

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**

**March 2008**

**JAPAN INTERNATIONAL COOPERATION AGENCY**

**INTERNATIONAL DEVELOPMENT CENTER OF JAPAN**

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Exchange Rate

(as of March 2008 based on the JICA official rate)

TSH 1=JPY 0.092

US \$1=JPY 106.18

## 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

## LETTER OF TRANSMITTAL

March 2008

Mr. Eiji Hashimoto  
Vice-President  
Japan International Cooperation Agency  
Tokyo, Japan

Dear Sir,

I am pleased to submit the Final Report of the Study on Improvements of Opportunities and Obstacles to Development (O&OD) Planning Process in the United Republic of Tanzania. The study has been carried out by the International Development Center of Japan (IDCJ) in collaboration with the Prime Minister's Office-Regional Administration and Local Government (PMO-RALG) during the period between June 2006 and March 2008. This report summarizes the results of the study in 8 chapters: 1) Outline of the Study; 2) Current Planning and Budgeting Systems in Tanzania; 3) Current Status of O&OD Roll-out; 4) Current Status of Post O&OD Roll-out; 5) Tentative Proposals for Improvements of O&OD; 6) Testing of Improved O&OD Roll-out; 7) Testing of Review and Backstop; and 8) Proposals and Action Plans for Improvements of O&OD Planning Process.

The study's objective was to provide comprehensive and concrete proposals to improve the O&OD planning process. To carry out the study, the O&OD Study Team was formed including PMO-RALG officials and JICA Study Team members. We, the O&OD Study Team, first carried out field studies and testing activities of the O&OD roll-out and the post O&OD roll-out stages. Based on the results of the studies and activities, we then consolidated the final proposals emphasizing improvements of methodological aspects for the O&OD roll-out stage and establishment of a mechanism to sustain community initiatives for the post O&OD roll-out stage. To achieve this end, we made concerted efforts as a team in all the activities of the Study.

On behalf of the JICA Study Team, I would like to express my sincere gratitude to the Government of Tanzania, particularly to PMO-RALG for its commitment to the study. I also would like to extend my special gratitude to the counterpart officials of PMO-RALG who have very closely worked together all through the study as a team.

It is our hope that the proposals will be of benefit to the future development of Tanzania.

Very truly yours,



Yoshio Aizawa  
Team Leader, JICA Study Team

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

Final Report  
March 2008

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## ABBREVIATIONS

ADEM	Agency for the Development of Education Management
ARW	Awareness Raising Workshop
ASDP	Agricultural Sector Development Programme
ASLM	Agriculture Sector Lead Ministries
CBG	Capacity Building Grant
CBO	Community Based Organization
CC	City Council
CCHP	Comprehensive Community Health Plan
CD	Council Director
CDG	Capital Development Grant
CIDA	Canadian International Development Agency
CMC	Community Management Committee
CMT	Council Management Team
CPP	Community Planning Process
CRP	Community Resource Person
DADP	District Agricultural Development Plan
DANIDA	Danish International Development Agency
DALDO	District Agriculture and Livestock Development Officer
DAS	District Administrative Secretary
DED	District Executive Director
D by D	Decentralization by Devolution
DC	District Council
DC	District Commissioner
DCDO	District Community Development Officer
DF	District Facilitator
DFT	District Facilitators Training
DP	Development Partner
DPLO	District Planning Officer
DPP	Department of Policy and Planning
ESDP	Education Sector Development Programme
EVA	Extra-ordinary Village Assembly
FBO	Faith Based Organization
FY	Fiscal Year
GOJ	Government of Japan
GOT	Government of Tanzania
GPG	General Purpose Grant
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	Mtaa Executive Officer
M&E	Monitoring and Evaluation
MoF	Ministry of Finance
MoEVT	Ministry of Education and Vocational Training
MoH	Ministry of Health



MPEE	Ministry of Planning, Economy and Empowerment
MRP	Mtaa Resource Person
MTEF	Medium Term Expenditure Framework
MKUKUTA	Mkakati wa Kukuza Uchumi na Kupunguza Umasikini Tanzania
NF	National Facilitator
NGO	Non-Governmental Organization
NORAD	Norwegian Agency for Development Cooperation
NRWSSP	National Rural Water Supply and Sanitation Programme
NSGRP	National Strategy for Growth and Reduction of Poverty (MKUKUTA)
OC	Other Charges
O&OD	Opportunities and Obstacles to Development
PE	Personal Emolument
PEDP	Primary Education Development Plan
PM&E	Participatory Monitoring and Evaluation
PMO-RALG	Prime Minister's Office - Regional Administration and Local Government
PRA	Participatory Rural Appraisal
RAS	Regional Administrative Secretary
R&B	Review and Backstop
RC	Regional Commissioner
SACCOS	Savings and Credit Co-operative Societies
SCD	Sector Coordination Division
SEDP	Secondary Education Development Plan
SIDA	Swedish International Development Cooperation Agency
SP	Sector Programme
SWAp	Sector-Wide Approach
TASAF	Tanzania Social Action Fund
TC	Town Council
TDV2025	Tanzania Development Vision 2025
TYP	Three-Year Plan
UDEM	Urban Development and Environment Management
UNICEF	The United Nations Children's Fund
VADP	Village Agriculture Development Plan
VC	Village Chairperson
VEO	Village Executive Officer
VP	Village Plan
VPP	Village Planning Process
VRP	Village Resource Person
WADP	Ward Agriculture Development Plan
WATSAN	Water and Sanitation
WDC	Ward Development Committee
WP	Ward Plan
WEO	Ward Executive Officer
WEC	Ward Education Coordinator
WF	Ward Facilitator
WFT	Ward Facilitators Training
WPP	Ward Planning Process

## 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.

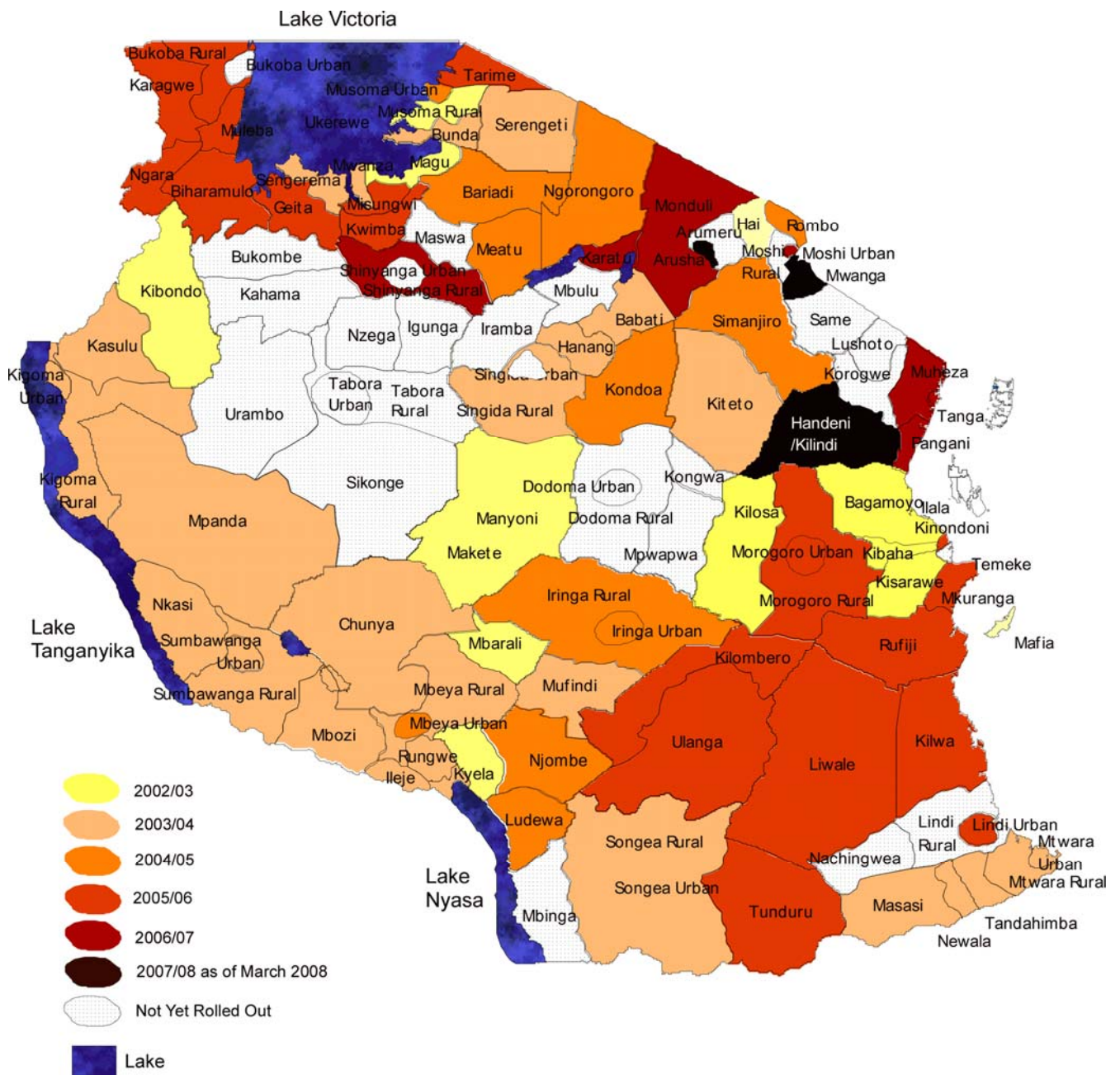
## Dissemination Seminar



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)**



## EXECUTIVE SUMMARY

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### ■ *Background*

Decentralization by Devolution (D by D) has been a challenge of the Government of Tanzania (GOT) over the years strengthening local autonomy through devolution of powers to Local Government Authorities (LGAs). It is in this context that the Opportunity and Obstacles to Development (O&OD) planning methodology has been developed to serve as an engine to promote D by D empowering the grassroots and enhancing service delivery for poverty eradication.

The O&OD is a participatory community planning process to empower the people based on a bottom-up approach with a positive outlook. Since the methodology was initiated in 2002, 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, the GOT still faces challenges to improve the methodology and to make the process sustainable after the O&OD roll-out.

In July 2006, the Study on Improvements of Opportunities and Obstacles to Development (O&OD) Planning Process was launched responding to such challenges under the initiative of the Prime Minister's Office-Regional Administration and Local Government (PMO-RALG) with assistance of Japan International Cooperation Agency (JICA).

### ■ *Objective of the Study*

The objective of the Study is to provide comprehensive and concrete proposals to improve 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.

### ■ *Coverage of the Study*

The Study covers two main areas: the O&OD roll-out and the post O&OD roll-out (in other words Review and Backstop-R&B). **The O&OD roll-out** is the process of applying the O&OD participatory planning methodology through: i) sensitization of councilors and 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) in 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 (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 DFs, WFs and community leaders; and iii) integrating updated Community Plans into the LGA Plan.

### ■ *Findings from Field Study on current status of O&OD roll-out and post O&OD roll-out (R&B)*

The followings are the findings from the field studies on current status of O&OD roll-out and post O&OD roll-out (R&B) carried out from July to October 2006, covering areas of: 1) administrative, policy and social environment of O&OD roll-out and post O&OD roll-out (R&B); 2) O&OD roll-out stage; and 3) post O&OD roll-out stage (R&B Stage).

