in school management (2004) School Mapping and Micro-planning Methodology (1997-2004)	
		Secondary		Secondary Education Development Plan	School Development Plan and Budget	No particular planning methodology applied	
	Health	The second Health Sector Strategic Plan	Comprehensive Council Health Plan	-	A plan and budget for Joint Health Infrastructure Rehabilitation Fund	No particular planning methodology applied	

		National Policy/ Program	LGA	Ward	Village /Mtaa	Planning methodology applied/being applied at LGA/LLGA
	Agriculture*	Agricultural Sector Development Programme	District Agricultural Development Plan	Ward Agricultural Development Plan	Village Agricultural Development Plan (part of VDP)	No particular planning methodology applied
	Water	National Rural Water Supply and Sanitation Programme	-	-	A project application	No particular methodology planning applied
<b>Other Approach</b>	TASAFII	-	-	-	A community proposal	Expanded-PRA (2005- )

\* Based on the *Guidelines for District Agricultural Development Planning and Implementation (Draft)*, June 2006.

## 2.4 Budgeting System

### 2.4.1 Types of Funds/Grants to the LGA

In addition to own revenue sources, LGAs receive both recurrent and development grants/funds from the Central Government and sector basket funds which consist of more than 90 percent of the revenue source of the LGAs.

For the recurrent budget of the LGAs, a formula-based grant transfer to LGAs has been introduced since FY 2004/05 for the purpose of allocation in objective, fair and transparent manners. Based on the formula adopted for each sector, LGAs receive block grant from the Central Government to cover the Personnel Emolument (PE) and the Other Charges (OC).

For the development budget, the LGCDG is coming to the forefront besides the other development grants on the basis of sector programs, area-based support of development partners, and TASAF.

A landmark of this LGCDG system is provision of a non-sector specific grant to LGAs. LGAs qualified to receive the Capital Development Grant (CDG) would have more opportunities and autonomy than before to comply financially with multi-sectoral needs and priorities of the community.

The following sections will summarize an overall structure of budgeting mechanisms at the LGA level from the perspectives of: i) grants from the Central Government i.e. formula-based block grant for recurrent budget and the LGCDG for development budget; ii) sector-oriented and other funds, including sector basket funds and a development partner supported initiative, i.e. TASAF.

Table 2.2 shows the items of grant and fund transferred from the central government to LGAs listed in the *Guidelines for the Preparation of LGAs' Medium Term Plans and Budgets for 2007/08 to 2009/10*, PMO-RALG (2007).



Table 2.2 Major Grants/Funds Allocated to LGAs

Grant (Recurrent)	Grant (Development)
<b>Block Grant</b>	<b>LGCDG System</b>
Agriculture	Capital Development Grant (CDG)
Education	Capacity Building Grant (CBG)
Health	Local Government Development Grant (LGDG)
Roads	<b>Other Development</b>
Water	Agriculture -DADP
<b>General Purpose</b>	UDEM Grant
<b>Other Recurrent</b>	PEDP Development
PEDP Capitation	Health Rehabilitation Fund
Health Sector Basket Fund (HSBF)	
Road Fund	
HIV/AIDS	

Source: PMO-RALG (2007), *GUIDELINES FOR THE PREPARATION OF LOCAL GOVERNMENT AUTHORITIES' MEDIUM TERM PLANS AND BUDGETS FOR 2007/08 TO 2009/10*.

## 2.4.2 Grants from Central Government

### (1) Recurrent Grants

A formula-based recurrent grant transfer, introduced in FY 2004/05, was first applied to the education and health sectors, and then to other sectors, namely water, road and agriculture from FY 2005/06. Formulae for the transfer are set jointly by the MoF, PMO-RALG and sector ministries concerned, and the grants are flown to LGAs via the Treasury.

These formulae differ from sector to sector depending on the nature of the services, and are reviewed and amended when necessary. In addition to sector recurrent grants, the General Purpose Grant, which is an unconditional grant for providing basic administration and non-priority sector national services, is also provided targeting low revenue potential LGAs where the majority are in rural areas.

### (2) Development Grants

Among the development grants under PMO-RALG the LGCDG system allocates grants to LGAs. The overall objectives of the LGCDG system are:

- to improve the access of communities, especially the poor, to local services through expansion of the physical stock of new and rehabilitated infrastructure; and
- to enhance the delivery and management capabilities, productive efficiencies and financial sustainability of local governments.

The LGCDG has two grant elements, namely the Capital Development Grant (CDG) and the Capacity Building Grant (CBG). First, the CDG is a non-sector specific grant distributed on a formula basis and is provided to invest in local infrastructure in accordance with the local needs, as these are determined through local participatory planning and budgetary processes. If a LGA is not qualified for the CDG on an annual assessment, then the LGA will receive the Local Government Development Grant (LGDG). Secondly, the CBG is to assist the LGAs to improve their capacity and performance in order for them to meet CDG Minimum Access Conditions or to access additional funds through the performance measurement process.

The assessment is carried out between March and May. Then, funds are allocated on quarterly

basis. LGAs are required to submit financial report also on quarterly basis as part of the minimum conditions.

Regarding the average percentage of CDG expenditure at the LGA level, 42% of the funds had been utilized in the education sector in FY 2006/07 followed by the health (11%) and road (12%) sectors. The proportion is naturally varied according to LGAs.

### 2.4.3 Sector Oriented and Other Funds

In the process of D by D, the Central Government has been shifting its role from direct involvement in production and service delivery to policy formulation, coordination, advisory, and strengthening capacities of LGAs, private sector and NGOs so as to create an enabling environment for LGAs to perform at their discretion.

The Local Government Reform Programme (LGRP), which is to be mainstreamed as part of PMO-RALG's routine activities by 2008, aims at improving quality, access and equitable delivery of public services, particularly to the poor, through reformed and autonomous LGAs. At this stage, although harmonization of sector programs with the LGCDG system is an output of the Fiscal Empowerment of the LGRP, sector earmarked funds remain provided. Following Table 2.3 and Table 2.4 summarize those of sector oriented recurrent and development funds, respectively.

**Table 2.3 Other Recurrent Funds**

Fund	Purpose	Formula/Condition
PEDP Capitation Grant	To cover non PE operating cost of primary schools.	<ul style="list-style-type: none"> <li>Formula: The grant is based upon the number of children in school.</li> <li>The target is Tsh.10,000 per pupil.</li> </ul>
HSBF	To supplement the OC funds provided under the Health Block Grant for the operation and delivery of primary health care services at the LGA level.	<ul style="list-style-type: none"> <li>Formula: 70% (population); 10% (estimated number of poor residents); 10% (length of the official medical vehicle route); and 10% (estimated morbidity count). The formula is the same as the Health Block Grant.</li> <li>All LGAs should set their own performance objectives within the context of the local health plan, which takes into account national priorities, local conditions and priorities and the availability of local resources.</li> <li>Apart from this fund, medical supply is also available and the purpose is to provide drugs and other essential medical supplies to the primary health care services at the LGA level, including district hospitals, health centers and dispensaries.</li> </ul>
ASDP/DADP	To supplement the OC funds provided under Agriculture Block Grant	<ul style="list-style-type: none"> <li>Formula: 80% (number of villages); 10% (Rural Population); and 10% (Rainfall Index)</li> <li>Agricultural Extension Block Grant Tsh.156 billion base cost</li> <li>This sub-component under the DADP supports the shift to contract out services with greater control over resource allocation decisions by farmers, and provides funding for both public extension services and for private service providers.</li> </ul>
Road Fund	To provide substantial additional funding for road maintenance projects.	<ul style="list-style-type: none"> <li>Maintenance costs are covered by the Road Block Grant.</li> </ul>
HIV/AIDS	To address the HIV	<ul style="list-style-type: none"> <li>Formula: 2007/08 is the same as the Health Block Grant.</li> </ul>

Fund	Purpose	Formula/Condition
	and AIDS epidemic at the LGA level.	<p>2008/09 and onwards, specific formula will be developed.</p> <ul style="list-style-type: none"> <li>As conditions, there is a Council Multi-sectoral HIV/AIDS committee; this committee meets regularly and keep records of decision making; and there is an existing plan and budget consistent with the guidance from TACAIDS, PMO-RALG and the MoH.</li> <li>LGAs should facilitate dialogues at all levels on how to include the minimum package of intervention using O&amp;OD and/or any participatory approaches and need to consult with the health sector on their CCHP.</li> </ul>

Source: PMO-RALG (2007). *GUIDELINES FOR THE PREPARATION OF LOCAL GOVERNMENT AUTHORITIES' MEDIUM TERM PLANS AND BUDGETS FOR 2007/08 TO 2009/10.*

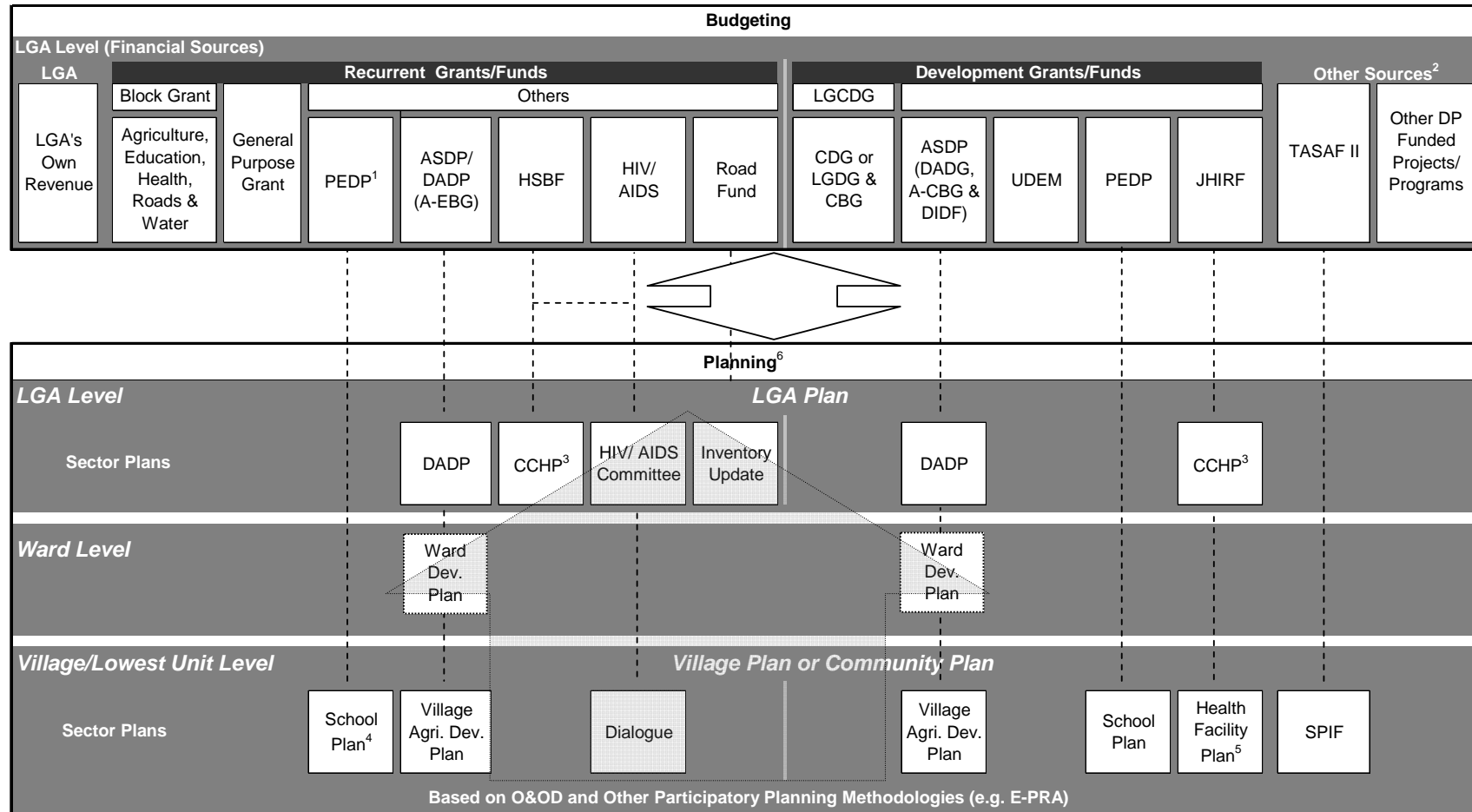
**Table 2.4 Other Development Funds**

Funds	Purpose	Formula/Condition
PEDP Development	To build classrooms, teachers' houses and other capital assets.	<ul style="list-style-type: none"> <li>Formula: The allocations are not currently formula based.</li> <li>PEDP ended in FY2005/06 and currently PEDP 2 (2007-2011) is in progress.</li> </ul>
Joint Health Infrastructure Rehabilitation Fund	To rehabilitate health facilities in prioritized LGAs.	<ul style="list-style-type: none"> <li>The fund is allocated to all prioritized LGAs for rehabilitation of 25% of their health facilities and LGAs receive a flat rate per dispensary and health center.</li> <li>A plan is required to be produced by each Health Facility Committee for the works and equipment required for the rehabilitation, which must be included in the CCHP.</li> <li>LGAs should ensure that the recurrent maintenance expenses are budgeted subsequent to the completion of rehabilitation. Also, an additional 1.5% should be added to contribute to Wards the supervision costs of the LGA.</li> <li>This fund will be harmonized with the LGCDG system in future years.</li> </ul>
Agriculture DADP	To implement activities at the district level, based on the District Agricultural Development Plan (DADP), which are part of the broader District Development Plan	<ul style="list-style-type: none"> <li>Formula: 80% (number of villages); 10% (rural population); and 10% (rainfall index)</li> <li>The capital component of the ASDP is divided into the District Agricultural Development Grant (DADG) and the Agriculture Capacity Building Grant. In addition the District Irrigation Development Fund is also available for large irrigation scheme development.</li> </ul>
	<p><u>District Agricultural Development Grant (DADG)</u></p> <ul style="list-style-type: none"> <li>Types of investments which could be qualified for financing include: environmental investments; public infrastructure, such as rural roads; small scale irrigation schemes; group or community investments of a small scale productive nature; and group or community investments in risk bearing (locally) innovative equipment.</li> <li>It is funded through an earmarked top-up to the CDG. A base level DADG is provided to LGAs on an unconditional basis. An enhanced DADG is available to those LGAs that meet the DADG minimum conditions and increments are given as their performance improves.</li> <li>Consistent with the CDG, and dependent on performance, LGAs either obtain a 25 % increase, reduction or not charge in the level of resource transfers. The DADG supports implementation of DADPs on a cost sharing basis, with beneficiaries contributing additional labor and materials.</li> </ul>	