#### *Administrative, Policy and Social Environment of O&OD roll-out and Post O&OD Roll-Out (R&B)*

##### ■ **Possibility of harmonizing the other sector planning with the O&OD planning**

The planning initiatives at the 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 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 are supplementary in technical aspect to implement Community Plans. In this regard, it is important for the other initiatives at community to follow priorities in Community Plans.

■ **Lack of sector coordination due to sectionalism**

Sectionalism both at the Central Government and the LGA minimizes the efforts of comprehensive planning and budgeting at the LGA. Sectionalism in fact contributes to a large extent to segregation of sector components in the formulation stage of the LGA Plan and the budget. In the current status, prioritization of interventions is decided based on the budget ceiling of each sector and thus the LGA Plan is a patchwork of the sector plans.

■ **Need of promotion of Ward's roles**

The role of the ward in planning is important in the aspect of identifying cross-village intervention which reflects the needs at the community level as well as in the view of bridging the Community Plans with the LGA Plan. However, in current situation, the ward is not functioning effectively in identifying cross-village needs and no practical system to bridge Community Plans with the LGA Plan has been established. This could be partly because the role of the ward in planning is not well defined.

■ **Weak horizontal and vertical information sharing**

Information sharing is vital for all stakeholders at different administrative levels to have common understandings. Without shared awareness and recognition, stakeholders are not able to reach common goals. In the current situation, horizontal information sharing at the community level appears to be insufficient particularly between community leaders and community members. Vertical information sharing between LGAs and communities is also weak.

■ **Weak community leadership**

Quality of community leadership affects degree of participation of community in development activities. Community leadership in this case is the leadership in community activities, financial activities, and other community matters which are mainly handled by the Village Council members/*Mtaa* leaders. However in the current situation, community leadership is not exerted due to low transparency and accountability which demoralizes community members to construct mutual trust with community leaders in many cases.

■ **Insufficient political supports**

Awareness Raising Workshop is organized during the O&OD roll-out with the expectation that councillors from each ward become aware of the significance of the O&OD and mobilize community to commit to the process. The effective operation of the workshop thus is the bottom line since it exerts an influence on councillor's support on the O&OD. The question however is how much councillors are sensitized through the Workshop. It is a reality that some councillors are seen actively participating in the Workshop while many of them are passively observing.

**O&OD Roll-Out**

■ **Low understanding of Heads of Department in LGAs**

High level of understanding of the Heads of Departments (HoDs) is vital in optimizing impacts out of the O&OD roll-out as well as sustainability in the post roll-out stage. However, in the current situation, understanding of HoDs on the O&OD is not sufficient. Two aspects should be considered in this issue. First, low understanding of HoDs affects commitment of the DFs who are usually their subordinates. Second, it affects commitment of the LGA to the O&OD since HoDs, who are members of the CMT, have a bearing in LGA decision.

■ **Insufficient capacity of facilitators**

Assuring capacities of Facilitator is absolutely imperative since it affects participation of communities and so quality of the Community Plans. On the other hand, capacity building naturally takes time and cannot expect an ordinary officer to be a perfect facilitator in a few days. In the current situation, the O&OD

participatory planning process involves a number of LGA Officers whose capacity varies according to their profession and speciality. Some officers could be capable of the activities in their field. However they are not necessarily suitable for facilitating the O&OD planning process even though they are confident with the contents of the O&OD planning process.

■ **Low quality of Community Plan**

Maintaining quality of the Community Plan is vital in order to realize its implementation. In order to operationalize the Community Plans, assurance of bare minimum of quality is needed. In the current situation, the quality of the Community Plans varies according to different situations. As far as the Study Team observed, quality of the Community Plans is affected by some factors including the level of understanding and commitment of community participants, and capacity of Community Resource Persons, Village Chairperson, VEO/WEO, and WFs/DFs/NFs.

**Post O&OD Roll-Out (R&B)**

■ **Low awareness of communities and LGAs on importance on R&B**

The results of the field study show an overall trend toward low awareness of importance on the R&B. Review on the Community Plan has hardly occurred in most of the LGAs which already rolled out the O&OD and the implementation of the Community Plan has not properly been monitored by the LGA Officers.

■ **Need of incentive of communities to implement and review Community Plans**

Incentives of communities to implement and review Community Plans relate to how community people recognize meaning of Community Plans. Two types of incentives appeared to be important. One incentive is an actual feeling of improvements of communities through implementation of their Community Plans. This actual feeling or solid sense motivates community people to contribute own resources to further improvement of the communities and to review the Community Plans. Another incentive is an experience of seeing physical improvements through external resources. This experience motivates people to acquire more external resources.

■ **Low technical and physical capacities on R&B**

Technical capacity building is to improve skills and knowledge while physical capacity building is to improve physical aspects to optimize the technical skills and the knowledge. 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 institutionalized process. The O&OD manuals are not even meagrely covered the R&B and at the same time the O&OD roll-out does not cover this aspect either. Physical capacity includes sufficient transportation and stationery for facilitation and monitoring, appropriate space to maintain documents, and all other materialistic supports enabling optimization of the technical capacity.

■ ***Implication from testing activities of O&OD roll-out and post O&OD roll-out***

The followings are major implications from testing activities of the O&OD roll-out and the post O&OD roll-out. The testing activities were carried out from February to June 2007 in order to test new approaches in the areas below to come up with proposals for improvements of the O&OD planning process.

***O&OD Roll-out (testing sites: Karatu DC, Pangani DC, and Tanga CC)***

- Social preparation at the community level
- New prioritization approach
- Introduction of Review and Backstop concepts from the O&OD roll-out stage

***Review and Backstop (testing site: Bagamoyo DC)***

- Sensitization of CMT
- Capacity building of National Facilitators, District Facilitators and Ward Facilitators for R&B
- Review of Community Plans at community facilitated by DFs and WFs
- Application of a simple format at the ward level to compile Community Plans into the LGA Plan

### **Major Implication from O&OD Roll-out Testing**

#### **■ Measures taken for social preparation is effective**

Measures taken to improve the social preparation aspects were confirmed effective. Social preparation in this context means i) communities' awareness of significance of the O&OD and ii) readiness to initiate the O&OD process in a collective manner. In the testing, social preparation process started from one day pre-visit of District Facilitators (DFs) / Ward Facilitators (WFs) to Village Councils few days before onset of the Community Planning Process (CPP). Due to the pre-visit, the Village Council members were able to proactively map out and realize their strategy for sensitizing communities. As a result, the number of participants or the participation rate in the Village Assembly hit a new record, since the initiation of the O&OD in 2002, of over 600 participants or more than 50 percents of the eligible community members in many target villages.

#### **■ New prioritization process is feasible**

The new prioritization process proved feasible. In the conventional O&OD process, communities used to prioritize Specific Objectives for each of 13 major objectives of TDV 2025, which resulted in co-existence of 13 Specific Objectives of top-priority. In the new prioritization process in contrast, communities are able to identify priority rankings of all the Specific Objectives in a well-focused manner. It was assumed before the testing that the new prioritization process would be too cumbersome for communities to handle. However, as a matter of fact the communities were able to handle the prioritization process smoothly. Application of this approach enables communities to concentrate on their focus of implementation on the activities of high priority while the conventional process allows communities to have a broad focus.

#### **■ Human resources in the LGA are confirmed limited**

Limited capacities of the LGA in terms of human resources are reconfirmed. Although five ward officers were supposed to be assigned, some LGAs were not able to assign five officers due to shortage of available officers at the ward level. Facing the shortage of ward officers, those LGAs attempted to fill the gap by including Village Executive Officers (VEO) or Mtaa Executive Officers (MEO) in the facilitation team. This has an implication that the number and affiliation of WFs should be flexibly adjusted according to the different situation of the LGAs.

### **Major Implications from the R&B Testing**

#### **■ Importance of continuous efforts for improving quality of facilitation is confirmed**

Importance of improving quality of facilitation has been confirmed to a substantial extent. Through the testing activities, it was proved that competency of DFs and WFs had a great influence over the performance of Village Council and community members, and thus quality of reviewed Community Plans. The quality of facilitation does not only affect performance and quality of the Plans in the review process but also continuation of the review process, implementation of the Plan, and monitoring and evaluation by community members. In this respect, continuous efforts of improving functions of DFs and WFs in facilitating community activities should be of primary importance.

#### **■ Viability of a simple format to incorporate community needs into LGA Plan is verified**

Viability of incorporating community needs into the LGA Plan is also verified. The testing activities tentatively adopted utilization of a simple format to be compiled at the ward level where contents of the Community Plan were carefully and systematically taken into the simple format by WFs and DFs. During observation, no technical difficulty was detected and those Facilitators were even confident in consolidating the simple format. The simple formats were then taken to the Council Management Team (CMT) for discussion of usability. CMT members recognized the potential of the simple format during the discussion, in which the most of the members positively stressed convenience and high usability of the format in consolidating the LGA Plan.



■ **Significance of social preparation to establish R&B mechanism was confirmed**

It was confirmed that social preparation was among others the most significant qualification to establish R&B mechanism. Social preparation in general terms is to enhance social preparedness in the light of self-awareness, readiness of accepting new ideas, and sense of collective action in any social contexts. It is the basis of enhancing community potential for planning, implementing the Plan, and monitoring and evaluating the Plan on its own initiative. During the testing activities, it was observed that the Village Councils as well as community members were not aware of their achievements and potentials, not ready for reviewing the Plan, and thus not ready to take any collective action for community activities. Such social preparation aspects were however enhanced to some extent through the preparatory meeting at Village Council and the Village Assembly meetings held at the very beginning of the review process at communities.

■ **Values of O&OD Process**

The results of the Study including the field studies on the current status and the testing activities for O&OD roll-out and R&B elucidate intrinsic values of the O&OD process. The intrinsic values in other words are potentialities of the O&OD process in bringing positive changes to improve the livelihood of communities. The following 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 the 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 Village Councils/WDCs expose a revenue and expenditure statement which becomes a necessary input in preparation of a Community Plan.

■ **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>1</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.

■ **Promotion of Collaborative Effort**

The O&OD have a potential to promote collaborative efforts among/in between various initiatives at the 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.

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

The O&OD promotes Decentralization by Devolution (D by D) down to the LLGA level. D by D in this

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<sup>1</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.

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.

## ■ **Framework of Proposals for Improvements of O&OD Planning Process**

### Salient Features of Proposals

#### ■ **Social preparation at all level**

Social preparation at all levels means preparedness of all the stakeholders to accept the O&OD processes as the central means to promote: 1) Decentralization by Devolution through collaborative efforts made by different ministries; 2) harmonization 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 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 in sensitization workshops or sessions for stakeholders including high ranked officials of the Central Government, LGA officials, councilors, Village Councils, *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 collaborative efforts are the necessary qualification of 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 Ward Facilitators and community leaders (Village Council 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 in order to promote harmonization among different initiatives based on their areas of concern.