Funds	Purpose	Formula/Condition
	<p><u>Agriculture Capacity Building Grant</u></p> <ul style="list-style-type: none"> <li>The formula is the same as that of the Agriculture Recurrent Block Grant.</li> <li>This grant is subdivided into the Discretionary Capacity Building Grant (DCBG), and the Earmarked Capacity Building Grant (ECBG).</li> <li>DCBG: To improve functional areas to meet the minimum conditions and to improve the performance criteria in subsequent years to access higher resource transfers. The DCBG can be received by all LGAs whether they meet the minimum conditions to access DADG and EBG top-ups. It is used for improving district agricultural planning, agricultural investment appraisal and review, agricultural services reform, and enhancing stakeholder engagement. LGAs need to develop a capacity development plan prior to accessing the grant.</li> <li>ECBG: To strengthen farmer empowerment, public sector reorientation and capacity strengthening of private sector services. The ECBG is an additional fund to the DCBG.</li> </ul>	<p><u>District Irrigation Development Fund (DIDF), Tsh 87 billion base</u></p> <ul style="list-style-type: none"> <li>Based on a more strategic planning approach, the DIDF is a separate fund to complement the DADG to finance public investments of larger scale irrigation schemes, such as inter-district irrigation schemes and complex irrigation infrastructure. Similar to the DADG, the DIDF funds flow directly from the exchequer account to qualified districts.</li> <li>Supplemental cost of small scale district irrigation schemes (derived from demands through the O&amp;D process) funded by general annual allocations for small scale irrigation schemes from the LGCDG and/or DADG.</li> </ul>
<p>Urban Development and Environmental Management Grant (UDEM-G)</p>	<p>To enable increased funding flows for improved living conditions of the urban communities in Tanzania by facilitation the decentralized implementation and monitoring of sustainable urban development and environmental management in the LGA sector. It comprises of UDEM Capacity Building Grant (CGB) and UDEM Capital Development Grant (CDG).</p>	<ul style="list-style-type: none"> <li>For the UDEM-CDG: 70% urban population, 30% urban poverty count. USD 1.00 per capita per annum.</li> <li>The menu of eligible investments for UDEM-CDG includes: solid/liquid waste management; sanitation; water supply; upgrading of unplanned settlements; law and order; managing extraction of building materials; cleaner production technologies; urban agriculture; urban greening and management of open spaces; storm water drainage and erosion protection; urban transportation; managing petty/informal trading; alternative energy sources and/or recovery; urban pollution; and employment creation/income generation.</li> <li>For the UDEM-CBG: a top-up to the CBG under the LGCDG system. USD 25,000 for City, Municipal, Town councils; USD 12,000 for Township Authorities; USD 10,000, for Minor Settlements per annum.</li> </ul>

Source: PMO-RALG (2007), *GUIDELINES FOR THE PREPARATION OF LOCAL GOVERNMENT AUTHORITIES' MEDIUM TERM PLANS AND BUDGETS FOR 2007/08 TO 2009/10*.

For fund allocation, each sector has introduced its own initiatives/guidelines in order to fit sector activities into sectors' priorities and other technical and financial requirements.



1. FY 2006/07 is the final year of allocation in the current formats.
2. Financial flows are varied. Fund transfers both to the LGA and village levels are existed.
3. The health sector has 6 centers: those are 1) the council; 2) the council hospital; 3) voluntary agency hospitals; 4) health centers; 5) dispensaries; and 6) communities for budget allocation.
4. This is made by schools, not village.
5. This is made by Health Facility Committees, not villages.
6. All sectors are, in general, covered by each level comprehensive development plan.

**Figure 2.2 Planning and Budgeting in LGA and LLGA**

## 2.5 Findings

### 2.5.1 Harmonization of the Other Sector Planning with the O&OD Planning

The planning initiatives at community level beside the O&OD planning process are categorized into: i) sector focused planning; and ii) project focused planning. The former produces a plan covering all prioritized activities in a particular sector or sub-sector while the latter produces a plan for a specific project or program. The two types of the planning could be in harmony with the O&OD planning process assuming that they play roles in the manner that they are to supplement technical aspect of and to promote implementation of the Community Plan prepared through the O&OD planning process.

Harmonization of the different planning initiatives at community level with the O&OD planning process has already been recognized with different sector ministries. On the other hand, a weakness has been pointed out in a similar manner in the way that, from the sector viewpoints, the Community Plan can only present community needs and priorities, and therefore further elaboration is essential in order to design projects.

Hence, those existing planning processes at community level could play two roles: i) to supplement technical aspects of the O&OD; and ii) to promote implementation of the Community Plan prepared through the O&OD planning process. With this assumption, the other planning initiatives could be in harmony with the O&OD. For instance, to supplement technical aspects, cost estimation and technical feasibility of the Community Plan could be checked with existing plans under other initiatives such as the School Plan and community proposals for TASAF. To promote implementation, other initiatives are encouraged to follow the prioritized objectives and interventions in the Community Plan when they prepare an action plan or a project proposal.

### 2.5.2 Role of Ward in Planning Process

The role of the ward in planning is important in the aspect of identifying cross-village/*Mtaa* interventions, which reflects the needs at community level as well as in the view of bridging the Community Plans with the LGA Plan.

#### (1) Identification of Cross-village Issues

It is in fact becoming increasingly important to appropriately identify cross-village interventions due to a raising role of the LGCDG system in which 50 percent of the CDG is allocated to LLGAs. Effective allocation of the CDG is certainly a promoting factor of implementation of the Community Plans prepared through the O&OD planning process.

However, in the current situation, the ward is not functioning effectively in identifying cross-village needs. This could be partly because the role of the ward in planning is not well defined. Although the WDC is expected to “facilitate a negotiation and consensus building process to ensure a fair and equitable allocation” of the CDG among villages in the ward, identification of cross-village intervention to some degree may require some technical elaboration.

Insufficient definition of the role in identifying cross-village needs is seen in the existing

planning guidelines. In the O&OD planning process, the role of ward is only to provide technical advice on the Community Plans, which are then directly submitted to the LGA after approval by the Village Assembly. Thus, the role of the ward to consolidate cross-village intervention is not defined in the process.

In the primary education sub-sector for example, the role of the Ward level, particularly the Ward Education Coordinator (WEC) remains instrumental and is expected to facilitate and assist each school to prepare the School Plan. In the secondary education sub-sector on the other hand, the role of the ward in planning process is not emphasized but expected to pursue the other responsibilities such as for identifying the location of building secondary schools and mobilizing communities for construction, enrolment, and retention of students. In the health and water sectors, role of the ward in terms of the planning process is not prescribed.

On the other hand, the agriculture sector assumes the ward to prepare a plan besides the Village Agricultural Development Plan (VADP). According to a draft of the *Guidelines for District Agricultural Development Planning and Implementation*, the role of the ward is to identify a cross-village intervention taking into consideration the VADP.

The planning role of the ward might be important in order to facilitate identifying cross-village needs at Ward level. In this regard, ward extension officers are expected to perform substantially in the planning process so that the Community Plans can comply with the LGCDG with its technical and cost requirements.

## (2) Bridging Community Plans with the LGA Plan

Although Community Plans are, in theory, to be incorporated into the LGA Plan, no practical system to do so has been established. Since a typical rural LGA is composed of 60 to 100 villages, it is not difficult to understand difficulty faced by the LGA officers. Work involved to sort out and compile issues and activities by sector from a large number of multi-sectoral Community Plans is not practical, especially when it has to be handled manually.

One way to facilitate in incorporating Community Plans into the LGA Plan could be to prepare a ward-level plan using a simple format which synthesizes Community Plans of the designated area as outlined in the draft *Guidelines for District Agricultural Development Planning and Implementation*. The ward-level plans, which are much fewer in number and summarized by sector, could ease the work load of LGA officers to review and incorporate Community Plans. Lack of such ward-level plans in the O&OD planning process seems a missing link between the Community Plans and LGA Plan.

### 2.5.3 Harmonization of Budgeting Procedures and Rising Role of the LGCDG

In order to promote efficient fund flow to the community level activities, harmonization among different initiatives in budgeting is more critical than that in planning.

In the current situation, along with the recurrent block grants and the LGCDG, a number of funding schemes coexist. The interviewed sector program officials admitted that, for achieving the national goals, appropriate budgets should be secured at the LGA/community level. However, this coexistence of various funding sources generates inefficiency in terms of legitimate and equitable fund allocation to the community level. For instance, the activities included in the Community Plans are not implemented according to their priority due to

ear-marked allocation of sector funds. In many cases, education components of the Community Plans are more easily implemented than activities in other sectors due to a relatively larger amount of ear-marked budget of the education sector.

Meanwhile, progress has been made in the harmonization of sector programs with the LGCDG system. According to an annual assessment report of the LGCDG system<sup>1</sup>, currently, two sector programs are being implemented through the LGCDG system; the Agricultural Sector Development Programme (ASDP) and the National Framework for Urban Development and Environmental Management (UDEM). In addition, the grant of the National Rural Water Supply and Sanitation Programme is allocated under the discretionary CDG and CBG.

Sector program officials have pointed out that the grant system to LGAs has still been in transition and the fiscal transfer system of financial decentralization has been in a remarkable progress, but, at the LGA level, fiscal capacity of revenue collection and human resources in terms of budgeting/implementation capacity and the number of staff are still behind.

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<sup>1</sup> PMO-RALG (April 2007), *Annual Assessment of Minimum conditions and Performance Measures for Local Councils under the LGCDG System for Financial Year 2007/08 National Synthesis Report*.



### 3 CURRENT STATUS OF O&OD ROLL-OUT

#### 3.1 Outline of Field Study on Current Status of O&OD Roll-out

To understand the current status of the O&OD roll-out and identify challenges in the roll-out process, the field study was conducted through observation of the entire roll-out process and informal interviews with key informants during the O&OD roll-out in Monduli DC and Moshi MC from August to October 2006. To carry out the field study particular attention was paid on how the roll-out process should be improved in the light of establishment and institutionalization of an R&B mechanism.

#### 3.2 Issues Identified through Field Study

Through the field study, the Team identified issues to tackle with from the two perspectives: structural issues and functional issues. Structural issues derive from external factors or factors related to cultural and institutional subsystems which cannot be directly improved through the efforts of modifying the O&OD process. In contrast, functional issues derive from internal factors that could be improved through the efforts of optimizing the O&OD process. The following are the issues identified in those two categories:

##### *Structural Issues*

- Insufficient Political Supports
- Low Understanding of Heads of Departments in LGA
- Lack of Sector Coordination due to Sectionalism
- Weak Community Leadership

##### *Functional Issues*

- Need of Outcome Oriented Focus
- Inadequate Quality of Community Plan
- Insufficient Capacity of Facilitators
- Limitation in Involving Community Members

In addition, the Team identified functional issues in specific terms as the basis of preparing concrete proposals for the improvement of the O&OD participatory planning as follows:

##### *Functional Issues in Specific View*

###### *District/Ward Facilitators Training*

- Lack of Elaboration of Policy Issues
- Insufficient Explanation about Monitoring and Evaluation
- Lack of Definition of How to Incorporate Community Plans into LGA Plan
- Inefficient Pre-visit to Village/Ward

###### *Community Planning Process*

- Invisible Picture of the Output at Launching of Community Planning Process
- Inappropriate Selection of Community Resource Persons
- No Sharing of Focus Group Discussion
- No Validation Process of Community Data
- Lack of Prioritization Covering All Specific Objectives

#### 3.3 Findings

Beyond the identified issues, the Team found out some remarkable aspects which should be fully considered for the improvement of the O&OD.