#### ■ **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.

**Framework of Proposals**

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

<i>Three Pillars of Strategic Areas</i>	<i>Strategic Goals</i>	<i>Specific Goals</i>
1 <i>Promoting Enabling Environment for Effective O&amp;OD Roll-out and R&amp;B</i>	1.1 <i>Promoting Social Preparedness at Community</i>	1.1.1 <i>Improving governance</i>
		1.1.2 <i>Strengthening networking</i>
		1.1.3 <i>Raising incentives of community to leverage Community Plans</i>
	1.2 <i>Promoting Policy and Administrative Environment</i>	1.2.1 <i>Optimizing institutional set-up for O&amp;OD and R&amp;B</i>
		1.2.2 <i>Raising Awareness of policy makers in importance of O&amp;OD and R&amp;B</i>
		1.2.3 <i>Harmonizing other initiatives with O&amp;OD</i>
1.2.4 <i>Strengthening funds flow to Community Plan</i>		
2 <i>Improving O&amp;OD Roll-out Process</i>	2.1 <i>Assuring Quality of Facilitation</i>	2.1.1 <i>Optimizing arrangement of Facilitators</i>
		2.1.2 <i>Promoting role of Community Resource Persons</i>
	2.2 <i>Improving Roll-out Methodology</i>	2.2.1 <i>Increasing effectiveness of Orientation, Workshop, and Training</i>
		2.2.2 <i>Increasing effectiveness of Community Planning Process</i>
3 <i>Establishing Review and Backstop Mechanism</i>	3.1 <i>Establishing and Disseminating R&amp;B Mechanism</i>	3.1.1 <i>Establishing R&amp;B mechanism documents</i>
		3.1.1 <i>Disseminating R&amp;B mechanism documents</i>
	3.2 <i>Building Capacity of Facilitators</i>	3.2.1 <i>Sensitizing stakeholders on importance of R&amp;B</i>
		3.2.2 <i>Strengthening facilitation and M&amp;E capacity of DF and WF</i>
		3.2.3 <i>Strengthening facilitation and M&amp;E capacity of community</i>
	3.3 <i>Incorporating Community Needs into LGA Plan</i>	3.3.1 <i>Establishing mechanism of compiling Community Plans into LGA plan</i>
3.3.2 <i>Strengthening capacity of LGA to compile Community Plans</i>		

# CHAPTER 1

## OUTLINE OF THE STUDY

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### 1.1 Background

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, which used to be undertaken by the Central Government. 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) as part of Japanese Official Development Assistance.

### 1.2 Objective

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.

### 1.3 Coverage of the Study

The coverage of the Study includes two tiers: the O&OD roll-out and the post O&OD roll-out (in other words Review and Backstop). **The O&OD roll-out** is the process of applying the O&OD participatory planning methodology through: i) sensitization of councilors and CMT in *Awareness Raising Workshop*; ii) capacity building of LGA and ward officers to become District Facilitators (DFs) and Ward Facilitators (WFs) in *DF Training and WF Training*; iii) the *Community Planning Process* (CPP) facilitated by those DFs and WF; and iv) integration of Community Plans into the LGA Plan. **The post O&OD roll-out (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 DFs, WFs 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 proposed measures to improve the process while for the post O&OD roll-out process, the Study analyzed a current state of affairs and proposed measures to establish an R&B mechanism.

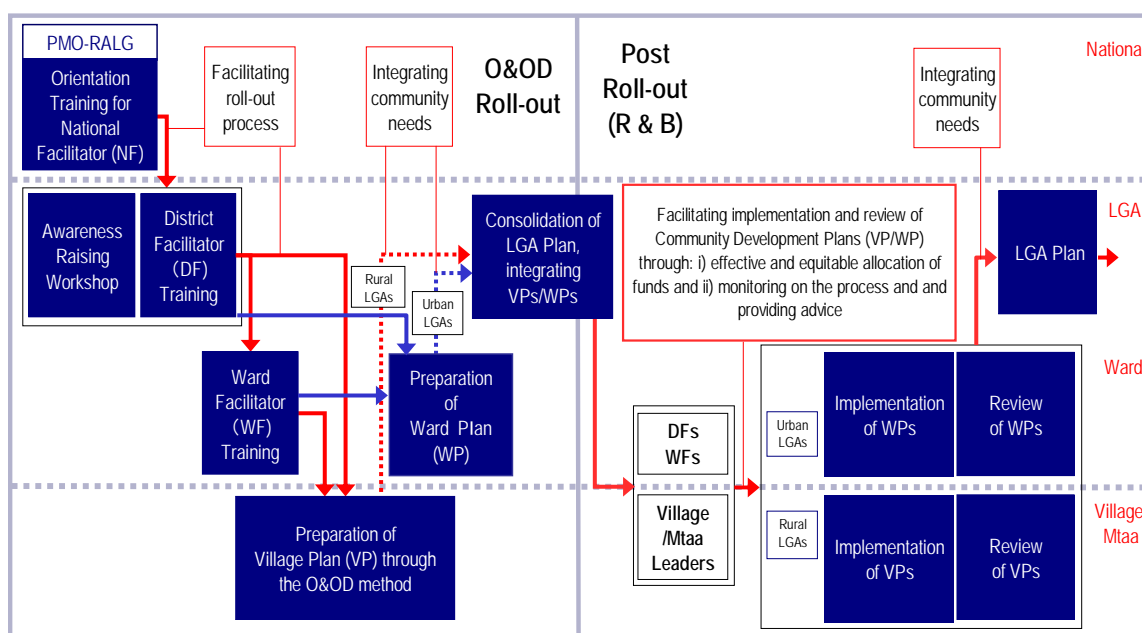


Figure 1.1 O&OD Roll-out and Post O&OD Roll-out Stage

### 1.4 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.

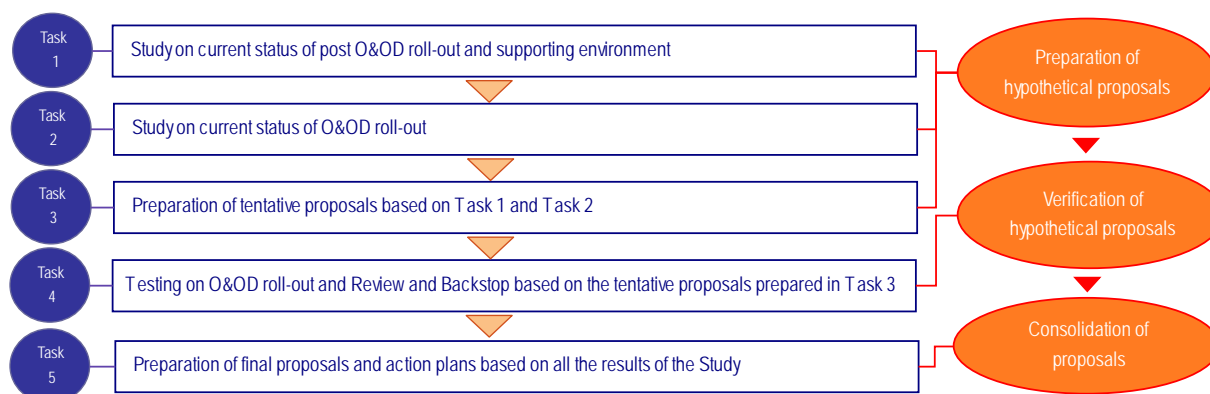


Figure 1.2 Scope of the Study

## 1.5 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 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 Government of Tanzania and the Government of Japan

**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

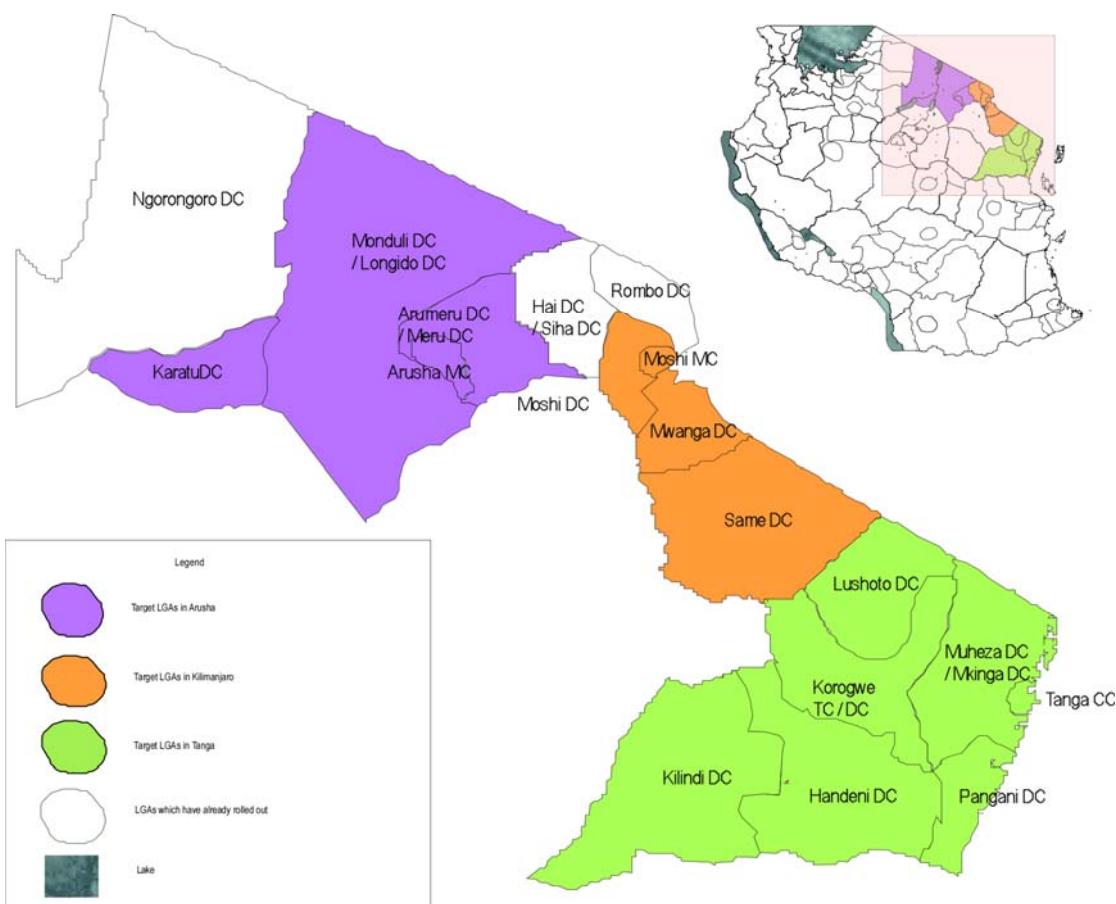
CC: City Council / MC: Municipal Council / DC: District Council

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 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. Table 1.2 summarizes purposes of and associated target areas in each Task.

**Table 1.2 Target Areas of the Whole Study and the Tasks**

Target Area of the Study		Whole country
Task	Purpose	Target Area
Task 1	To understand current status of policy environment	Whole country
	To understand current status of the post O&OD stage	Selected LGAs from the whole country
Task 2	To understand current status of the O&OD roll-out stage	Selected LGAs from Arusha, Kilimanjaro, and Tanga Regions
	To financially support the O&OD roll-out (O&OD roll-out Phase 1)	Selected LGAs from Arusha, Kilimanjaro, and Tanga Regions
Task 3	To make tentative proposals based on Task 1 and Task 2	Whole country
Task 4	To verify feasibility and appropriateness of the tentative proposals on R&B	Selected LGAs from whole country
	To verify feasibility and appropriateness of the tentative proposals on the O&OD roll-out	Selected LGAs from Arusha, Kilimanjaro, and Tanga Regions
	To financially support the O&OD roll-out (O&OD roll-out Phase 2)	Selected LGAs from Arusha, Kilimanjaro, and Tanga Regions
Task 5	To consolidate final proposals based on the results of Task 4	Whole country
	To financially support the O&OD roll-out (O&OD roll-out Phase 3)	Selected LGAs from Arusha, Kilimanjaro, and Tanga Regions

**Figure 1.3 Target LGAs for O&OD Roll-out**



	LGA	1	2	3	4	5	6	7	8	9
Tanga	Lushoto DC	419,970	16	32	100	3.6	1.5	46	3.5	91
	Korogwe DC	261,004	31	30	100	4.6	7.8	55	6.6	115
	Muheza DC	279,423	33	30	100	4.2	5.8	32	1.9	96
	Tanga MC	243,580	17	31	100	2	36.6	89	21	75
	Pangani DC	44,107	22	32	100	5.4	10.7	65	8.9	105
	Handeni DC	249,572	32	28	86	7.6	4.8	41	5	104
	Kilindi DC	144,359	38	26	78	17.4	0.1	29	1.2	108
Arusha	Monduli DC	185,237	24	33	71	24.4	3.1	49	1.3	35
	Arumeru DC	516,814	18	30	99	3.9	11.4	85	5	41
	Arusha MC	282,712	12	30	93	1.2	41.9	99	21.7	39
	Karatu DC	178,434	39	29	100	16.4	3.5	64	1.2	61
	Ngorongoro DC	129,776	24	26	71	24.4	2	34	1.5	31
Kilimanjaro	Rombo DC	246,479	37	27	96	0.7	7.7	93	1.7	49
	Mwanga DC	115,620	27	29	100	2	22.1	74	4.3	47
	Same DC	212,325	34	31	100	1.7	9.8	66	1.8	55
	Moshi DC	402,431	28	29	99	1.5	10.9	75	3.7	40
	Hai DC	259,958	22	29	96	2.4	14.8	68	3.5	44
	Moshi MC	144,336	18	32	100	1	46.6	92	36.1	44

Source: Poverty and Human Development Report 2005, URT

1. Population, 2002
2. Percent of the population below the poverty line, 2000/01
3. Gini coefficient, 2000/01
4. Primary education net enrolment rate, 2004
5. Per cent of children aged 7 to 13 who are economically active and not attending school, 2002
6. Per cent of households having electricity, 2002
7. Per cent of households using piped or protected water source, 2002
8. Per cent of households using flush toilet or ventilated improved pit latrine, 2002
9. Infant mortality rate (per 1,000 live births), 2002



## 1.6 Outline of Final Report

Draft Final Report is an outcome of the Study including all the results of field studies and testing activities, and proposals and action plans based on the results. The Report consists of four major parts: 1) results of studies on current status of the policy environment, O&OD roll-out, and post O&OD roll-out; 2) tentative proposals formulated based on the results of studies on current status; 3) results of testing activities for O&OD roll-out and R&B based on the tentative proposals; 4) final proposals and action plans for improvements of O&OD planning process.

### *Results of studies on current status*

Chapter 2 presents a review of current planning and budgeting systems. The Chapter first reviewed major multi-sectoral and sectoral planning approaches at the LGA and the LLGA levels initiated by different Ministries, and then budgeting system at the LGA level including all the recurrent and development grant systems. Based on the review, the findings section discusses about harmonization of planning and budgeting procedure under different initiatives and roles of the ward.

Chapter 3 shows results of a field study on current status of O&OD roll-out. The field study was carried out using an opportunity of actual O&OD roll-out in Monduli DC, Muheza DC, and Moshi MC from August to October in 2006. After carrying out field observations and key informant interviews, the Team compiled findings which elaborate structural and functional issues to be tackled with and fundamental changes required in order to improve and optimize the O&OD planning process.

Chapter 4 includes results of a field study on the post O&OD roll-out status. The Study Team carried out field studies in 10 villages, 12 wards and 6 LGAs to identify challenges to establish R&B mechanism. Focus group interviews and individual interviews were carried out with over 300 LGA-level officers, ward-level officers, Village Council members and community members in all. The implications based on the field studies touch upon issues of incentives of communities to review Community Plans, horizontal and vertical information sharing, and physical and technical capacities.

### *Tentative proposals formulated based on the results of studies on current status*

Chapter 5 presents tentative proposals prepared on the basis of the results of studies on current status. The tentative proposals consist of counter measures for improving O&OD roll-out, establishing R&B mechanism, and promoting enabling environment for O&OD roll-out and R&B. The tentative proposals were prepared for the basis of testing activities which are discussed in Chapter 6 and 7.

### *Results of testing activities for improved O&OD roll-out and R&B based on the tentative proposals*

Chapter 6 shows results of testing activities for improved O&OD roll-out. Testing was carried out through actual implementation of improved O&OD roll-out in Karatu DC, Pangani DC, and Tanga CC from April to June in 2007. Modifications of O&OD roll-out process were made based on the tentative proposals in such areas of social preparation, a new prioritization approach, and introduction of R&B concepts. Modifications in those areas were evaluated



during field observations and key informant interviews based on the criteria of relevance, effectiveness, and sustainability.

Chapter 7 shows results of testing activities for R&B. Testing was carried out in all villages of Chalinze Ward and Vigwaza Ward in Bagamoyo DC from February to April in 2007. Based on the tentative proposals, sensitization of CMT members, orientations for NFs, DFs, and WFs, review of Community Plans, and consolidation of Community Plans at the wards were experimented. Evaluation was made for each step in those experimental activities based on the criteria of relevance, effectiveness, and sustainability.

*Final proposals and action plans for improvements of O&OD planning process.*

Chapter 8 is the final chapter showing final proposals and action plans prepared on the basis of all the results out of the Study. The final proposals are refined forms of the tentative proposals. The refinement was made according to the results of the testing activities on O&OD roll-out and R&B which scrutinized feasibility of activities in the areas of promoting enabling environment for O&OD roll-out and R&B, and improving O&OD roll-out, and establishing R&B mechanism. Action plans are prepared based on the final proposals indicating concrete actions to be taken within a timeframe of five years.

## CHAPTER 2

### CURRENT PLANNING AND BUDGETTING SYSTEMS IN TANZANIA

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#### 2.1 Introduction

The ongoing Decentralization by Devolution (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<sup>1</sup>. 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, 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 Plan 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 circumstances, it is pertinent to review the current status of planning and budgeting systems in operation in order to understand how the O&OD planning process and the post O&OD planning process could be in harmony with such systems.

To review the planning and budgeting system, the linkage of the O&OD with sector initiatives should be carefully looked at. The O&OD, due to its multi-sectoral nature, facilitates preparation of a participatory plan at the community level across sectors, but at the same time numerous planning, budgeting and reporting mechanisms exist at the community level parallel to the O&OD<sup>2</sup>.

Hence, the following sections first review current planning and budgeting processes from an overall perspective, and then examine each process separately from multi-sector and sector-wise perspectives. At the end findings are presented on the basis of the review and examination.

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

The planning and budgeting cycle begins when national planning and budgeting guidelines<sup>3</sup> 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, NSGRP) 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

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<sup>1</sup> For more detail, see PMO-RALG (2005), *Local Government Reform Programme: Medium Term Plan and Budget July 2005-June 2008*, p6.

<sup>2</sup> This issue is also pointed out in *The Public Expenditure and Financial Accountability Review (PEFAR) 2006*.

<sup>3</sup> For more details about the budget cycle, see REPOA (2004), *Budget Cycle in Tanzania, Issues Relating to Local Government*, and PO-RALG (2004), *Planning Guidelines for Villages and Mitaa*.

national guidelines, PMO-RALG also issues planning and budgeting guidelines for the LGA. The guidelines of PMO-RALG 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/WDCs.

In the rural setting, after receiving the instruction, with the support of ward officers, the Village Council reviews the Village Plan (VP) in the past year. The VP is supposed to be reviewed every year, as a 3-year rolling plan, by Village Council members and other community members through O&OD participatory planning approaches. Every after review of the Plan, the Village Assembly is supposed to approve the VP<sup>4</sup>. The VP is then directly submitted to the LGA. In the urban setting, the Ward Plan (WP) is also supposed to be annually reviewed in the same manner as in the rural setting by representatives of *Mtaa* in the area. After the review, the WDC consolidates the 3-year WP and submits to the LGA.

Nevertheless, this planning process at the community level is not necessarily practiced in all communities. In the current situation, some villages and wards prepare VP/WP (hereafter Community Plan is used interchangeably) and review it annually while the other do not even prepare a single plan by any means of participatory approaches<sup>5</sup>.

Suppose that Community Plans exist and they are submitted to the LGA, the LGA is supposed to incorporate them into the LGA Plan. At the 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. The MPEE and the MoF incorporate LGA plans in a government plan and budget.

Prior to provision of grants/funds, e.g. LGCDG, Agriculture Sector Development Program (ASDP) and National Framework for Urban Development and Environmental Management (UDEM) funds<sup>6</sup>, PMO-RALG carries out an annual assessment targeting all the LGAs in mainland Tanzania. The result determines which LGA is qualified for those grants/funds in the coming financial year<sup>7</sup>. Sector ministries also conduct the review and appraisal of LGA's sector development plans before funds allocation.

## 2.3 Planning System

### 2.3.1 Types of Planning at LGA and Lower LGA

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

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<sup>4</sup> The O&OD planning process adopted the same process at village and ward levels.

<sup>5</sup> It is obvious from the field studies carried out by the O&OD Study Team from July to August 2006.

<sup>6</sup> The LDCDG system and other development grants/funds are explained in the later Section of this report, respectively.

<sup>7</sup> Although the assessment process was started from September, the assessment itself was conducted between March and May 2006 for the FY 2006/07. For more details, see PMO-RALG (2006), *Local Government Capital Development Grant System, Annual Assessment of Local Government Authorities, 2006*.

The SP tends to entail the basket funding mechanism in order for the development partners (DPs) to ensure the use of funds in a particular sector. For instance, the Primary Education Development Plan (PEDP) Fund, the Health Sector Basket Fund (HSBF), and the Agricultural Sector Development Programme (ASDP) Basket Fund are all systemized basket funding mechanisms as a tool to facilitate implementation of the SP in each sector.

Since those supporting 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 to ensure the appropriate use of the funds. The outputs of the planning are the School Plan for the primary education sub-sector, the School Development Plan and Budget for the secondary education sub-sector, the Comprehensive Council Health Plan (CCHP) and a plan and budget for the Joint Health Infrastructure Rehabilitation Fund for the health sector, and the District Agricultural Development Plan (DADP), the Ward Agricultural Development Plan (WADP) and the Village Agricultural Development Plan (VADP) for the agricultural sector and those plans become a basis of disbursing the funds. Table 2.1 summarizes the institutionalized or being-institutionalized plans at different levels.