##### Community Empowerment:

The Team reconfirmed that the O&OD participatory planning methodology is a comprehensive methodology to empower community to identify opportunities and obstacles. A salient feature of the O&OD is its well-designed process of enhancing capacity of district and ward officers (who act as facilitators) and community and it is embedded within the administrative system of the LGA. The sensitization role of the O&OD is another salient feature. During the O&OD

roll-out, the participants are sensitized and become aware of essential concepts in community development. The O&OD in this regard is not only a tool for capacity enhancement in planning but an integral tool to foster awareness and capacity enhancement in planning at the same time.

The alternative view however is that the O&OD planning process has been placing emphasis on the process of planning as seen in its strength of the well-designed planning methodology and the sensitization role. The next challenge thus should be placing more emphasis on outcomes of the O&OD roll-out, maintaining existing quality in the planning process.

#### Functional Issues to be Tackled with Quality Facilitation and Methodological Refinement:

The functional issues could be overcome either by improving quality of facilitation or refining the methodological aspect of the O&OD. To improve quality of facilitation, two ways could be possible: i) improving selection of facilitators; and ii) improving the ways of facilitation. To refine the methodological aspect, two areas should be considered: i) placing more emphasis on quality outcome; and ii) strengthening a linkage to the post roll-out stage. These two areas of concern are important for the methodological refinement since they directly contribute to establishment of an R&B mechanism.

#### Structural Issues to be Tackled with Social Preparation and Optimization of Administrative and Political Environment

Overcoming functional issues could improve the O&OD roll-out and post roll-out situations to some degree. However, only coping with the functional issues may not be able to bring dramatic improvements in the O&OD roll-out and post roll-out situations since structural issues are fundamentally hindering further improvement of the situations. Two fundamental changes appear to be necessary to overcome those structural issues: i) improving social acceptability of community; and ii) getting rid of administrative and political rigidity. Social acceptability of community is in other words “Social Preparation” with which community is able to judge legitimacy of the approach from outside and thus the community is able to contextualize the approach into its social circumstances. Administrative and political rigidity for instance is vested interests of the sector ministries and politicians, inflexibility of bureaucratic apparatus, limitation of administrative responsibilities and so on.

Those two fundamental changes are inevitably relevant to structural issues due to their nature. It is ideal if those two changes are realized but they are not easily achieved. In particular, administrative and political rigidity is very difficult to get rid of only within the efforts of the O&OD improvement since it is fated to a large degree according to administrative and political leadership. On the other hand, “Social Preparation” could be introduced by embedding the concept in the O&OD methodology and facilitation at all levels.

## **4 CURRENT STATUS OF POST O&OD ROLL-OUT**

### **4.1 Outline of Field Study on Current Status of Post O&OD Roll-out**

The Study emphasizes establishment and institutionalization of a Review and Backstop (R&B) mechanism. To understand post O&OD roll-out status the field study was carried out through in-depth interviews with stakeholders at different administrative levels from July to September 2006. The focus of the field study was to identify challenges that the LGA and the LLGA are facing and to establish a basis of preparing tentative proposals for the R&B.

The study area included Bagamoyo DC, Kibaha DC, Hai DC, Rombo DC, Mbeya CC and Mbeya DC. Sample villages and ward were randomly selected from these LGAs. In the case of the rural LGA, one village in each of two wards was selected from one LGA. In the case of the urban LGA on the other hands, two wards were selected from the sample LGA.

### **4.2 Issues Identified throught Field Study**

Based on the qualitative data collected at different levels, the results were analyzed in three folds: i) an analysis on different administrative levels; ii) analysis on the relation between community incentives with external supports; and iii) a comparative analysis on rural and urban settings. The following summarizes the results of analyses.

#### Analysis on Different Administrative Levels:

##### *Village Level*

It appears that where community activities are actively carried out under community's initiative, review of the Plan is proactively practiced, and vice versa. For instance, the sample villages in Hai DC and Rombo DC have been annually reviewing the Community Plan with their own initiative. Those villages are at the same time maintaining financial transparency and accountability by routinely providing the financial statement at the Village Assembly. Moreover, in those villages, village resource persons are actively facilitating implementation of the Community Plans. Furthermore, those villages are able to collect revenue from their own resources though types and amounts of revenue vary. On the other hand, it is also the fact that the R&B has never happened in the sample villages in Bagamoyo DC, Kibaha DC, and Mbeya DC. District and ward officers have barely visited the sample villages in Bagamoyo DC and Kibaha DC to discuss the progress of the Community Plan implementation and the villages have never reviewed the Plan in the past.

The individual responses from villagers clearly indicate some prominent aspects of the current post O&OD roll-out status. First, the O&OD roll-out had an impact to a certain degree on their positive perception toward importance of the Community Plans. In fact, all of those who show their positive perception toward its importance participated in the O&OD roll-out. Second, some interviewees were aware that they were taking part in implementation of the Plan even if they did not participate in the O&OD roll-out. They were aware of logicity between village activities and the Plan through participation in the implementation as well as exposure to sufficient information through the Village Assembly. Third, some interviewees have never seen the Plan although they participated in the O&OD roll-out process. Some of the interviewees are not literate but it is also the fact that those who are literate have not seen it either. It implies that the Community Plan is not properly shared with villagers after approval by the Village Assembly.

### *Ward Level*

The results of interview with ward officer shed light on some critical aspects. First, it appears that the Community Plans are not necessarily the basis to decide allocation of the Capital Development Grant (CDG). Among the sample wards, six wards received the CDG and all of them utilized the Grant for the construction of secondary schools. However, secondary school construction was not included as a high priority activity in many of the Community Plans. Second, it appears that where villages have reviewed their Plans, the ward officers have also been visiting the villages for backstopping. According to the villagers' collective responses, all of the four villages, where Plans have been reviewed, are visited by ward officers. During the interviews, those ward officers even showed their confidence in their capacity to support villages to implement and monitor the Plan. Therefore, monitoring by ward officers appears to be a promoting factor positively influencing community's initiative on reviewing the Community Plan.

### *LGA Level*

Through the interviews with district officers, the team observed among others difficulty of incorporating Community Plans into the LGA Plan. Although all LGAs have their LGA Plans, they are not necessarily made up of Community Plans. Although many of the sample LGAs responded that they were manually sorting out the Community Plans by sector after going through them one by one, it is not difficult to imagine a tedious process of manually sorting out a numbers of Community Plans by sector and reproducing a number of copies for each sector division of the LGA to review and compile. Most of the sample LGAs in fact emphasized during the discussion the necessity of establishing a database system to compile community data for planning and budgeting.

### Analysis of the Relation between Community Incentives and External Support:

In the analysis of the relation between community incentives and external supports, two substantial issues are examined: i) the relation between facilitation and incentives to review the Plan, ii) the relation between financial assistance and incentives to review the Plan. In the first analysis, the result shows a significant pattern in the relation between the review by villagers and the supports from the officers. Those sample villages in Hai DC and Rombo DC, which have reviewed their Community Plans, have been exclusively supported both by Ward and LGA officers. In the second analysis, the result shows that villagers are not necessarily motivated only by external resources. In fact, different funding initiatives have supported to a large extent some of the sample villages which have never reviewed the Plan and also those villages which received relatively smaller amount of funds include not only those which have not reviewed the Community Plan, but also those which have reviewed. It could be concluded that villagers are not motivated only by external resources but also self-motivated in order to improve the situation of their villages.

It is worth mentioning that interviewees in Mbeya CC and Mbeya DC supported by area-based initiatives of an international donor showed their attitude toward dependency on external resources. In fact, only interviewees in Mbeya CC and Mbeya DC showed their explicit dependency on external resources and even community contribution in the sample communities of those two LGAs has been relatively low. This implies that the area based support might hinder to a certain extent the O&OD principle to promote community initiatives.

### Comparative Analysis on Rural and Urban Settings:

Some differences between rural and urban settings were observed. First, commitment of communities to their development activities in the rural setting seems higher than that of the urban setting. Second, decisions made in communities of the urban setting are more centrally controlled than those of the rural setting. It could be partially due to the lower level of commitment and higher expectation to the government supports for community development in the urban setting.

### **4.3 Implications**

Standing on the analysis, the field study identified six areas of implications as follows.

#### Awareness of Community and LGA of Importance of Review and Backstop

The results of the field study show an overall trend toward low awareness of importance of the Review and Backstop (R&B). The Study Team however recognized the potential of establishing a R&B mechanism as per the fact that the four sample villages in Hai DC and Rombo DC have reviewed the Plan under their initiative. This is commendable and at the same time it provides the evidence for feasibility of establishing the R&B mechanism.

#### Commitment to Community Development through Community Plan

Commitment to community development through implementation of the Community Plans depends on how seriously community recognizes the Plan as a means to improve community livelihood. Two ways are identified through the field study. One way is the recognition that the Community Plan is a means to promote community initiatives which then facilitate the improvement of community livelihood (Type 1). The other is the recognition that the Community Plan is a means to acquire external resources which facilitate the improvement of community livelihood (Type 2).

#### Incentives of Community to Implement and Review the Community Plan

Incentives of community to implement and review the Plan relate to how community people recognize meaningfulness of the Plan, which relates the two ways of recognition discussed above. Based on the two ways, incentives could be described as follows based on the observation from the field study. Incentive for Type 1 is an actual feeling of the improvement of community through implementation of the Community Plan. This actual feeling or solid sense motivates community members to contribute own resources to further improvement of the community and to review the Plan in order to reflect changes of priorities in the Community Plan. Incentive for Type 2 is an experience of seeing physical improvements through external resources under minimum efforts by community people. This experience motivates people to acquire more external resources. Those two types of incentive more or less exist concurrently in any community when the Plan is prepared. The promotion of R&B hinges at least on these two incentives of community people.

#### Horizontal and Vertical information Sharing

Information sharing is vital for all stakeholders at different administrative levels to have common understandings. However, the current status of information sharing at community level appears to be insufficient. Results of the individual interview with community people show that among those who participated in the O&OD roll-out, 11 out of 24 have never seen the final version of the Community Plans approved by the Village Assembly, and only 1 out of 10

sample villages is displaying the Plan in the public place. In addition, information sharing from the LGA to community people also appears to be insufficient particularly regarding the CDG. In the 6 sample wards which have received the Indicative Planning Figure (IPF), villagers did not understand the question whenever the Team asked if they were informed of the IPF. This means that they were not even aware of the CDG and so the IPF. Since Village Chairpersons are supposed to be informed of IPF at the WDC, information flow from the Village Chairpersons to community people could be the weakest.

#### Technical and Physical Capacity

Through the field study, necessity of capacity building both for technical and physical aspects was confirmed from voices of interviewees at all administrative levels. Technical capacity in this case is skills and knowledge of the R&B. This is a natural desire since the R&B mechanism is not yet clearly defined as an established process. Physical capacity includes sufficient transport means and stationery for facilitation and monitoring, appropriate space to maintain documents, and all other material supports enabling optimization of the technical capacity. The question is “should all aspects of physical capacity shortage be treated?” Physical capacity shortage has long been persistent particularly in the rural area. This matter should be treated carefully in order to maximize existing resources. The Study Team, on the other hand, identified among others a need for establishing a database to sort out the information included in Community Plans and compile it as a component of the LGA Plan. The reason is simple. Without a solid incorporation process, the needs of the community cannot really be reflected in the LGA Plan so as in the budget at the LGA level.

#### Structural Issues

The Team observed through the field study mainly two structural and substantial issues to take into account in order to establish tentative proposals for improvements of the O&OD. First, the Community Plan is inclusive of all village activities of high priority since it is to deal with community improvement regardless of sector. Due to this inclusiveness, the Community Plan includes the activities in different initiatives (such as TASAF and the PEDP). Since different initiatives finance the activities based on the priority of their own, the Community Plans as a result are not implemented according to its priority. Second, in contradiction to the rising importance, the CDG is not allocated to the Community Plans. As evidenced in the prior analysis, the Community Plans are not necessarily the basis to decide allocation of the CDG at the WDC. In order to avoid undermining the positive aspects of the LGCDG which extend bottom-up decision making, appropriate measures should be taken.

In the end, to make use of meaningful experience of participatory planning which will have accumulated in all LGAs throughout the country, the approach should be more outcome-oriented to make the O&OD continuous and sustainable practice. The R&B should thus be stressed not only in the post roll-out stage but also from the O&OD roll-out stage.