**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
<b>Multi-sector Approach</b>		TDV 2025 Mkukuta Local Government Reform Program	LGA Plan	Rural	-	Village Plan	O&OD planning methodology (2002- )
				Urban	Ward Plan	-	
<b>Sector Approach</b>	Educa- tion	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
	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	
	Agriculture*	Agricultural Sector Development Programme	District Agricultural Development Plan	Ward Agricultural Development Plan	Village Agricultural Development Plan (part of VP)	No particular planning methodology applied	
Water	National Rural Water Supply and Sanitation Programme	-	-	-	A project application	No particular planning methodology 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.

The following sections describe the planning system of the multi-sector approach, the sector approach and other approaches. In the sector approach, planning aspects of four major sectors are examined: education, basic health, agriculture, and water. Those sectors are the most demanded areas by community, and in fact specific objectives in the VP and the WP

formulated by community, in most cases, fall under those four sectors. TASAF II is also reviewed since it is a nation-wide approach dealing with community development and its financial operation is in-built within the LGA budget.

### 2.3.2 O&OD Planning Process

PMO-RALG is currently championing the multi-sector planning or the O&OD participatory planning whose role becomes increasingly important to promote community initiatives and at the same time to satisfy the needs rising from national policies or programs.

Initial concern of the O&OD methodology was to reduce dependency syndrome and create a sense of ownership of Community Plans. Accordingly, the government in consultation with various partners and stakeholders started the process of developing the O&OD methodology in 2001. The methodology has been developed in line with the government's aspirations to devolve powers to community as declared in the 1977 Constitution of the United Republic of Tanzania<sup>8</sup>.

The O&OD is however not only to promote a community initiative, but also to accelerate achievement of national goals in the Tanzania Development Vision 2025 (TDV2025). In the O&OD planning process, the sub-goals in the TDV 2025 become a direct basis of setting *Specific Objectives*, under which planning items are identified such as *Opportunities, Obstacles, Cause, Intervention, Steps of Implementation, Inputs and Costs*.

The O&OD planning is at the same time to promote effective and efficient allocation of the Local Government Capital Development Grant (LGCDG) as clearly elaborated in the *Planning Guidelines for Villages and Mitaa* that the O&OD is an essential methodology to identify community needs for which the LGCDG is disbursed<sup>9</sup>.

The planning process of the O&OD begins with the preparation of the VP in rural LGA and the WP in urban LGA. In the rural LGA, the VP is discussed and given technical advice at the WDC before approval at the village assembly. After the VP is approved, it is then submitted to the LGA. In the urban LGA, the WP is prepared by representatives selected at each *Mtaa*. After the WDC discusses and provides technical advice on the contents of the Plan, it is then submitted to the LGA as in the rural LGA process. In theory the LGA is supposed to incorporate Community Plans into the LGA Plan. The process up to this point is called the O&OD roll-out while the process after this point is called the post O&OD roll-out as elaborated in Chapter 1.

### 2.3.3 Sector Oriented Planning

#### (1) Primary Education

The primary education sub-sector adopted the Primary Education Development Plan (PEDP) in 2002 as part of the Education Sector Development Programme (ESDP). Under the Plan, a three-year School Plan is prepared by the school committee at each primary school to receive the grants from the PEDP Fund<sup>10</sup>. In order to assure effective use of the PEDP fund, two grant

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<sup>8</sup> For more details, see *The Opportunities and Obstacles to Development -A Community Participatory Planning Methodology-Hand Book*.

<sup>9</sup> For more details about planning and budgeting cycle, see *PO-RALG, Planning Guidelines for Villages and Mitaa (2004)*.

<sup>10</sup> Primary Education Development Plan (PEDP) started in FY2001/02 and ended in FY2005/06. Currently the PEDP 2 (2007-2011) is in progress.

systems have been applied: the Capitation Grant and the Development Grant. Since the use of those grants is ear-marked in specific areas, activities included in the School Plan should fall under some ear-marked categories<sup>11</sup>.

How communities obtained the skills or knowledge on school planning vary. One of the patterns arises from a capacity building training for school committees by the Government. The training, organized by PO-RALG in 2004, aimed to enhance school management capacity of the school committee and a school planning component was included as part of the training sessions<sup>12</sup>. Another pattern was to get LGAs involved in provision of training on school planning to school committees. This was realized through preparation of the Plan based on the skills and knowledge obtained through the School Mapping and Micro-planning under the Ministry of Education and Vocational Training (MoEVT) supported by the UNICEF, NORAD, CIDA and JICA from 1997 to 2004. School Mapping in other words is data collection while Micro-planning is school planning based on analyses of the collected data. Many LGAs follow either one of the patterns or both patterns concurrently. In both patterns, the output is School Plan which is compiled by the School Committee and submitted to the LGA by the Ward Education Coordinator (WEC).

#### Linkage/Consistency with the O&OD

- Since the Community Plan of the O&OD is a multi-sector plan, it is inclusive of activities in the School Plan. In other words, School Plan could be one of the detailed plans of the Community Plan only dealing with primary education component.
- Some members of the school committee could participate both in the planning process of the Community Plan and the School Plan although the head teacher and other teachers are not recommended by PMO-RALG to be facilitators in the Community Planning Process of the O&OD to avoid disrupting teaching.
- The school Plan is only approved by the Village Council after submission by the school committee while the Community Plan is prepared by the Village Council and approved by the village assembly. The School Plan could be well known to only among the school committee members, the head teacher and teachers while the Community Plan is more widely recognized by entire community.

#### (2) Secondary Education

The Secondary Education Development Plan (SEDP) was initiated in 2004 as another sub-sector plan under the EDSP. Likewise the PEDP, the SEDP also requires for each secondary school to have a three-year School Development Plan. The Plans are incorporated into the Council Education Development Plan and finally approved by the MoEVT.

The School Development Plan is prepared by the Head of School together with the School Management Team<sup>13</sup> in order to identify the prioritized activities in the school. The Plan becomes a basis of receiving SEDP funds including the Capitation Grant and the

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<sup>11</sup> The Capitation Grant is ear-marked for text books, teaching materials and aids, conducting examination, capacity building and training, and minor rehabilitation of facilities and furniture. The Development Grant is ear-marked for construction and rehabilitation of classrooms, construction of teacher's house, toilet and water supply, large scale rehabilitation, and purchase of furniture.

<sup>12</sup> The training utilized the handbook, *uimarishaji wa uwezo wajumbe wa kamari za shule za msingi*, which was developed in 2003 by the Agency for the Development of Educational Management.

<sup>13</sup> It consists of the head of school, the assistant head of school, the senior academic masters/mistresses, senior master/mistress in charge of discipline, sports, and cultural affairs, senior masters/mistresses for school maintenance and projects and school accountant.

Development Grant as in the PEDP as well as the Scholarship Grant for pupils from relatively poor households.

Unlike operation of the primary school which exists almost in each village, operation of the secondary school is a cross-village activity due to its relatively scarce number. Accordingly, involvement of village/*Mtaa* is not as intense as in the primary school to which more of the parents are sending their children to the school.

#### Linkage/Consistency with the O&OD

- The planning process of the School Development Plan has a weak linkage with that of the Community Plan in the rural O&OD process since the secondary school issue is beyond village activities. It is rather handled at the ward level as part of the LGA responsibility.
- However, common ground can still be found in the urban O&OD process since the WP is the output of the urban O&OD process. Activities included in the School Development Plan therefore could be part of the comprehensive WP in the urban planning process using the O&OD methodology.

#### (3) Health

In the health sector, the second Health Sector Strategic Plan covering the period July 2003-June 2008 is currently under way<sup>14</sup>. Under the Plan, each LGA should prepare the Comprehensive Council Health Plan (CCHP) for which major sources of funds are the Health Sector Basket Fund (HSBF) and the Joint Health Infrastructure Rehabilitation Fund (JHIRF).

The HSBF is utilized particularly for recurrent purpose while JHIRF is for development purpose. The HSBF is disbursed to the six ear-marked areas for which range of the allocation ceiling is set<sup>15</sup>. On the other hand, the JHIRF is disbursed to the plan and budget prepared by each Health Facilities committee. The plan and budget prepared by the committee is presented to the Village Council and forwarded to the WDC and then submitted to the Council Health Committee. All plans are supposed to be prioritized and incorporated into the CCHP.

#### Linkage/Consistency with the O&OD

- As in the same manner, the Community Plan could be inclusive of activities in the Plan for the JHIRF prepared by the Council Health Committee. The Plan could be a technically supplementary to the Community Plan associating with a community health component of the Community Plan.
- The plan is only approved by the Village Council after it is submitted by the committee as for the case of the School Plan. The Plan for JHIRF could only be recognized among the committee member, whereas the Community Plan is more broadly perceived by communities.

#### (4) Agriculture

The Agricultural Sector Development Programme (ASDP) is currently being implemented by the Central Government as well as LGAs. Implementation by the LGAs is based on the

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<sup>14</sup> The first Health Sector Strategic Plan is known as the 1999-2002 Programme of Work.

<sup>15</sup> The six areas include 1) Office of Council Medical Officer, Medical Officer of Health and Council Health Service Board, 2) Council Hospital, Council Designated Hospital, Regional Hospital serving only one Council as Council Hospital, 3) Voluntary Agency Hospitals, 4) Health Center, 5) Dispensary, and 6) community. For detail, see the later section of "Sector Oriented and Other Grants/Funds."

District Agricultural Development Plan (DADP), which has been prepared and implemented by LGAs since 2003.

The latest draft of the guidelines suggests that the Village Agriculture Development Plan (VADP) should be a part of a comprehensive VP prepared through the O&OD planning process. To capture the importance of agriculture activities in the O&OD process, LGA officers in charge of the agriculture sector are trained under the ASDP. According to the guidelines, after a VP is prepared ward officers consolidate VPs into a WP. In this process, VADPs are also consolidated into a WADP which is a part of a WP. Then the WP is submitted to the LGA, which consolidates all WPs into the District Plan, which includes the District Agriculture Development Plan (DADP).

#### Linkage/Consistency with the O&OD

- The ASDP is currently working on a task that agriculture is sufficiently featured in the O&OD planning process, as agriculture has not been well captured in terms of technical and cost aspects in the available VPs.

#### (5) Water and Sanitation

National Rural Water Supply and Sanitation Programme (NRWSSP) is a national programme established in March 2006 to improve water supply, sanitation and hygiene services and to promote mitigation and prevention activities of HIV/AIDS in community. Although this Programme entails neither nationwide planning methodology at the community level nor systematic training for communities to prepare plans, the emphasis is placed on community to spontaneously and effectively express its demands.

To understand community demands on water and sanitation, LGAs first disseminate information on the NRWSSP down to the community level. The WDC and Ward Extension Officers at the same time distribute the project application form to the Village Council, who mobilizes the community and assist the community to form the Water and Sanitation (WATSAN) Committee. The WATSAN Committee assisted by the Village Council identifies community demands through community meetings and prepares a project application. The application is then submitted to the LGA to scrutinize. Once the LGA decides to support the project, the Village Council are informed and sign the agreement with the LGA on behalf of the village.

#### Linkage/Consistency with the O&OD

- In the NRWSSP, no planning system is applied by the Government at the community level but the stance of the Programme is rather to assist a demand based initiative from communities.
- Since the O&OD planning process is able to identify the community demands and visualize the demands in the Community Plans, the community may be able to prepare a project application on water and sanitation issues based on the Community Plans prepared through the O&OD.



#### 2.3.4 Other Planning: Tanzania Social Action Fund II (TASAF II)

The Tanzania Social Action Fund (TASAF), initiated in 2000, aims to protect the poor through investments in communities. TASAF is described as a means “to deliver tangible benefit to communities while awaiting longer-term benefits from macro-economic reforms.”<sup>16</sup> TASAF is currently in its second phase covering the period from 2005 to 2009. It is covering the whole nation, channeling the funds for community projects through the LGA and village/*Mtaa* levels<sup>17</sup>.

For communities to access TASAF funds, first of all, it should fill in Sub Project Interest Form<sup>18</sup>. The forms are usually available at LGA offices. By using the Expanded Participatory Rural Appraisal or any other participatory approaches including the O&OD, community members, with the support of a TASAF coordinator and ward officers, prepare a proposal which should be approved by the Village Assembly. Then, the proposals are appraised and approved by the Council Management Team, chaired by the District Executive Director (DED).

Approved proposals are forwarded to the Sector Expert Team at the national level which is chaired by PMO-RALG and consists of sector ministries. The main functions of this team are: 1) quarterly to review sub-projects submitted to the National Steering Committee for endorsement and make a judgment of their conformity with sector norms/standards; 2) to recommend funding of sub-projects using National Village Fund resources or defer sub-projects’ funding until review has been undertaken by sector experts; and 3) to provide technical advice on cost effectiveness of the sub-projects. After final approval, funds are remitted to the project account of the community via the channels explained above.

#### Linkage/Consistency with the O&OD

- TASAF is, as named, a program ear-marking the use of the fund for community development. Due to its nature, the fund is disbursed where the feasibility is duly confirmed by the Sector Expert Team. Therefore, it is common to have frequent complaints raised by communities that funds are not disbursed even if they spent a certain period of time to come up with a proposal through a PRA approach<sup>19</sup>.
- In other words, community incentives to work out the proposal are thus based on acquirement of the funds to a great extent. The O&OD principle to promote self-reliance may be somehow undermined if it is conducive to a dependency syndrome.
- As described in the NRWSSP case, the community could be encouraged to prepare a project proposal based on the demand and community resources identified in the Community Plan to nurture a sense of self-reliance.

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<sup>16</sup> It is a quotation from description of the TASAF mechanism made in 2003 by the President of Tanzania. The World Bank, *The Tanzania Social Action Fund (TASAF): owning the process of measuring impact and achieving results*, July 2006.

<sup>17</sup> TASAF I covered only one third of the LGAs, and the funds did not channel through the LGAs.

<sup>18</sup> Communities in all LGAs are allowed to send applications for a grant of US\$ 3,000-50,000 per activity.

<sup>19</sup> The Study Team confirmed the same complaints in many places during the field study carried out from July to September 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<sup>20</sup>.

For the recurrent budget of the LGAs, a formula-based grant transfer system 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 grants from the Central Government to cover the Personnel Emolument (PE) and the Other Charges (OC)<sup>21</sup>.

For the development budget, the Local Government Capital Development Grant (LGCDG) is coming to the forefront besides the other development grants on the basis of Sector Programs, area-based supports 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) of the LGCDG system would have more opportunities and autonomy than before to comply financially with multi-sectoral needs and priorities of villages/*Mitaa*.

Therefore, the following sections will summarize an overall structure of budgeting mechanisms at the LGA and LLGA levels from perspectives of: i) grants from the Central Government i.e. a formula based block grant for the recurrent budget and the LGCDG for the 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 grants and funds 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, prepared by 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
General Purpose	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.

<sup>20</sup> Most of the LGAs are largely depending their revenue sources upon inter-governmental transfer (the transfer from the Central Government to the LGAs) ranging from 80% to 95% according to LGAs. Due to abolition of so-called nuisance local taxes the dependency has further increased in recent years. Only Dar es Salaam Region where most of the taxes are collected has less dependency but still around 65% of its revenue comes from the Central Government.

<sup>21</sup> The recurrent cost is divided into two categories. The PE is usually the salary and the OC includes all other recurrent expenditure than the PE.

## 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. The formula of the Agriculture Block Grant was amended in the 2006/07 to 2008/09 version of the planning and budgeting guideline, for instance.

In addition to sector recurrent grants, the General Purpose Grant (GPG), 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. Therefore, as for the GPG formula, 30% of the portion is based on the total number of rural residents.

Table 2.3 shows the major recurrent grants, which are specified in PMO-RALG (2007), *Guidelines for the Preparation of Local Government Authorities' Medium Term Plans and Budgets for 2007/08 to 2009/10*.

Those recurrent grants are intended to cover the PE and the OC. On setting out formulae, poverty and vulnerability aspects are taken into consideration as follows, although it is mainly based on LGAs population sizes or number of villages:

- Primary Education: number of school-aged children
- Local Health Services: estimated number of poor residents, length of the official medical vehicle route and estimated morbidity count
- Agriculture Extension: rural population and rain fall index
- Local Road: poverty indicator
- Water: unserved rural population

In principle, according to the Guidelines, a concept of “hold harmless baseline” for budget allocation is emphasized. The concept is explained that ‘since the purpose of local government finance reforms is to improve local government service delivery, it is appropriate to ensure that no single local government authority experiences a decline in sectoral resource under the block grant scheme vis-à-vis their previous allocation level’. A “hold harmless baseline” is computed at the beginning of each budget process.

Table 2.3 Recurrent Grants

Grant	Purpose	Formula/Condition
<b>Block Grant</b>		
Primary Education	To provide funds for the effective administration and delivery of Universal Primary Education at the council level, including school operation costs as well as adult education.	<ul style="list-style-type: none"> <li>Formula: 100% (number of school-aged children)</li> <li>LGAs should allocate the OC amount firstly for LGAs' wide activities and the balance of the funds should then be distributed to schools according to enrolment figures.</li> <li>School plans should be the basis for the allocation of OC resources at the schools level. School level plans and budgets are consolidated into those of the LGA.</li> </ul>
Primary Health	To provide funds for the operation and delivery of primary health care services at the council 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).</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> </ul>
Agricultural and Livestock Extension and Livestock Development Services	To provide resources to allow LGAs to administer and deliver effectively agricultural extension and livestock development services and thereby increase productivity and food security.	<ul style="list-style-type: none"> <li>Formula: 80% (number of villages); 10% (rural population); and 10% (rainfall index)</li> <li>LGAs shall allocate Agriculture Sector Block Grant resources to cover the recurrent cost of providing basic training and support to local farmers and for assistance in livestock development.</li> <li>Not more than 20% of block grant resources may be used to provide funding for DALDO and the administration of agricultural extension activities. At least 80% of the grant must be used to provide direct funding for agriculture extension activities at the ward and village levels.</li> </ul>
Water	To provide recurrent funding for local water activities.	<ul style="list-style-type: none"> <li>Formula: 90% (unserved rural population estimated by the Ministry of Water and Livestock Development); and 10% (on the basis of equal share)</li> <li>LGAs shall allocate Water Block Grant resources to cover the recurrent cost of monitoring local access to potable water across the district and the administrative elements of implementing new local water schemes to unserved communities.</li> </ul>
Roads	To provide core funding to the Council Roads Engineer's department for the administration of road works and for the maintenance of LGA roads.	<ul style="list-style-type: none"> <li>Formula: 75% (network length); 15% (land area); and 10% (poverty indicator)</li> <li>LGAs shall use Road Block Grant resources to cover the cost of maintaining the existing local roads network. Use of Roads Block Grant resources for capital development purposes is prohibited.</li> </ul>
<b>General Purpose</b>		
	To provide funds for the administration of LGAs and equalize funds to allow those LGAs with low revenue potential to provide local services.	<ul style="list-style-type: none"> <li>Formula: 10% (fixed lump sum); 10% (total number of villages); 50% (total population); and 30% (total number of rural residents)</li> <li>The GPG is an unconditional grant and has to be spent in accordance with the LGA's budget process and financial regulations.</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*.

## (2) Development Grants

Among the development grants under PMO-RALG is the LGCDG system allocated to LGAs<sup>22</sup>. 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<sup>23</sup>.

<sup>22</sup> The source of the LGCDG is derived from the government own source, the World Bank and other development partners. According to the *LGCDG Annual Budget* issued by PMO-RALG, in FY 2005/06, Canada, Finland, Ireland and Netherlands contributed to the LGCDG, and, in FY 2006/07, European Commission, Finland and the Netherlands have pledged.

<sup>23</sup> For more details, see PMO-RALG (2006), *Local Government Capital Development Grant System, Annual Assessment of*

As shown in Table 2.4, 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.

As stated, the assessment is carried out between March and May. Then, funds are allocated on a quarterly basis. LGAs are required to submit financial report also on a quarterly basis as part of the minimum conditions. In summary, below are other characteristics of the LGCDG<sup>24</sup>.

#### Minimum Access Conditions

CDG: Parameters of: 1) financial management; 2) fiscal capacity; 3) development planning; 4) transparency and accountability; 5) interaction with LLGAs; 6) human resource development; 7) procurement; 8) project implementation; and 9) LGA functional process; are set for the performance measurement. Those parameters are subdivided into indicators, and the indicators are categorized as primary and secondary conditions. In addition, as one of the Minimum Access Conditions, LGAs are required to provide co-funding, which is set at 5% of the total CDG amount.

CBG: Minimum Access Conditions are two, i.e., LGAs must have 1) an acceptable capacity building plan, which should be in the format introduced in the LGA restructuring methodology; and 2) satisfactorily accounted for previous grant disbursements.

In order for an LGA to access the CDG, it must meet all the Minimum Access Conditions. In case of failure to meet the conditions, the LGA will be assessed to determine whether they meet the conditions for accessing the CBG. If met, the LGA will receive the CBG for capacity building activities. Should a LGA fail to meet primary conditions, it will automatically be disqualified for the CDG as well. Should a LGA fails to meet two secondary conditions or less, a provisional CDG will be provided, and the LGA must prepare documentary evidence to rectify the situation.

#### Incentive and Bonus/Penalty System

CDG: Performance measurement incentives have been designed to ensure that the majority of funds are spent within the key poverty reduction areas (health, education, water and sanitation, roads and agriculture). It is anticipated that 80% of the CDG should be spent in these areas.