## 5 TENTATIVE PROPOSALS FOR IMPROVEMENT OF O&OD

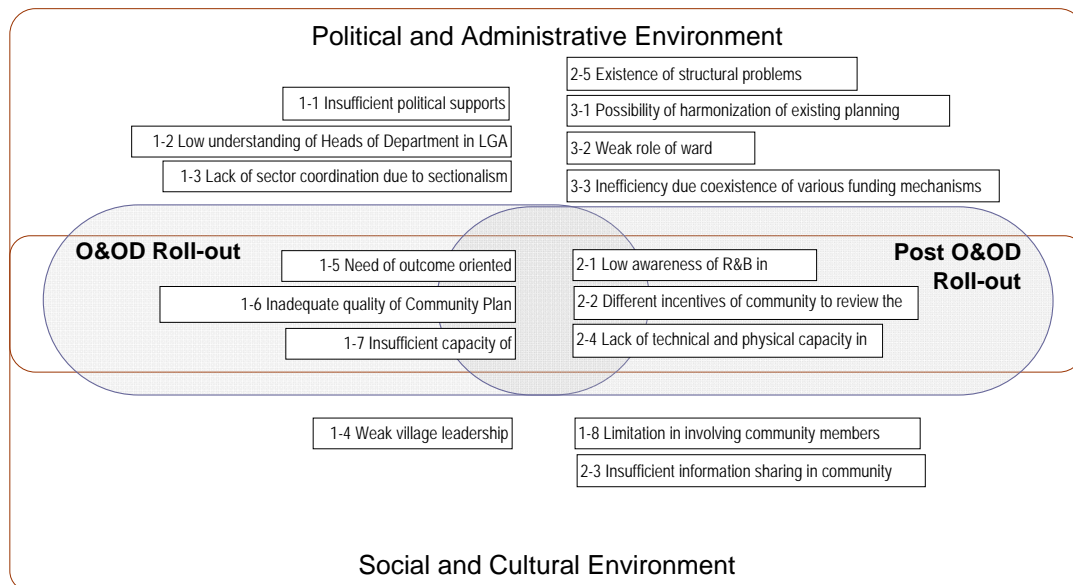
### 5.1 Summary of Findings

This Chapter proposes a tentative framework for improvements of the O&OD, based on the findings of the studies on current status of planning and budgeting of other initiatives, the O&OD roll-out, and post O&OD roll-out status. Table 5.1 summarizes major findings through the studies.

Findings from the previous desk and field studies are categorized into three groups: i) factors directly affecting the O&OD roll-out and R&B (or post roll-out); ii) political and administrative factors constraining/promoting the O&OD roll-out and R&B; iii) social and cultural factors constraining/promoting the O&OD roll-out and the R&B. Figure 5.1 shows the relation among those factors.

**Table 5.1 Major Findings out of the Field Studies**

Major Findings from Different Perspective	
<b>O&amp;OD Roll-out</b>	
1-1	Insufficient political supports
1-2	Low understanding of Heads of Department in LGA
1-3	Lack of sector coordination due to sectionalism
1-4	Weak community leadership
1-5	Need of outcome oriented focus
1-6	Inadequate quality of Community Plan
1-7	Insufficient capacity of facilitators
1-8	Limitation in involving community members
<b>Post O&amp;OD Roll-out</b>	
2-1	Low awareness of R&B in general
2-2	Different incentives of community to review the Plan
2-3	Insufficient information sharing in community
2-4	Lack of technical and physical capacity in R&B
2-5	Existence of structural problems
<b>Planning and Budgeting System</b>	
3-1	Possibility of harmonization of existing planning systems
3-2	Weak role of Ward
3-3	Inefficiency due to coexistence of various funding mechanisms



**Figure 5.1 Identified Factors in Categories**

## 5.2 Tentative Proposals

Bearing in mind above considerations, the Study Team prepared tentative proposals for the improvement of the O&OD planning process based on the analyses of two field studies explained in the previous chapters. The tentative proposals are summarized in Table 5.2 below.

**Table 5.2 Tentative Proposals for Improvement of O&OD Planning Process**

Three Pillars of Strategic Areas	Strategic Goals	Specific Goals
1 Improving O&OD Roll-out Process	1.1 Assuring Quality of Facilitation	1.1.1 Optimizing arrangement of District Facilitators (DFs)
		1.1.2 Optimizing arrangement of Ward Facilitators (WFs)
		1.1.3 Selecting functional Community Resource Persons
	1.2 Improving Roll-out Methodology	1.2.1 Front-loading preparation stage
		1.2.2 Increasing effectiveness of Orientation Training
		1.2.3 Increasing effectiveness of Awareness Raising Workshop
		1.2.4 Increasing effectiveness of DFs/WFs Training
1.2.5 Increasing effectiveness of Community Planning Process		
2 Establishing Review and Backstop Mechanism	2.1 Building Capacity of Facilitators	2.1.1 Sensitizing stakeholders on importance of R&B
		2.1.2 Strengthening monitoring and facilitation capacity of DF, WF and CRP
	2.2 Incorporating Community Needs into LGA Plan	2.2.1 Establishing database system to compile Community Plans into LGA plan
		2.2.2 Strengthening capacity of Ward to compile Community Plans
		2.2.3 Strengthening function of LGA to compile Community Plans
3 Promoting Enabling Environment for Effective O&OD Roll-out and R&B	3.1 Promoting Social Preparation	3.1.1 Improving governance
		3.1.2 Raising incentives of community to implement and review Community Plans
	3.2 Promoting Policy Environment	3.2.1 Strengthening funds flow to Community Plans
		3.2.2 Harmonizing other initiatives with O&OD



## 6 TESTING OF IMPROVED O&OD ROLL-OUT

### 6.1 Outline of O&OD Roll-out Testing

In order to verify the tentative proposals prepared at an early stage of the Study, the O&OD roll-out testing was carried out from April to June 2007 in Karatu DC, Tanga CC, and Pangani DC. The 18 testing measures, including comparison with the original approach, are summarized in Table 6.1 below.

Table 6.1 Testing Measures (compared with the original approach)

	Testing Measures (Improved Approach)	Original Approach
1	<i>Increased number of WFs to 5</i>	Only 3 WFs were included.
2	<i>Selection of Appropriate CRPs (emphasis on selection criteria and roles, especially in R&amp;B)</i>	CRPs were 'treated' just like other focus group members, and their roles were not emphasized.
3	<i>Improving sensitization prior to roll-out. To improve on information flow between LGA and community – both timing, and outreach.</i>	Sensitization was done, but it was late, and outreach was, in most cases, not good.
4	<i>Exposing NFs to new concepts – particularly R&amp;B and social preparation</i>	R&B and Social Preparation was not included in NF orientation.
5	<i>Emphasis on R&amp;B during ARW</i>	R&B was not included in ARW.
6	<i>Emphasis on Councilors' role during ARW</i>	During ARW the role of Councilors was just mentioned 'on passing' due to the tight schedule (only 1 day ARW).
7	<i>Improved organization of ARW: 2 days ARW, with introduction of brainstorming session and group-works.</i>	ARW was held in 1 day, and it was mainly dominated by presentations by the NFs.
8	<i>Emphasis on R&amp;B during DFT/WFT</i>	R&B was not included in DFT/WFT.
9	<i>Inclusion of topic on Planning and Budget in WFT</i>	Topic on planning concepts was not included in WFT.
10	<i>Extension of DFT – to 8 days</i>	DFT was held for 7 days (including 1 day pre-visit).
11	<i>Extension of WFT – to 7 days (including 1 day pre-visit)</i>	WFT was held for 5 days, and WFs were not participating in pre-visit.
12	<i>Effective use of pre-visit</i>	Pre-visit was shallowly done, and very little was discussed regarding sensitization of community.
13	<i>Including Social Preparation in CPP: 2 days for community sensitization</i>	Community sensitization was not part of CPP.
14	<i>Selection of relevant objectives from TDV 2025 by the community</i>	Community had to use all objectives from TDV 2025 (Total 13 from the targets 1 and 2).
15	<i>Prioritization to be done across all Specific Objectives</i>	Prioritization was done among Specific Objectives under each of 13 objectives of TDV 2025.
16	<i>Inclusion of Specific Objectives of high priority in Three-Year Plan</i>	Three-Year Plan included only the 'top ranked' Specific Objective from each objective of TDV 2025.
17	<i>Extension of CPP - to 12 days</i>	CPP used to take 9 days.
18	<i>Sector-wise compilation of Community Plans at Ward using Simple Format</i>	Sector-wise compilation of Community Plans at Ward level was not done.

The measures outlined in Table 6.1 were tested at different stages of the O&OD process, which are: 1) Preparation; 2) Orientation of National Facilitators; 3) Awareness Raising Workshop (ARW); 4) District Facilitators Training (DFT); 5) Ward Facilitators Training (WFT); and 6) Pre-visit and Community Planning Process (CPP).

## 6.2 Testing Results

The methodology used during the O&OD roll-out testing was twofold: intensive observation of the process by the Team members; and interviews with relevant stakeholders during and after key steps and activities of the process. Based on the qualitative data collected through the observation and interviews, the Study Team evaluated the adopted testing measures in the light of three criteria: relevance, effectiveness and sustainability. The evaluation results are summarized in Table 6.2.

**Table 6.2 Evaluation of Results**

	<b>Testing Measures</b>	<b>Relevance</b>	<b>Effectiveness</b>	<b>Sustainability</b>
1	Increased number of WFs (to 5)	Training more ward officers as WFs is relevant as they are the ones to support the community with the implementation of the plan.	The increase in the number of WFs was generally effective but wide sector coverage could be beneficial only in the future, not during CPP.	Sustainability depends on the availability of ward officers. Also, training of VEOs and MEOs as WFs could help to strengthen ownership of the planning process.
2	Selection of Appropriate CRPs	This measure is relevant since the CRPs could play an important role especially in R&B.	Contribution by CRPs during the CPP differed considerably from community to community. It depended on the capacity and commitment of selected CRPs as well as the facilitation skill of facilitators.	The role of CRPs with their selection criteria should be included in the O&OD manuals, as the facilitators heavily rely on these documents.
3	Starting Sensitization prior to the Roll-out.	This measure is relevant, since information flow is necessary for a successful process.	Effectiveness of this measure could not be assessed since there was not enough evidence of sensitization at the preparation stage.	Sustainability cannot be evaluated since not much has been done to make this measure operational.
4	Exposing NFs with New Concepts (particularly R&B and social preparation)	This measure is relevant since NFs needed training to internalize these new concepts.	The new concepts were successfully incorporated and emphasized during the NF orientation.	For NFs to fully understand the concept and procedures of R&B they should be trained further, preferably together with practical experiences.
5	Emphasis on R&B during ARW	This measure is relevant, since ARW brings together also the HoDs who have a key role to play in the sustainability of CPP.	The measure was effective, since the NFs successfully facilitated the ARW participants on R&B, and the understanding was satisfactory.	As long as NFs understand the concept of R&B and the topic is included in ARW, this measure can be sustained.
6	Emphasis on Councilors' Role during ARW	Councilors' involvement from the beginning is relevant so that they will support the process instead of opposing it.	This measure was effective, and councilors were successfully sensitized to play active role in the process.	As long as NFs are facilitated to include this aspect during ARW, this measure can be sustained.
7	Improved Organization	This measure aimed at	2-day ARW with	This measure is

	Testing Measures	Relevance	Effectiveness	Sustainability
	of ARW:	improving the quality of participation of the Councilors and HoDs during ARW, and increases their understanding of participatory planning.	brainstorming and group-works was effective to promote deeper understanding on O&OD.	sustainable since NFs are capable of facilitating such workshops, provided the increased cost is secured by PMO-RALG.
8	Emphasis on R&B during DFT/WFT	This measure is relevant since R&B has to feature in both DFT and WFT, as an integral part of O&OD participatory planning.	R&B was effectively included in DFT/ WFT, and time was added for the DFT/WFT to accommodate this additional aspect.	Sustainability of this measure depends much on the completion and incorporation of R&B in the O&OD manuals.
9	(Inclusion of) Topic of Planning Concept in WFT	This measure is relevant since it is meant to equip the WFs with the necessary concepts on planning and budgeting.	The changes were effectively included in the WFT schedule, and WFs' understanding of the concepts of planning and budgeting was satisfactory.	For sustainability, it would be important to update the O&OD manuals to accommodate the topic of planning and budgeting in WFT.
10	Extended DFT for 8Days for Theory Part	This measure is relevant as it is meant to accommodate new topics in DFT.	DFT was effectively carried out for 8 days (including 1 day pre-visit).	The O&OD Manuals should be revised to accommodate the changes.
11	Extended WFT for 7 Days for Theory Part	This measure is relevant because of the need to accommodate new topics in WFT.	WFT was effectively conducted for 7 days, including 1 day pre-visit.	The changes should be reflected in the O&OD manuals. Also, since WFT has the same content as DFT, it would be rational to harmonize the duration.
12	Effective Use of Pre-visit	This measure is relevant since it aims at raising awareness and understanding of the Community Leaders before O&OD is effectively launched.	Pre-visits were effectively carried out during the 4 <sup>th</sup> day of DFT and WFT, and participation by VC/ WDC members in the meetings was satisfactory.	This measure is sustainable provided the cost is secured by PMO-RALG.
13	Including Social Preparation in CPP	This measure is meant to raise awareness of the community members and improve their participation in participatory planning.	2-day social preparation was effectively utilized, and resulted in higher attendance in the launching assemblies compared to the previous roll-outs.	Social preparation will be sustainable since the methods used for sensitization are based on the existing community structures, traditions and culture.
14	Selection of Relevant Objectives from TDV 2025 by the Community	This measure is relevant since Communities do not necessarily need to utilize all the TDV 2025 objectives for their plans.	The facilitators clearly understood the concept, and they adequately clarified to the community members during the pre-visit when the selection was done.	For sustainability, this change should be accommodated in the O&OD manuals. Also, it would be useful to include this aspect in the review process.
15	Prioritization of all Specific Objectives (it is to be done across all Specific Objectives)	This measure is meant to provide for a simple and comprehensive way to rank community	This measure proved to be quite effective since the concept was internalized well by the	For sustainability, it would be necessary to incorporate this aspect into the O&OD manuals.