CDG/CBG: The performance of the LGA on key functional areas (the 9 areas listed above under Minimum Access Conditions) is assessed using the performance measurement indicators. Unlike the minimum access conditions, the performance measurements indicators

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*Local Government Authorities, 2006.*

<sup>24</sup> For more details about the LGCDG system as a whole, see PMO-RALG (2006), *Local Government Capital Development Grant System, Annual Assessment of Local Government Authorities, 2006*, and *Guidelines for the Preparation of Local Government Authorities' Medium Term Plans and Budgets for 2006/07 to 2008/09*.

are assessed using a scoring system that feed into an incentive system for rewarding good performance and sanctioning poor performance based on assessment of the LGAs performance on key functional areas. The performance assessment applies to only those LGAs that have met the minimum conditions to receive the CDG. Performance ratings and respective rewards/sanctions as follows:

- acceptance performance for a basic CDG;
- very good performance for a +20% CDG;
- poor performance for a -20% CDG;
- non-compliance with Minimum Access Conditions of the CDG for no CDG; and
- compliance only with those of the CBG for a basic CBG.

### Avoiding Duplication

CDG: All LGAs are in principle eligible for the CDG other than those LGAs that continue to receive (non-sectoral) area-based support from development partners.

### Allocation to the LLG

CDG: 50% of CDG funds should be allocated to villages/*Mitaa* needs identified through participatory planning methodologies such as the O&OD, as set out in the *Planning and Budgeting Guidelines for Villages and Mitaa*.

CDG: In the process of CDG allocation, according to the above guideline, the Indicative Planning Figure (IPF) is distributed to the wards, which shows the official population figure based on the 2002 census, since the CDG is to be allocated on per capita basis. The IPF is informed by the ward to the village but is “not further allocated beyond the wards to the villages/*Mitaa* as this would dilute the funding available and therefore possibly make the funds available to each village too small to be able to make significant investments.”<sup>25</sup>

CBG: A minimum of 40% of the CBG should be utilized at the sub-district level by ward/village/*Mtaa* officers.

**Table 2.4 Development Grants (LGCDG System)**

Grant	Purpose	Formula/Condition
CDG	To assist LGAs to construct new or rehabilitate existing infrastructure according to locally defined priorities against a broad investment menu, with a view to empowering communities, improving service delivery and reducing poverty.	<ul style="list-style-type: none"> <li>• Formula; 70% (size of population); 10% (land area); and 20% (estimated number of poor residents). The average amount of the CDG is set at USD1. 5 per capita</li> <li>• PMO-RALG carries out an annual assessment exercise each September, which identifies those LGAs that have met the Minimum Access Conditions. It starts with selection of an assessment team.</li> <li>• The performance indicators for measurement link more qualitative aspects of LGA performances, e.g. within planning, financial management and good governance to the yearly size of the CDG.</li> <li>• 15% of the funds may be utilized for the costs of planning, appraisal, monitoring and supervision to ensure the strong planning and project implementation at the local level.</li> <li>• All LGAs are in principle eligible for the CDG other than those LGAs that continue to receive (non-sectoral) Area Based Program supports from development partners.</li> <li>• The CDG cannot be used for the costs of recurrent and maintenance activities and a short list of barred expenses is included in the LGCDG</li> </ul>

<sup>25</sup> PO-RALG, *Local Government Capital Development Grant System: Planning Guidelines for Villages and Mitaa*, October 2004, p12.

Grant	Purpose	Formula/Condition
		System Implementation and Operation Guide.
CBG	To assist LGAs to improve their capacity and performance in order to allow them to meet CDG Minimum Access Conditions or to access additional funds through the performance measurement process.	<ul style="list-style-type: none"> <li>Formula: The average amount is USD35,000 per LGA. Qualified LGAs receive a fixed amount of USD20,000 and the balance of USD15,000 is allocated to qualified LGAs according to the same formula as for the CDG.</li> <li>All LGAs that are in principle eligible for the CDG are also eligible in principle for the CBG, although Minimum Access Conditions are less strict.</li> <li>Eligible CBG interventions for LGAs include a wide variety of activities, like education, training, technical assistance, study of other LGAs best practices, and so on.</li> </ul>
LGDG	To provide funds those LGAs which have not met Minimum Access Conditions for the CDG.	<ul style="list-style-type: none"> <li>The investment menu and project selection procedures are the same as the CDG.</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.*

The Table 2.5 shows the number of qualified/disqualified LGAs for the CDG and the CBG. Minimum Access Conditions of the CBG is less strict than those of the CDG and all the LGAs have been qualified for the CBG in FY 2007/08.

**Table 2.5 LGAs results under Minimum Access Conditions Appraisal (FY 2007/08)**

Grant	Qualified (No)	%	Disqualified (No)	%	Provisional (No)	%
CDG	63	52	12	10	46	38
CBG	106	88	0	0	15	12

Source: PMO-RALG (2007) Annual Assessment of Minimum Conditions and Performance Measures for Local Councils under the LDCDG System for FY 2007/08.

Regarding the average percentage of CDG expenditure at the LGA level, as Table 2.6 shows, 42% of the funds had been utilized in the education sector in FY 2006/07 followed by the health (11%) and road (12%) sectors.

Extreme cases however are seen in some LGAs such as Kasulu DC, Bunda DC, Shinyanga MC, Maswa DC, and Tanga CC. Those LGAs' CDG allocation shares to education were 96%, 86%, 100%, 100% and 82%, respectively. Reasons behind this heavily weighted allocation was unclear, however the LGCDG System Steering Committee will investigate specifically the cases of Shinyanga MC and Maswa DC, and an outcome will be presented to the committee.

**Table 2.6 Allocation by Sector (%) (FY 2006/07)**

Sector	%
Education	42
Health	11
Roads	12
Water	8
Agriculture	3
Others	24

Source: LGCDG Summary report for the FY 2006/07

### 2.4.3 Sector Oriented and Other Funds

In the process of Decentralization by Devolution (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 Program (LGRP), which is to be mainstreamed as part of PMO-RALG routine activities by 2008, aims at improving quality, access and equitable delivery of public services, particularly to the poor, through reformed and autonomous LGAs. For these purposes, together with the D by D, the Fiscal Empowerment, the Human Resource

Empowerment and the Legal Framework are addressed as the priority key areas of the reform<sup>26</sup>. 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 tables summarize those of sector oriented recurrent and development funds.

Table 2.7 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>
Health Sector Basket Fund (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: 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, as a government contribution, 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 and AIDS epidemic at the LGA level.	<ul style="list-style-type: none"> <li>Formula: 2007/08 is the same as the Health Block Grant. 2008/09 and onwards, specific formula will be developed.</li> <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 Comprehensive Council Health Plans.</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 2.8 Other Development Funds

Funds	Purpose	Formula/Condition
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 (Tsh 14 million) and health center (Tsh 52 million).</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 Comprehensive Council Health Plan (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 towards the supervision costs of the LGA.</li> <li>This fund will be harmonized with the LGCDG system in future years.</li> </ul>

<sup>26</sup> For more details, see PMO-RALG (2006), *Local Government Reform Programme; Progress Report, January – June 2006*



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 (Tsh 14 million) and health center (Tsh 52 million).</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 Comprehensive Council Health Plan (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 towards 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 (A-CBG). In addition the District Irrigation Development Fund (DIDF) 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 (around Tsh 30million/yaer/LGA) 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 thereafter as their performance improves, rising from Tsh 140 to 280 million/year/LGA.</li> <li>Consistent with the CDG, and dependent on performance, LGAs either obtain a 25 percent 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>	
	<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), Tsh. 54 billion base cost) 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 the DADG.</li> </ul>	

Funds	Purpose	Formula/Condition
Urban Development and Environmental Management Grant (UDEM-G)	To enable increased funding flows for improved living conditions of the urban communities in Tanzania by facilitating 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).	<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 agricultural; 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. City, Municipal, Town Councils (USD 25000), Township Authorities (USD 12000), and Minor Settlements (USD 10000) 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. The following sections summarize the flow of the funds to LGAs/communities related to such sectors as education, health, and agriculture<sup>27</sup>. In addition, the World Bank supported TASAF II is also covered.

#### (1) Education Sector<sup>28</sup>

During the five years of PEDP (2002-06) the Capitation Grant and the Development Grant were disbursed through the basket fund mechanism, which came to end in June 2006. Currently, PEDP 2 (2007-11) is in progress and the grant system of the Capitation Grant and the Development Grant in the primary education sub-sector remains in a similar manner. However, the funding comes not through the basket fund but flows through the national budget.

The grant called the SEDP Fund under the Secondary Education Development Plan (SEDP) flows from the Treasury (Exchequer Account) via the Ministry of Education and Vocational Training (MoEVT) to the Regional Sub-Treasury, then to school. It is not channeled through LGAs because the LGAs are under PMO-RALG, which has a different planning and budgeting system from the MoEVT<sup>29</sup>. When the fund is provided, however, LGAs also take a responsibility to allocate own funds for mobilizing human resources to advise or monitor the whole process of constructing, rehabilitating and furnishing community built schools in the LGA. At the school level, funds are handled by the School Board, meaning that all School Boards are required to open their own bank accounts.

The MoEVT has its own administrative structure between Zonal Chief Inspectors of Schools and schools, though there are cooperation among Zone, Region, LGA, LLG and school.

<sup>27</sup> Among the most high priority sectors at community level (basic education, health, agriculture, and water), water sector is not covered in this section since sector-oriented development grant scheme does not exist in this sector.

<sup>28</sup> This is based on interviews with officials of SEDP and PEDP of the MoEVT, and on documents, i.e. *Institutional Arrangement Guideline for Secondary Education Development Plan 2004-08* (2004) and *Primary Education Development Plan II* (2006) of Education Sector Development Program (SEDP) by the Basic Education Development Committee (BEDC).

<sup>29</sup> The SEDP funds are not disbursed through the LGA budget, according to *the Revised Financial Management and Accounting Guidelines for the Secondary Education Development Plan 2004-2009* (the Ministry of Education and Culture) and *Institutional Arrangement Guidelines for Secondary Education Development Plan 2004-009* (the Ministry of Education and Culture), This was also confirmed during the interview with a SEDP official in August 2006.

(2) Health Sector<sup>30</sup>

The Health Sector Basket Fund (HSBF) has to be allocated to six different cost centers and portion of allocation to each center is: 1) 15-20 percent to the LGA; 2) 25-35 percent to the LGA hospital; 3) 10-15 percent to voluntary agency hospitals; 4) 15-20 percent to health centers; 5) 15-20 percent to dispensaries; and 6) 5-10 percent to communities. Percentages are set jointly by the Ministry of Health (MoH) and PMO-RALG. The health sector has huge technical recurrent components (personnel and procurement/maintenance of tools/ equipment), and therefore it is not easy to let community alone handle a certain percentage of funds.

The Joint Health Infrastructure Rehabilitation Fund (JHIRF) is utilized for the rehabilitation and maintenance of health centers and dispensaries based on plans made by Health Facility Committees. After approval, the JHIRF channeled the funds to LGAs, the LGAs then transfer funds into bank accounts opened by each committee. To ensure sustainability and ownership, communities as users of health facilities should participate in planning, implementation and monitoring of the works. The communities are also required to contribute in cash or in kind at least 15 percent of the cost of rehabilitation works.

(3) Agriculture Sector<sup>31</sup>

Consistent with the LGCDG system, grants/funds allocated to the LGA under Agricultural Sector Development Program / District Agricultural Development Plan (ASDP/DADP) have two elements: i) a standard or basic grant which LGAs receive unconditionally and; ii) additional or top-up funds which LGAs receive based on improved performance. The DADP was started in FY 2003/04 and now has both government grants and a basket fund in cooperation with other development partners.