	Testing Measures	Relevance	Effectiveness	Sustainability
		priorities.	facilitators, and prioritization was successfully done in all the 3 LGAs.	
16	Including Specific Objectives of High Priority in the Three-Year Plan	This measure is meant to simplify the incorporation of community's top ranked priorities in the TYP.	The facilitators understood the idea satisfactorily, and they facilitated the VC/WDC properly during the preparation of Draft TYP.	This change should be reflected in the O&OD manuals.
17	Extension of CPP for 12 Days	This measure is relevant since it is meant to accommodate the new aspects in the CPP.	The extension was effectively utilized for social preparation and sector-wise compilation of Community Plans using simple format at the ward level.	For sustainability, this change should be incorporated in the O&OD manuals. Also, the cost of including additional days in CPP needs to be secured for this measure to be sustainable.
18	Consolidation of Community Plans at Ward Using Simple Format (Sector-wide compilation of Community Plans at Ward using Simple Format)	This measure is relevant since it provides for a simplified tool to take community needs to the LGA plan.	Sector-wise compilation of Community Plans at the ward level was successfully done in all 3 LGAs.	For sustainability, capacity strengthening at ward is important. Also, this new aspect should be included in the O&OD manuals.

### 6.3 Implication for Refinement of Tentative Proposals

Based on the evaluation of testing results, implications for refinement of the tentative proposals by Specific Goal are drawn as shown in Table 6.3 below:

**Table 6.3 Implications for Refinement of Tentative Proposals**

S/N	Specific Goals	Implication
1.1.1	Optimizing arrangement of DFs	<ul style="list-style-type: none"> <li>DFs are currently arranged based on their specialty, gender and facilitation skills. There seem to be no room to further optimize the arrangement, except emphasizing on the adherence to the current procedures.</li> </ul>
1.1.2	Optimizing arrangement of WFs	<ul style="list-style-type: none"> <li>Due to a shortage of ward extension officers, several Village Executive Officers (VEOs) and <i>Mtaa</i> Executive Officers (MEOs) could be appointed as WFs. The inclusion of these officers from the community level could help to increase community ownership of the planning process</li> <li>Wider sector coverage following inclusion of more WFs may contribute during implementation and the M&amp;E of the community plan, but not necessarily assure quality of facilitation during planning.</li> <li>Ward Education Coordinators (WECs) could be included as WFs provided their involvement in the roll-out does not collide with their important duties such as supervision of national exams</li> </ul>
1.1.3	Selecting appropriate Community Resource Persons (CPRs)	<ul style="list-style-type: none"> <li>In order to select appropriate CRPs, their role should be clearly defined and communicated to both facilitators and the community. Currently there is no clear consensus over their roles and there is little difference between them and members of Focus Groups during the roll-out.</li> <li>In addition to selecting appropriate community members for CRPs, emphasis should also be made how to sensitize and train them during the planning process, so that they can become effective CRPs even in the review process</li> </ul>
1.2.1	Front-loading preparation stage	<ul style="list-style-type: none"> <li>For pre-sensitization, it will be more efficient to target not only the community or LGAs where O&amp;OD is about to be rolled out, but to target wider population through mass media using radio and TV broadcast, distributing posters and</li> </ul>

S/N	Specific Goals	Implication
		<p>reader-friendly pamphlets on O&amp;OD. In this sense, official launching will sensitize wider population very effectively</p> <ul style="list-style-type: none"> <li>For more significant impact at the community level, effective use of pre-visit should be emphasized instead of front-loading preparation stage</li> <li>Together with effective pre-visit one or two days of preparation/sensitization at the beginning of the CPP should be emphasized as measures of social preparation.</li> </ul>
1.2.2	Increasing efficiency of Orientation Training	<ul style="list-style-type: none"> <li>Apart from sensitizing NFs on R&amp;B, "Increasing efficiency of the NF Orientation" should remain as a Specific Goal emphasizing importance of NFs' role in the cascade system. Concrete ways of increasing efficiency of the NF Orientation should be added such as including more hands-on activities, group discussions as well as use of revised O&amp;OD manuals and other reference documents.</li> </ul>
1.2.3	Increasing efficiency of Awareness Raising Workshop	<ul style="list-style-type: none"> <li>Improved organization of the ARW by including group works and discussions should be emphasized since it improves participants' understanding in (and commitment to) the planning through active participation during the workshop.</li> </ul>
1.2.4	Increasing efficiency of DFs/WFs Training	<ul style="list-style-type: none"> <li>If the topic on 'Planning Concept' is included in the WFT, this will make the content of the DFT and the WFT be exactly the same, therefore the duration of the DFT and the WFT should also be the same.</li> <li>Pre-visit could also serve to evaluate facilitators' understanding and facilitation skills (both DFs and WFs).</li> </ul>
1.2.5	Increasing efficiency of Community Planning Process	<ul style="list-style-type: none"> <li>Two testing measures: 1) Effective use of pre-visit; and 2) Social preparation in the CPP, should be included as measures to increase efficiency of CPP</li> <li>The number of specific objectives included in the TYP should be limited up to 10 except those which can be carried out by the community without much support from outside</li> </ul>
2.3.3	Strengthening capacity of ward to compile Community Plans	<ul style="list-style-type: none"> <li>Brief description or an example of the simple format should be included. The simple format should include activities but not inputs and cost. Inputs and cost can be more accurately prepared at the LGA level by technical staff.</li> </ul>
3.1.1	Improving governance	<ul style="list-style-type: none"> <li>In the testing, several VEOs and MEOs were included as WFs and it gave them a good opportunity to understand the community planning process. Including VEOs and MEOs as WFs during the roll-out should be added as one way of building capacity in community leadership.</li> <li>Two testing measures: 1) Effective use of pre-visit; and 2) Including social preparation in the CPP, were both found effective in promoting VC/WDC members to play active role in the planning process. These measures should be added as means of promoting governance.</li> </ul>

## 7 TESTING OF REVIEW AND BACKSTOP

### 7.1 Outline of Reveiw and Backstop Testing

The testing was carried out in Vigwaza Ward and Chalinze Ward in Bagamoyo DC from February to March 2007. The testing activities based on the tentative proposals prepared earlier in the study are summarized in Table 7.1 below.

Table 7.1 R&B Testing Activities

R&B Activities	Duration (day)	Place
1 Orientation of National Facilitators and Preparation of Testing	2	Dar es Salaam
2 Sensitization of Council Management Team (CMT)	2	Bagamoyo Town
3 Orientation of District Facilitators (DFs) and Ward Facilitators (WFs)	4	Bagamoyo Town
4 Review of Community Plan		
Step 1 Preparatory Village Council (VC) Meeting	1	Target Villages
Step 2 Sensitization on Review at Extra-ordinary Village Assembly (EVA)	1	Target Villages
Step 3 Re-planning the Plan by Focus Groups	3	Target Villages
Step 4 Prioritization and Preparation of Three-Year Plan (TYP) by VC	1	Target Villages
Step 5 Community Consultation of the TYP	3	Target Villages
Step 6 VC to Compile the TYP Based on Community Comments	1	Target Wards
Step 7 Technical Advice by Ward Development Committee (WDC)	1	Target Villages
Step 8 VC to Compile the TYP Based on Advice from WDC	1	Target Villages
Step 9 Endorsement of Community Plan at EVA	1	Target Villages
Step 10 Preparation of Minutes; Compilation of TYP; and Posting the Plan on the Notice Board	1	Target Villages
5 Consolidation of Community Plans	2	Target Wards
6 Feedback to Local Government Authority (LGA)	1	Bagamoyo DC

The activities started with the orientation of National Facilitators (NFs) by PMO-RALG officials. The NFs then sensitized and oriented Council Management Team (CMT) members and district and ward officers, who will work as facilitators, at the LGA level. Subsequently, those officers facilitated the Village Council (VC) to take an initiative on the review process of Community Plan. The reviewed Plans by community were directly submitted to the LGA, and at the same time to the ward level for compilation into simple formats which were tentatively pre-designed by the Team for the purpose of promoting incorporation of community needs into the LGA Plan.

### 7.2 Testing Results

During R&B activities, the Team intensively observed the process and at the same time interviewed relevant stakeholders at each juncture. Through observation and interview, the Team evaluated whether or not each of those R&B activities was feasible and appropriate, based on three criteria of relevancy, effectiveness, and sustainability.

Table 7.2 presents a summary of the quantified results of evaluation by activity and by criterion. The quantified results were consolidated by taking the mean value of the 5 evaluators (1 PMO-RALG official, 3 consultants, 1 NF of the O&OD Study Team) who filled a score (3 = to

large degree, 2 = to some degree, 1 = to very limited degree) in the cross-tab based on each of his/her evaluation results from observation and interviews with stakeholders.

As shown in Table 7.2, *Relevancy* of the testing activities is higher than *Effectiveness* and *Sustainability*. In other words, whereas the testing approach was appropriate to larger degree, outputs of testing activities were not necessarily effective and further efforts by the stakeholders were required to sustain the activities.

**Table 7.2 Quantified Results of Evaluation on Testing Activities Based on Three Criteria**

<b>Evaluation Criteria</b>	<b>Relevancy</b>	<b>Effectiveness</b>	<b>Sustainability</b>
Orientation of NFs	3.00	3.00	2.00
Sensitization of CMT members	3.00	2.00	2.00
Orientation of DFs/WFs	2.67	2.00	2.00
<b>Review of Community Plan</b>			
Step 1 Preparatory VC Meeting	3.00	2.00	2.00
Step 2 Sensitization on Review at EVA	2.67	2.00	2.00
Step 3 Re-planning the Plan by Focus Groups	2.33	2.00	2.00
Step 4 Prioritization and Preparation of TYP by VC	2.33	2.33	2.00
Step 5 Community Consultation of the TYP	2.67	2.00	1.33
Step 6 VC to Compile the TYP Based on Community Comments	3.00	2.00	2.00
Step 7 Technical Advice by WDC	3.00	2.33	2.33
Step 8 VC to Compile the TYP Based on Advice from WDC	2.67	2.67	2.67
Step 9 Endorsement of Community Plan at EVA	2.67	2.00	2.67
Step 10 Preparation of Minutes; Compilation of TYP; and Posting the Plan on NB	3.00	2.00	2.00
Backstop at Ward	3.00	3.00	2.50

3 = To large degree, 2 = To some degree, 1 = To very limited degree

NF: National Facilitator, CMT: Council Management Team, DF: District Facilitator, WF: Ward Facilitator, VC: Village Council, EVA: Extra-ordinary Village Assembly, TYP: Three-Year Plan, WDC: Ward Development Committee, NB: notice board

*Relevancy* of Step 3 (re-planning process) and Step 4 (prioritization and preparation of TYP) is comparatively lower than that of the other activities although most of the activities appear to be relevant showing high scores. Lower relevancy of Step 3 is attributable to the unexpected situation that the Three-Year Plan did not exist but only the Plans with objectives which are not prioritized in most of the target villages. Facing this situation, DFs and WFs were somehow confused in handling the process. On the other hand, lower relevancy of Step 4 is based on the facts that in some villages, all Specific Objectives were pair-wise ranked by mistake regardless of the goals under TDV 2025 although the facilitators were not oriented to do so.

*Effectiveness* is in general lower in comparison with *Relevancy*. This pattern is understandable when considering the disparity between what had been intended and what actually happened. In other words, the methodology itself cannot produce quality results without substantial performance of stakeholders including DFs/WFs as well as community members facilitated by them. Capacity of the DFs/WFs was in fact insufficient to produce satisfactory results in the testing activities. The insufficient capacity was however inevitable since it has been more than five years since Bagamoyo DC rolled out O&OD in 2002 and most of the DFs/WFs were new to be exposed to the O&OD concepts.

It is on the other hand remarkable to touch on the evaluation result of high effectiveness on “Backstop at Ward.” The activity of “Backstop at Ward” in this case is compilation of the Three-Year Plans into a simple format at ward level. The Team found that compilation was

effectively carried out by DFs and WFs and quality of the output, simple format by sector, was at satisfactory level.

*Sustainability* indicates relatively lower scores than *Relevancy* and *Effectiveness*. Mainly four major factors are negatively affecting evaluation results on sustainability: i) uncertainty of financial sustainability to continue the activities; and ii) insufficient capacity of DFs/WFs to continue the activities; iii) low awareness and commitment of stakeholders to the activities; and iv) methodological impairment.

### 7.3 Implication for Refinement of Tentative Proposals

Based on the evaluation of testing results implications for refinement of tentative proposals are consolidated as shown in Table 7.3 below.

**Table 7.3 Implication for Refinement in Specific Goals of the Tentative Proposals**

S/N	Specific Goals	Implication
2.1.1	Sensitizing stakeholders on importance of R&B	<ul style="list-style-type: none"> <li>The approach and stance for the first year and from the second year taken by PMO-RALG and the LGA for the sensitization of stakeholders on R&amp;B should be differentiated since it is obvious that the LGA does not have to continuously hold sensitization session in the same way as in the first year.</li> <li>Leadership of the LGA Director and the CMT should be emphasized. At the same time, importance of full participation of CMT members in the sensitization session should be stressed. It was obvious in the testing activities that without leadership of LGA Director and CMT members, commitment of DFs and WFs could not be elicited.</li> <li>NFs should also be considered as part of stakeholders to be sensitized. In the testing activity, the Orientation of NFs functioned not only to orient how they should facilitate DFs/WFs but also to sensitize them on importance of R&amp;B as well. Without sensitizing NFs, the sensitization of the CMT, DFs/WFs could not be carried out. How to select NFs at the same time could also be mentioned. In the testing activities, it was observed that NFs could have been better selected from different LGA in order for NFs to comfortably facilitate CMT members.</li> <li>Sensitization of the stakeholders should be more tangibly explained by adding clear description of exactly who is sensitized at what level. In the testing activities, sensitization was carried out through the Orientation of NFs, the Sensitization of CMT, the Orientation of DFs/WFs, the Preparatory VC Meeting (Step 1), and the Sensitization on Review at EVA (Step 2). Brief description of those steps could be incorporated as part of the paragraph.</li> </ul>
2.1.2	Strengthening monitoring and facilitation capacity of DF, WF and CRP	<ul style="list-style-type: none"> <li>Monitoring and facilitation as part of the responsibility of the LGA and those by community itself should be separately treated. In this regard, a separate Specific Goal, "Strengthening monitoring and facilitation capacity of DF and WF," and "Strengthening monitoring and facilitation capacity of CRPs," could be placed under <i>Building Capacity of Facilitator</i>. As part of the latter Specific Goal, CRPs should be particularly recognized as core function to be capacitated.</li> <li>It should be emphasized that the situation of the LGA differs according to the budget available, time spent after the roll-out, and the number of experienced DFs/ WFs. Therefore, the number of days taken for a review process depends on the LGA. Those LGAs which rolled out O&amp;OD in the early stage should pay a particular attention to how to make participants internalize Community Planning Process.</li> <li>The approach taken for capacity building of stakeholders in R&amp;B by PMO-RALG and the LGA in the first year and from the second year should be explained. As in the sensitization, the LGA may not have to hold an orientation session from the</li> </ul>



S/N	Specific Goals	Implication
		<p>second year.</p> <ul style="list-style-type: none"> <li>• Emphasis should be placed that the LGA should envision how to enhance their monitoring and facilitation capacity within the financial capacity of the LGA. In other words, the monitoring and facilitation capacity should be improved by the LGA and community in a continuous manner since the R&amp;B process is supposed to be owned by the LGA and community eventually. Approach from PMO-RALG might be necessary in the beginning when introducing R&amp;B concepts, and however the LGA should not expect continuous supports for establishment of R&amp;B.</li> <li>• Emphasis should also be placed on establishment of mutual trust among WFs, VC, CRPs and community. In the testing activity, it was uncovered that in some villages WFs were not trusted by the VC at all since he/she had never visited the village in the past. In order for WFs to be able to effectively facilitate the VC and CRPs, <i>Rapport</i> building should be the first thing to be carried out.</li> <li>• Participatory monitoring and evaluation (PM&amp;E) by community should be included as part of facilitation and monitoring by community. PM&amp;E could be introduced in the orientation of NFs and DFs/WFs who then orient the VC and CRPs to facilitate community to practice.</li> <li>• In the part of monitoring and facilitation capacity under the LGA responsibility, steps of review process might be briefly described. Steps including i) orientation of NFs, ii) orientation of DFs/WFs and iii) review process of Community Plan which could be based on the testing activities.</li> </ul>
2.2.1	Establishing database system to compile Community Plans into LGA Plan	<ul style="list-style-type: none"> <li>• “Establishing database system to compile Community Plans into the LGA plan” could be changed into “Establishing mechanism of compiling Community Plans into LGA plan” in which short-term and long-term perspectives should be considered separately. In the short-term perspective, adoption of a simple format should be emphasized while in the long term, a necessity of a study should be emphasized in order to explore possibility of utilizing existing database system to compile Community Plans into the LGA plan. In the study, existing database systems first should be gone over thoroughly from the technical point of view and then the possibility of integrating information in the TYP should be examined.</li> <li>• Functional aspects of the simple format should be briefly explained. Functional aspect particular means what items are appeared in the format, how the TYP is integrated into the format and how the LGA should treat the formats.</li> </ul>
2.2.2	Strengthening capacity of ward to compile Community Plans	<ul style="list-style-type: none"> <li>• This specific goal should be integrated with the following specific goal “Strengthening function of LGA to compile Community Plans” since the role of the Ward should be within the LGA administrative structure.</li> <li>• Although the restructuring of the specific goals are suggested above, strengthening capacity of WEO and ward extension officers for various sectors needs to be emphasized. The reason for the necessity of strengthening capacity of ward officers is that they are front-line workers of the LGA who are supposed to be able to directly facilitate the VC knowing better about community issues. In the current situation however, they are not fully functioning to this end.</li> </ul>
2.2.3	Strengthening function of LGA to compile Community Plans	<ul style="list-style-type: none"> <li>• As recommended above, the Specific Goal “Strengthening function of LGA to compile Community Plans” should be integrated with the one above.</li> <li>• It should be stressed that this Specific Goal is somehow dependent on the establishment of the database system to compile community needs into the LGA Plan. A study should be carried out at the first place as explained.</li> </ul>

S/N	Specific Goals	Implication
3.1.1	Improving governance	<ul style="list-style-type: none"> <li>• “Social preparation” should be defined somewhere in the text. It might be appropriate to change the terminology into a static expression in this context such as “social preparedness” as an ideal state to achieve.</li> <li>• This specific goal should be divided into two goals. The one goal should remain as the same title “Improving governance,” under which community leadership and transparency and accountability issues should be treated. On the other hand, the other goal should be to strengthen the networking among all levels.</li> <li>• Brief description of what is social preparation should be included somewhere within or outside the text wherewith the relation of the specific goals with social preparation could be seen.</li> <li>• A means to promote transparency and accountability such as installation of a notice board and a suggestion box should be suggested in the text. In the testing, effectiveness of the notice board and the suggestion box was confirmed. Thus, stress should be placed that the notice board is supposed to be elected at each village as stipulated by law.</li> <li>• Some key words of social preparation such as “self-awareness”, “readiness of collective action”, and “acceptance of changes” should be enchased.</li> </ul>
3.1.2	Raising incentives of community to implement and review Community Plan	<ul style="list-style-type: none"> <li>• Connection between incentives of community with social preparation should be elaborated. Incentives of community could promote social preparation in such a way that access to information on external resources triggers community to take collective action.</li> <li>• It should however be stressed that disseminating information on external resources always has a risk that dependency syndrome of community could be nurtured. In the worst case, the contents and prioritization in the Community Plan are influenced with expectation of receiving the external funds. Therefore, the timing and way of disseminating such information on external resources should be carefully handled by the VC and at the same time WFs should adequately explain such a risk to the VC.</li> </ul>

## 8 PROPOSALS FOR IMPROVEMENT OF O&OD PLANNING PROCESS

The following section confirms values of the O&OD planning process, and presents the proposals and action plans resting on the results and the values.

### 8.1 Values of O&OD Process

The results of the Study clarify intrinsic values of the O&OD process. The followings summarize those values of the O&OD in the four areas.

#### *Good Governance*

Good governance is one of the significant aspects that the O&OD planning process promotes particularly through improvements of transparency and accountability at community level. In fact, the O&OD planning process naturally subsumes the transparency and accountability aspect in its process. The O&OD planning process for instance requires in the CPP that VCs/WDCs expose a revenue and expenditure statement which becomes part of bases to prepare a Community Plan.

The Study Team further expanded this value of the transparency and accountability during the testing activities of R&B in Bagamoyo DC through introduction of the *Social Preparation* concept, under which VC/WDC first confirmed implementation status of the existing Community Plan and revenue and expenditure of the community, and then exposed them to the community members utilizing a notice board. The Team confirmed after few months that the VC had been establishing mutual trust with the community members, who were actively participating in implementation of their activities under the leadership of the VC. In this manner, the O&OD has potentiality of promoting good governance to a substantial extent.

#### *Social Capital Formation*

Social capital formation is another aspect that the O&OD planning process promotes. Social capital is generally recognized as the value of social network and the aspirations that arise from those networks to collaborate and co-operate each other<sup>2</sup>. Social capital in other words is fundamental to effective implementation of their projects/activities in a sustainable manner.

In the O&OD context, social capital formation is promoted when community members become aware of importance of having common goals in the community and implement the activities aiming at the goals in a collective manner. In this regard, social capital is promoted to a large extent through social preparation during the CPP which let the communities to be aware of their challenges, ready to accepting new ideas, and ready to make a collective action. Becoming socially prepared the community members gradually foster mutual trust among them so as to build up social network to make a collective action.

Since social capital is a solid basis to assure effectiveness of community activities, it is conducive to a large extent to the effective use of funds provided either by insiders or outsiders of the community for their projects/activities. From funders' point of view, the O&OD planning

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<sup>2</sup>The notion of social capital has existed at least since 60's but it has been defined in the international development arena since 90's. It is still being developed by various academicians.

process therefore could be fairly valuable in this regard.

### ***Promotion of Collaborative Effort***

The O&OD have a potential to promote collaborative efforts among/in between various initiatives at community level. Those initiatives include sector-wise and subsector-wise initiatives as well as individual programs or projects, having specific sector/sub-sector and/or geographical areas of concern. On the other hand, the Community Plan prepared in the O&OD planning process is multi-sectoral and no geographical concern. In this respect, it is the only nation-wide approach which enables communities to come up with their priority in a comprehensive manner.

This saliency of the O&OD plan can be maximized when other initiatives follows prioritized *Specific Objectives* and *Steps of Implementation* in the Community Plan. This is in other words a state of collaboration between the Community Plan and other initiatives since they are complementary to each other in the sense that the Community Plan utilizes technical feasibility of other initiative while other initiatives utilize the comprehensiveness of the Community Plan. It is in this regard that the O&OD planning process promotes collaborative efforts among different initiatives.

### ***Promotion of D by D down to LLGA level***

The O&OD promotes Decentralization by Devolution (D by D) down to LLGA level. D by D in this case is the decentralization process which empowers community people to promote democracy. It is advantageous and unique that the O&OD is embedded within the administrative structure of the Government strengthening the roles of LGAs which are supposed to be but not yet carried out to an extensive degree. To promote the roles, the O&OD planning process capacitate LGA officers to be able to facilitate communities to plan, implement, and evaluate on their own initiatives, and at the same time incorporate community needs into the LGA Plan in order to allocate the LGA budget based on community needs. It is actually a process of empowering communities through quality improvements of services delivery by LGAs.

Community empowerment is a process of promoting democracy so as to promote communities' awareness of importance of taking part in civil society. Accordingly, it contributes to promotion of good governance when community members become aware of their rights and express their demands for accountability and transparency. Hence, the O&OD planning process has a huge potential to promote D by D down to LLGA level.

## **8.2 Proposals for Improvements of O&OD Planning Process**

### **8.2.1 Salient Features of Proposals**

The following summarizes the salient features of the proposals for improvements of the O&OD planning process.

#### **Social Preparation at All Levels**

Social preparation at all levels means preparedness of all the stakeholders to accept the O&OD roll-out and R&B processes to be the central means to promote: 1) D by D through collaborative efforts made by different ministries; 2) collaboration among different initiatives at

community; and 3) integration of Community Plans into the LGA Plan so as to realize budget allocation based on community needs. *Social preparation* is vital in order to promote the O&OD roll-out and R&B but it has not been considered seriously although people viscerally know its significant value. The Study thus proposes that *social preparation* should be carried out at different levels through instilment of the concepts of the O&OD roll-out and R&B in sensitization workshops or sessions for stakeholders including high ranked officials of the Central Government, LGA officials, councilors, VC members, *Mtaa* leaders, and communities.

### Collaboration among All Stakeholders

Collaboration among all stakeholders means vertical and horizontal collaborations among the Central Government, LGAs, and communities. “Collaboration” should be differentiated from “coordination” in the sense that collaboration involves a higher degree of commitment from different stakeholders who respect strengths of each stakeholder and work together to maximize the strengths to achieve the common goal. To achieve the goal of maximizing effectiveness of the O&OD roll-out and R&B, collaborative efforts are the necessary qualification strengthening the bonds among stakeholders at different levels. Based on the concept of collaboration, the Study proposes that *vertical collaboration* should be particularly promoted in the relation between WFs and community leaders (VC members/*Mtaa* leaders and CRPs) and between the community leaders and community members in order to effectively promote community initiatives. Also *horizontal collaboration* should be particularly promoted in the relation among different ministries and among different departments of LGAs.

### Strengthening of Ward’s Roles

Strengthening of ward’s roles is above all significant in making the R&B operational and sustainable and in strengthening a linkage between the LGA and communities since ward officers could be catalysts to foster community initiatives and to reflect community needs into the LGA Plan, being the closest to communities as supporting arms of the LGA. However, in the current situation in general, the ward officers neither do sufficiently facilitate community activities to be in an effective and sustainable manner nor do actively understand community needs and give feedback to the LGA. One challenge is low frequency of those ward officers to make visits to communities and thus insufficient mutual trust between them. Another challenge is capacity of ward officers to effectively facilitate community leaders and community members. The Study therefore proposes that ward officers as WFs should continuously make efforts to collaborate with communities and at the same time sufficient physical and technical supports should be provided to those WFs by LGAs.

## 8.2.2 Structure of Proposals

The proposals subsume the essence of above features in an explicit and implicit manner consisting of 3 pillars, 7 strategic goals and 18 specific goals as shown in Table 8.1.

**Table 8.1 Structure of Proposals for Improvement of O&OD Planning Process**

Three Pillars of Strategic Areas	Strategic Goals	Specific Goals
1 Promoting Enabling Environment for Effective O&OD Roll-out and	1.1 Promoting Social Preparedness at Community	1.1.1 Improving governance
		1.1.2 Strengthening networking
		1.1.3 Raising incentives of community to leverage Community Plans
	1.2 Promoting	1.2.1 Optimizing institutional set-up for O&OD roll-out and R&B

Three Pillars of Strategic Areas	Strategic Goals	Specific Goals
R&B	Policy Environment	1.2.2 Raising awareness of policy makers in importance of O&OD roll-out and R&B
		1.2.3 Harmonizing other initiatives with O&OD
		1.2.4 Strengthening funds flow to Community Plan
2 Improving O&OD Roll-out Process	2.1 Assuring Quality of Facilitation	2.1.1 Optimizing arrangement of facilitators
		2.1.2 Promoting role of CRPs
	2.2 Improving Roll-out Methodology	2.2.1 Increasing effectiveness of Orientation, Workshop, and Training
		2.2.2 Increasing effectiveness of Community Planning Process
3 Establishing Review and Backstop Mechanism	3.1 Establishing and Disseminating R&B Mechanism	3.1.1 Establishing R&B mechanism documents
		3.1.2 Disseminating R&B mechanism documents
	3.2 Building Capacity of Facilitators	3.2.1 Sensitizing stakeholders on importance of R&B
		3.2.2 Strengthening facilitation and M&E capacity of LGA and ward officers
		3.2.3 Strengthening facilitation and M&E capacity of community
	3.3 Incorporating Community Needs into LGA Plan	3.3.1 Establishing mechanism of compiling Community Plans into LGA Plan
3.3.2 Strengthening capacity of LGA to compile Community Plans		

The 18 specific proposals are summarized below following the structure shown above. The numbers in the brackets corresponds to the numbers used in Table 8.1.

### 8.2.3 Proposals by Specific Goals

#### 8.2.3.1 Promoting Enabling Environment for Effective O&OD Roll-out and R&B

##### Promoting Social Preparedness at Community (1.1)

##### **Improving governance (1.1.1)**

##### ***Fostering community leadership through capacity building of Village Council members/ Mtaa leaders, VEOs/MEOs, and CRPs***

In order to promote the community leadership through capacity building, ward officers should closely work with those community leaders through on-the-job, paying enough respects to those leaders in order to strengthen their ownership of the process. Through accumulated experience of facilitation in reviewing, implementing, monitoring and evaluating the Community Plan, those leaders enhance mutual trust with other community members, with their confidence fortified by strengthened capacity in facilitation.

##### ***Improving transparency and accountability through enhanced commitment of leaders and physical means***

To promote transparency and accountability, commitment of community leaders and effective physical means to promote transparency and accountability is needed. Commitment of community leaders could be enhanced through various factors such as reinforced mutual trust between community leaders and community members, enhanced awareness of importance in R&B in communities, and strengthened capacity of both community leaders in facilitating implementation, review, monitor, and evaluate Community Plans. Those factors are synergistically related each other and thus commitment of community leaders should be synthetically enhanced. On the other hand, effective means in promoting transparency and accountability particularly recommendable are a notice board to expose revenue and expenditure of a village/ward, an existing Community Plan, and other valuable information for

community members and a suggestion box at least in each community to give feedback to the VC/WDC.

### Strengthening networking (1.1.2)

#### **Promoting vertical collaboration through frequent visits of LGA and ward officers to communities**

In the vertical networking, LGA officers should frequently visit wards, and ward officers should frequently visit communities to construct mutual trust at the first place. Without the mutual trust constructed between ward officers and communities, ward officers will not be able to appropriately facilitate implementation, review, monitoring and evaluation of Community Plans based on communities' own initiative. The status and progress of Community Plans should be at the same time appropriately reported from communities to the LGA at least quarterly and preferably more in order for the LGA to be aware of the reality of communities and provide appropriate response to the status. In this context, ward officers as front line officers of the LGA should function as facilitators to promote community development through implementation of Community Plans and as catalysts at the same time to promote a reporting role of communities to the LGA.

#### **Promoting horizontal collaboration through mutual trust between community leaders and community members**

In the horizontal relation, mutual trust between VC or *Mtaa* leaders and other community members should be particularly promoted. This issue is closely related to the leadership and transparency and accountability issues as discussed above since community leadership and transparency and accountability are essential requirements to construct mutual trust among them. Apart from networking within a community, networking across communities should also be promoted to enjoy win-win situation for example by sharing physical facilities as public goods, useful knowledge and so on. To promote this aspect, WFs should play important roles to appropriately facilitate and provide guidance for VC and *Mtaa* leaders. Capacity building of ward officers in this regard should be highly considered.

### Raising incentives of community to leverage Community Plans (1.1.3)

#### **Improving access to information on external funding**

Access to information on external funding should be carefully promoted in communities. Incentive for communities to review their Plan is expected to be enhanced with sufficient and concrete information on available resources for community development. To promote the access, district and ward officers should first compile information regarding external resources available and then share the information with communities through VC members or *Mtaa* leaders. However, the timing and way of disseminating such information of external resources should be carefully handled by district and ward officers. When disseminating the information, ward officers should adequately explain a risk to VC members or *Mtaa* leaders. The risk in this case is aggravation of dependency syndrome of communities on external resources. In the worst case when timing is not appropriate, the contents and prioritization in the Community Plan are fully affected with too much expectation of receiving the external resources.

#### **Enhancing community's ownership of the Community Plan through creation of a benevolent cycle**

Ownership of the Community Plan should be promoted to raise the incentive to fully leverage the Community Plan. Community ownership of the Plan could be enhanced through nourishment of sense of achievement braced up by accumulation of successful experience in utilizing the Plan. In this sense, communities should start with having one successful activity in the Plan accomplished through concerted efforts of the communities. Once a community has

one successful case, it could trigger another successful case creating a benevolent cycle. If the community already accumulated successful cases, it might be effective to introduce experience of the other successful communities. Inspired through visual exposition to successful cases in different communities, community members may become aware of their strengths and weaknesses and foster sense of emulation in a positive way.

## Promoting Policy and Administrative Environment (1.2)

### *Optimizing institutional set-up for O&OD and R&B (1.2.1)*

#### **Setting up Advisory Committee at the Central Ministries**

For the decision making level, an advisory committee should be established involving the Departments of Policy Planning (DPPs) of 4 central ministries, which are in charge of budgeting guidelines and budget allocations, consisting of the Ministry of Finance and Planning, the Prime Minister's Office, PMO-RALG, the President's Office - Public Service and Management, President's Office, and the Vice President Office. The committee's role should be to coordinate inter-ministerial efforts for further promotion of D by D taking fully into account the O&OD roll-out process and the R&B mechanism as a practical means to achieve D by D.

#### **Setting up O&OD Unit within PMO-RALG to bridge Divisions**

O&OD Unit should be established within PMO-RALG. The O&OD Unit should bridge different divisions within PMO-RALG to realize collaborative efforts for promotion of the O&OD roll-out and R&B. At the same time, it should function to promote collaboration with Regional Offices and other ministries. The Unit should be established separately from any divisions under immediate supervision of the Permanent Secretary in order to avoid the Unit to be in favor of a particular division.

#### **Strengthening Existing Structure**

At other levels, on the other hand, an existing department or unit could be charged and strengthened to promote, coordinate and oversee all activities relating to O&OD. The responsibility might be vested in the DPP at each ministry, the Management Support Service within the Regional Secretariat at the regional level, and the Planning Department at LGA level. At each level an action plan should be prepared showing how to harmonize their initiatives step by step with O&OD and then to realize the concrete measures in their action plan. At LGA level, it is essential to promote collaborative efforts among all the departments within the LGA and to find ways to promote integration of Community Plans into the LGA Plan and make sure that the LGA budget is allocated based on community needs appeared on the LGA Plan.

### *Raising awareness of Policy Makers in importance of O&OD Roll-out and R&B (1.2.2)*

#### **Holding workshops for high ranked officials**

To raise awareness of policy makers, workshops should be held in an appropriate setting. In the workshops, at least some essential topics should be covered such as: i) the current policy environment particularly focusing on the status and challenges of D by D; ii) importance of participatory planning in connection with the current D by D; iii) O&OD participatory planning process; iv) the relation between the Community Plan and the LGA Plan and budget; v) collaboration of Ministries' initiatives with O&OD; and vi) R&B and its expected impacts on community development in Tanzania. In the workshops, those leaders are expected to understand rationale behind the O&OD roll-out and R&B, multi-dimensional nature of community needs identified through the O&OD planning process, and flexibility that the policy environment should allow to accommodate the multi-dimensional needs. In-depth understanding of the leaders will thus be conducive to collaboration among O&OD and various initiatives.



### Harmonizing other initiatives with O&OD (1.2.3)

#### **Promoting priorities in Community Plans to be followed by other initiatives**

Priorities set in the O&OD planning process should be followed by the other initiatives as much as possible since Community Plans are only the plans elaborating community needs in a comprehensive manner through the intensive participatory planning process applied nationwide.

#### **Promoting community initiative to propose a project based on Community Plans**

Communities should be encouraged to propose projects based on priorities in their Community Plans. In order for communities to be able to make a sound proposal, following aspects should be strengthened. First, communities should have sufficient information on what funds are available in what area of concerns. Second, communities may need to have a core function such as a project committee or an association to prepare a proposal and oversee implementation of activity. Third, communities should be able to have sufficient technical and physical assistance to prepare a proposal and oversee implementation. To promote those aspects, extensive supports of LGA and ward officers are needed.

### Strengthening funds flow to Community Plans (1.2.4)

#### **Promoting LGA's efforts in 1) accurately capturing community needs; 2) allocating budgets based on community needs**

The LGA efforts should be made from two concerns. First, community needs should be accurately captured by the LGA and thus the budget based on community needs can be secured. In order to secure the budget, Community Plans should be efficiently incorporated into the LGA plan and budget. Second, the budget should be appropriately allocated based on Community Plans. To do so, the instruction of incorporating Community Plans into the LGA Plan and disbursing the LGA budget based on Community Plans should be clearly indicated in the budget guidelines at the first place. Being fully aware of importance on incorporation of Community Plans into the LGA Plan, ward-level officers (LGA officers) should prepare simple formats to compile necessary information of Community Plans, and shared them with all departments of the LGA before working on the LGA Plan. Information on the simple formats should be at the same time reflected in the PlanRep system after technical adjustment is made (this aspect will be further discussed later). The Central Government may consider incentive giving to the LGAs which will have shown significant performances over incorporation of Community Plans and disbursement of their budget to them. Giving incentive may be realized by utilizing the bonus system of the Local Government Capital Development Grant (LGCDG). In fact, one of the 9 functional areas of LGCDG performance measures, i.e. Planning and Budgeting, has 10 indicators of which one states “Lower local governments are involved in participatory planning and the plan integrates their plans”. In addition, an indicator assessing the fund flow to Community Plans should be added. For example, an indicator could be “the share of developing budget applied to activities identified in the Community Plans should meet the minimum of 80%”. In order to effectively allocate the budget to interventions (*Steps of Implementation* and *Implementation by Year*) under prioritized *Specific Objectives* of community Plans, those interventions should have a certain level of feasibility and sustainability. To secure feasibility and sustainability, ward officers should technically scrutinize and improve those interventions or the LGA may refer sector plans such as the School Plan and the Village Agricultural Development Plan.

### **Promoting community efforts in acquiring the funds by submitting proposals based on Community Plans**

On the other hand, community efforts should also be made to acquire external resources available for communities. As proposed above, LGA and ward officers should first sufficiently share the information regarding external funding available for communities through VCs or *Mtaa* leaders in an appropriate timing. Communities then should consider creating a linkage with external resources for the area under prioritized specific objectives where communities cannot cover the cost. To promote this aspect, LGA and ward officers should assist communities from technical point of view such through giving a hand to work out a proposal to receive external funds.

#### 8.2.3.2 Improving O&OD Roll-out

##### Assuring Quality of Facilitation (2.1)

###### Optimizing arrangement of Facilitators (2.1.1)

###### **Assigning more number of ward officers as WFs to increase sector coverage**

Facilitators should be carefully arranged in order to maximize the quality of facilitation in the O&OD roll-out process. Facilitators in this case particularly mean WFs, who are supposed be functioning as a supporting arm of the LGA closely supervising and coordinating the community activities and promoting participatory development. To optimize arrangement of WFs, following areas should be particularly promoted. First, more ward officers should be assigned to be WFs to facilitate the CPP in order to widen sector coverage of WFs. Second, Ward Education Coordinators (WEC) should be included when available as part of the Ward facilitation team since they demonstrate excellent facilitation skills as generally observed which could be related to their teaching background. Their involvement however should be avoided if they are in the process of pursuing their vital duties such as supervision of national exams. Third, when a LGA does not have enough number of ward officers for WFs, another opportunity is to make use of Village Executive Officers (VEOs) and *Mtaa* Executive Officers (MEOs).

###### Promoting role of Community Resource Persons (2.1.2)

###### **Clearly defining role of CRPs**

To promote role of CRPs, clear definition of their role should be first made and then communicated both to facilitators and communities. The role should be defined in the O&OD manuals, and based on the manuals, NFs, DFs, and WFs should be sensitized and oriented in an appropriate manner. Those oriented Facilitators then sensitize VC members/*Mtaa* leaders who inform roles of CRPs to community members in clearly understandable terms at a Village Assembly/a *Mtaa* meeting and at the same on the notice board. The VC members and *Mtaa* leaders should work closely with and facilitate CRPs but they should maintain the stance of “eyes-on but hands-off” where community initiatives appeared to be fostered.

##### Improving Roll-out Methodology (2.2)

###### Increasing effectiveness of Orientation, Workshop, and Training (2.2.1)

###### **Sensitizing stakeholders on R&B**

Significance of R&B should be emphasized from the roll-out stage in order for all stakeholders to be able to see beyond the ongoing roll-out activities. The concept of R&B should be introduced at all the opportunities through NF Orientation, Awareness Raising Workshop, and DF/WF Training. NF Orientation first should be oriented in an intensive manner since how NFs

perform has a significant influence over how councilors and CMT members perceive and how DFs and WFs perform. Those facilitators in fact model after the way NFs facilitate or deliver explanation and elaboration, role plays, and group works.

#### ***Indicating councilors' roles***

Roles of councilor should be clearly indicated during Awareness Raising Workshop and those councilors should right after the Workshop start further pre-sensitizing communities in their Ward in order for communities to be ready to accept the O&OD planning process. Councilors in fact could play a significant role in the O&OD roll-out since they have influence to a large degree on mobilizing ward officers, WDC members as well as communities.

#### ***Introducing a new prioritization approach***

The new prioritization approach should be introduced in NF Orientation and DF/WF Training. Through the new prioritization process, communities will be able to identify from the most to the least prioritized *Specific Objectives* in an explicit manner. This facilitates communities to utilize available but limited resources in a more efficient and focused manner without hindering the achievement of TDV 2025

#### ***Effective utilization of pre-visit***

One day pre-visit should be utilized in an effective way in order for communities to be well-prepared to accept the O&OD planning process suitably before the process starts. To effectively sensitize the Village Council members/*Mtaa* leaders to be ready for accepting the coming CPP, 1) the DFs/WFs should facilitate the VC members/*Mtaa* leaders to start discussing on how to sensitize community members; and 2) selection of relevant objectives under TDV2025 should be made through an intensive discussion among the members. Through those new activities in the pre-visit, which encourage their pro-activeness, VC members/*Mtaa* leaders are able to foster their sense of ownership.

### *Increasing effectiveness of Community Planning Process (2.2.2)*

#### ***Including the social preparation aspect***

Social preparation components should be included in the CPP. Social preparation components in this context means a certain period of communities to become ready to accept the O&OD roll-out activities and carry it in a collective manner. To promote this aspect, two more days should be added at the beginning of the CPP.

#### ***Application of new prioritization approach***

A new prioritization process should be adopted in the CPP as proposed earlier. Based on the new approach, community members should be able to come up with from the most to the least prioritized *Specific Objectives* and *Interventions*.

### 8.2.3.3 Establishing the R&B Mechanism

#### Establishing and Disseminating R&B Mechanism (3.1)

##### *Establishing Review and Backstop mechanism documents (3.1.1)*

#### ***Preparing R&B mechanism documents (for officers) and a popular version (for communities and others)***

An R&B mechanism should be established and documented at the first place in order to conduce to full awareness of importance in R&B and to practically operate its process at administrative and political levels as well as the citizen level. However, since it is assumed that the documents will be extensively utilized particularly by the officers acting as NFs, DFs, and WFs, practical approaches taken during the R&B process should be clearly indicated in the text. A separate document, a popular version, which clearly shows how to conduct a review process

at community level should also be prepared targeting community members.

### Disseminating Review and Backstop mechanism documents (3.1.2)

#### **Disseminating the Handbook through orientations or sensitization sessions and R&B concepts through media**

Once R&B mechanism documents and a popular version are prepared and officially approved, those documents should be disseminated through various channels. Physical dissemination could be made when an orientation or sensitization session of DFs/WFs for R&B activities is held by LGA and/or facilitated by PMO-RALG. An electronic version should also be available in the homepage of PMO-RALG through the Internet, and thus anybody has an access to the Handbook and the popular version when necessary. Beside those, utilization of the media such as news papers could be considered. When essence of R&B is introduced to the public through the media, O&OD concepts should be explained together since O&OD itself has not necessarily been recognized to sufficient extent by the public.

### Building Capacity of Facilitators (3.2)

#### Sensitizing stakeholders on importance of R&B (3.2.1)

##### **Sensitizing stakeholders on R&B at all levels**

In order to sensitize stakeholders, sensitization workshops or any other forms of opportunity should be set up for stakeholders at all levels including the Central Government, LGAs, and communities. In each level, the set-up should be flexibly adjusted according to the administrative and social roles of stakeholders. In the opportunities for the sensitization, the concepts of R&B and roles of stakeholders in the R&B stage should be clarified. In the case that the stakeholders are not even familiar with the O&OD due to elapse of long period after the roll-out or no exposition to the roll-out in the past, the O&OD concepts should be explained to a sufficient degree together with the R&B concepts. Sensitization workshop or meeting does not have to be set up annually. Although sensitization for the first year is absolutely necessary for the initial exposition, the timing of another sensitization should be called into account by leaders at different levels from the second year according to circumstances in different social contexts.

#### Strengthening facilitation and M&E capacity of LGA and Ward Officers (3.2.2)

##### **Developing facilitation capacity through orientation sessions**

In order to improve the facilitation capacity of LGA officers (including ward officers), NFs should first be oriented at national level and then an orientation session for LGA officers should be set up at LGA level. Facilitated by NFs in the session, LGA officers will recapture basic concepts necessary for the O&OD planning process including TDV2025, participatory tools to collect community data, Community Plans, prioritization of *Specific Objectives* and TYP and at the same time develop skills of how to facilitate and promote Review and Backstop activities. After the session, LGA and ward officers facilitate the Village Council members/*Mtaa* leaders and CRPs to take initiative of reviewing its Community Plan. Once the plans are reviewed, ward officers may compile them and submit to the LGA who then compiles community needs into the LGA Plan.

##### **Developing M&E capacity through provision of sufficient budgets and transportation means**

To strengthen M&E capacity of LGA officers, sufficient budget and means of transportation should be provided to them. As stipulated by law, M&E is a responsibility of the LGA to be accountable for utilization of public resources. However, the most common and major bottleneck for LGA and ward officers to be unable to sufficiently visit to communities for M&E

is lack of transportation means. The progress reports may also help officers to understand ongoing situation at community level to a large degree, and thus they should be prepared monthly, quarterly, and annually in an appropriate manner by VCs in the case of rural LGAs.

### *Strengthening facilitation and PM&E capacity of Community (3.2.3)*

#### ***Developing Facilitation capacity of Village Councils (VCs)/Mtaa leaders and CRPs through OJT***

Facilitation capacity of VC members/Mtaa leaders and CRPs should be enhanced through on-the-job training (OJT). OJT in other words is enhancement of the capacity through actual process of facilitating community members. For the first year in adopting the R&B concepts at least, practical facilitation by VC members/Mtaa leaders and CRPs should be very attentively and closely assisted by WFs and DFs. From the second year onward, WFs and DFs should continuously assist VC members/Mtaa leaders and CRPs to facilitate community members to implement, review, monitor and evaluate their Community Plan.

#### ***Developing M&E capacity through provision of sufficient budgets and transportation means***

Capacity of VC members/Mtaa leaders, CRPs and other community members in participatory monitoring and evaluation (PM&E) should be developed. PM&E is a continuous process of fine-tuning and assessing community activities or plans by and for community members for further betterment of community life. In order to develop PM&E capacity of communities, NFs, DFs and WFs should first be familiar with the concepts and methodology. PM&E should thus be introduced in the orientation of NFs and DFs/WFs who then orient the VC members/Mtaa leaders and CRPs to facilitate other community members as in the opportunities. However, the opportunities may not be sufficiently conducive to internalization of the concepts and methodology of PM&E since the opportunity will only be utilized to introduce theoretical aspects of PM&E without practical experience. In this regards, a follow-up process on a practical basis should be considered under the initiative of PMO-RALG to promote PM&E at community level.

### *Incorporating Community Needs into LGA Plan (3.3)*

#### *Establishing mechanism of compiling Community Plans into LGA plan (3.3.1)*

##### ***Utilizing a simple format for an immediate action***

A simple format should be adopted at ward level. The simple format is to compile needs appeared on Community Plans by sector or sub-sector and thus it eases the LGA officers in each department to perceive community needs when consolidating the LGA plan. The simple format will be manually filled by WEOs or other ward extension officers as part of their reporting role, and submitted to the LGA which then reallocates the submitted formats to the concerned departments to prepare sector and sub-sector budgets. In the case of the rural process, simple format summarizes all the Community Plans within the ward by sector, while in the urban process the simple format is used to disaggregate the Ward Plan by sector and sub-sector.

##### ***Mainstreaming the information in the simple format into existing database system***

The PlanRep system should be utilized to compile the contents of Community Plans. Feasibility should be first confirmed from a technical point of view. The simple format could be flexibly modified based on the technical requirement in the PlanRep system from time to time.

#### *Strengthening capacity of LGA to compile Community Plans (3.3.2)*

##### ***Introducing a systematic approach on how to compile community needs into a simple format***

The significance of utilization of a simple format and how to compile community needs in the simple format should be elaborated in the same opportunity set-ups as sensitization and orientation on R&B for different stakeholders.

In the case of rural LGAs where Community Plans are prepared at village level, the simple format should be filled in by WEOs with assistance of other extension officers including Community Development Officers, Agricultural Extension Officers, Health Officer and Ward Education Coordinator. Ward officers, therefore, should practically become able to compile the community needs into the simple format.

In the case of urban LGAs the Community Plan is prepared at ward level, so the simple format can be used for disaggregating the activities by sector. This task is also done by the WEO and other ward officers. Ward officers therefore should practically become able to compile the community needs into the simple format.

At the same time the PlanRep system should be utilized to compile the contents of Community Plans. Feasibility should be first confirmed from a technical point of view and the simple format could be flexibly modified based on the technical requirement in the PlanRep system from time to time.