The basic components do not have any minimum conditions for allocation. The financial flow of the basic funds is from Exchequer Account of Treasury to LGAs and aligned with that of the LGCDG. On the contrary, in order for LGAs to access the top-up components of the District Agriculture Development Grant (DADG), the Agriculture Extension Block Grant (AEBG) and the Agriculture Capacity Building Grant (ACBG), which are provided through the basket fund, those LGAs must be qualified first on the minimum conditions set for the LGCDG, and then on additional minimum/agreed conditions set by the Agriculture Sector Lead Ministries (ASLMs)<sup>32</sup>.

DADG qualified villages have to open special accounts for agriculture projects, and then funds are transferred from the LGA. Therefore, it is expected that communities should have capacity for the fund management, including maintenance of the account, procurement, mobilization of contribution, report writing and so on. There is no fund transfer to wards, but the wards provide technical support, as a team of experts close to villages, for backstopping.

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<sup>30</sup> This is based on an interview with an official of the Health Sector Reform Program, and the MoH and PO-RALG (2004), *Health Basket and Health Block Grants Guideline*.

<sup>31</sup> This is based on an interview with an official of the ASDP, and ASDP (June 2006), *Guidelines for District Agricultural Development Planning and Implementation (Draft)*.

<sup>32</sup> The ASLMs consist of the Ministry of Agriculture, Food Security and Cooperatives; the Ministry of Livestock Development; the Ministry of Industry, Trade and Marketing; and PMO-RALG.

(4) TASAF II

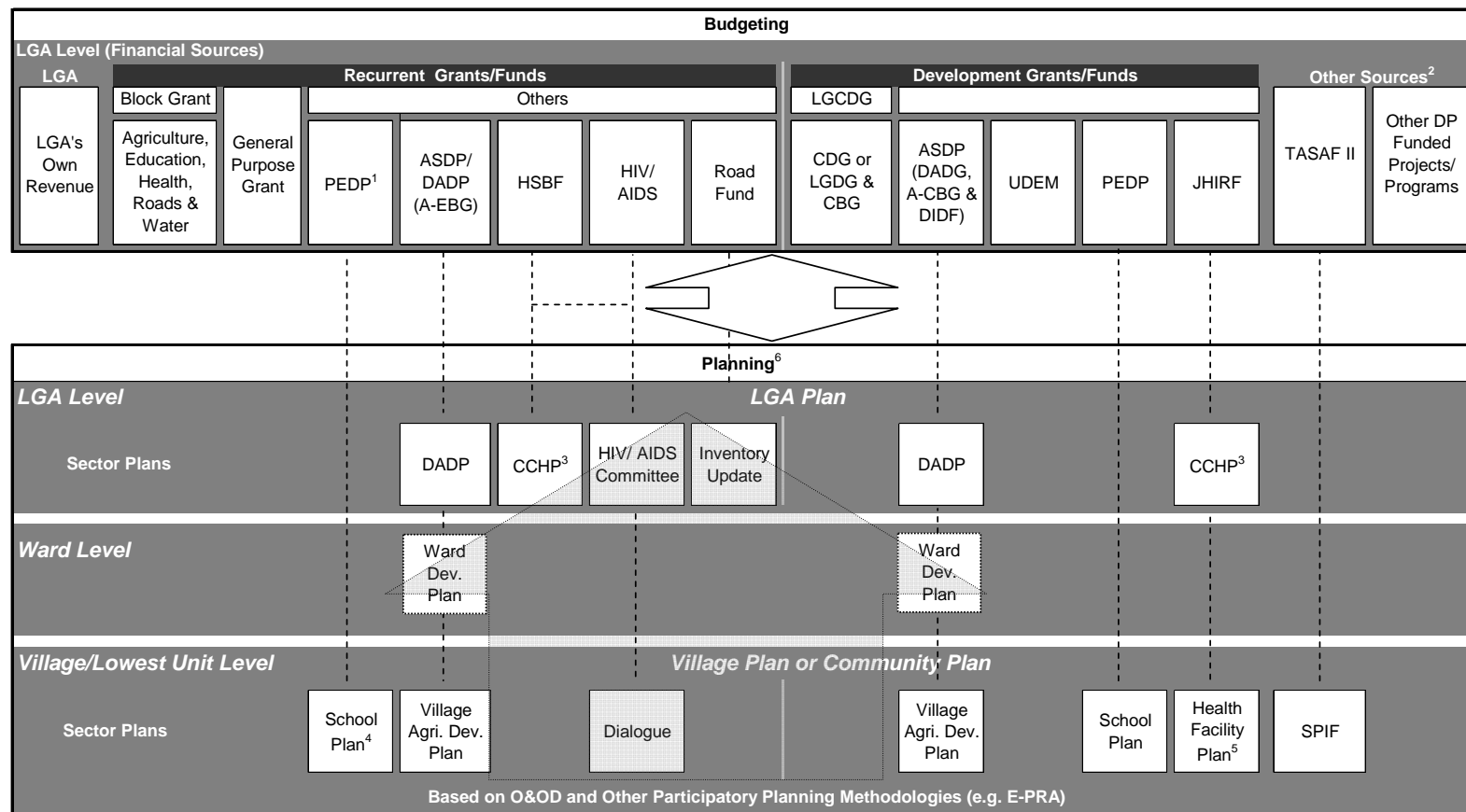
TASAF II funds, which are allocated to LGAs and communities, are divided into two types of fund: i) the National Village Fund and ii) the Capacity Enhancement Fund.

The National Village Fund is a grant provided to communities aimed at improving services, like access to health, roads, education, water and sanitation. The Fund is allocated to the LGAs on a formula basis. The criteria are population (40%), poverty data (40%) and geography (20%). The Capacity Enhancement Fund on the other hand is a grant provided to support institutional development to ensure that all implementing agencies at the community, the ward, LGA, regional and national levels have the requisite capacity to implement community sub-projects activities.

The fund flow of TASAF to the LGA/communities depends on the status of LGAs as far as the LDCDG is concerned. If a LGA is qualified for the LGCDG, funds will be channeled through the LGA to communities. If a LGA is not qualified for the LGCDG, funds will be channeled directly to community where a sub-project is to be implemented. In the both cases, LGAs are expected to facilitate the process. Extension Officers in the wards, as an extended arm of the LGA, are involved in the process.

At the community level, the funds are handled by a Community Management Committee (CMC), which consists of an average of 10 members, and women must be members and hold some leadership position within the CMC. The CMC has to open a separate bank account to carter for a project.

Each LGA signs a memorandum of understanding with TASAF before fund allocation. TASAF provides LGAs with funds for office equipment, transport, project cost, and information communication and education (ICE) materials. The portion is 2.5 percent for LGAs, 2.5 percent for Village Councils, 5 percent for either Village Councils or LGAs, and eventually 90 percent of the funds are flowing into communities.



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 2.1 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 the 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 as in Table 2.9 that they are to supplement technical aspect of and to promote implementation of the O&OD.

**Table 2.9 Assumed Role of Two Types of Plan**

	Output of Planning Process	Role of the Plan
Sector focused planning	Plan including prioritized activities in a specific sector or sub-sector	To supplement technical aspect as well as to promote implementation of the O&OD
Project focused planning	A specific project or program plan	

**Table 2.10 Major Planning Process at Community Level**

Sector	Output of major planning process at community level	Type of the Plan		Source of funds to implement the plan	Core agent to prepare and implement output
		Sector focused	Project focused		
Muti-Sector (O&OD)	Village (Rural LGA) Ward Plan (Urban LGA)	Comprehensive community plan	Comprehensive, and multi-sector focus	<ul style="list-style-type: none"> <li>Community</li> <li>LGCDG</li> <li>Any other funds available</li> </ul>	<ul style="list-style-type: none"> <li>Village Council (Rural LGA)</li> <li>Ward Development Committee (Urban LGA)</li> </ul>
Primary Education	School Plan	Plan to improve primary school	●	<ul style="list-style-type: none"> <li>Community</li> <li>LGCDG</li> <li>(PEDP Fund)*</li> </ul>	<ul style="list-style-type: none"> <li>School Committee</li> </ul>
Secondary Education	School Development Plan and Budget	Plan to improve secondary school	●	<ul style="list-style-type: none"> <li>Community</li> <li>SEDP Fund**</li> <li>LGCDG</li> </ul>	<ul style="list-style-type: none"> <li>The Head of School together with the School Management Team</li> </ul>
Health	A plan and budget	A plan for infrastructure rehabilitation at community		<ul style="list-style-type: none"> <li>Community</li> <li>JHIRF</li> <li>LGCDG</li> </ul>	<ul style="list-style-type: none"> <li>Health Facilitation committee</li> </ul>
Water	A project application	An application for individual project at community		<ul style="list-style-type: none"> <li>Community</li> <li>LGCDG</li> </ul>	<ul style="list-style-type: none"> <li>Water and Sanitation committee</li> </ul>
Agriculture	Village Agricultural Development Plan	Agricultural sector plan at community	●	<ul style="list-style-type: none"> <li>Community</li> <li>DADG</li> <li>DIDF</li> <li>AEBG</li> <li>LGCDG</li> </ul>	<ul style="list-style-type: none"> <li>Economic, Environment, and Land Committee</li> </ul>
TASAF system	A community proposal	A proposal for individual project		<ul style="list-style-type: none"> <li>Community</li> <li>TASAF</li> </ul>	<ul style="list-style-type: none"> <li>The Village Council</li> </ul>

\* FY 2006/07 is the final year of the allocation of Primary Education Development Plan (PEDP)

\*\* SEDP Fund flows directly from the Central Government to the Secondary School unlike the other funds.

As shown in Table 2.10, the sector focused plan includes the School Plan in the primary education sub-sector, the School Plan and Budget in the secondary education sub-sector, and the Village Agricultural Development Plan in the agricultural sector. On the other hand, the project focused plan includes a plan and budget for the JHIRF, a project application under the NRWSSP and a community proposal of TASAF.

Harmonization of the different planning initiatives at the community level with the O&OD planning has already been recognized with different sector ministries. In fact, most of the key informants of the ministries, with whom the Study Team interviewed, have recognized that the O&OD is the nation-wide participatory planning methodology. On the other hand, a weakness has been pointed out in a similar manner by many officials in the way that, from the sector viewpoints, Community Plans can only present village needs and priorities, and therefore further elaboration is essential in order to design projects.

Hence, those existing planning processes at the community level could play two roles: i) to supplement technical aspect of the O&OD; and ii) to promote implementation of the O&OD. 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 School Plan and community proposals for TASAF fund. To promote implementation, other initiatives are encouraged to follow the prioritized objectives and interventions in 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* intervention which reflects the needs at the 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 intervention due to raising role of the LGCDG system in which 50 percent of the CDG of the LGCDG is allocated to the LLGA level. Effective allocation of the CDG is certainly a promoting factor of implementation of the Community Plan 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<sup>33</sup>.

Insufficient definition of the role in identifying cross-village needs is in fact confirmed in the existing planning guidelines. In the O&OD planning process, the role of the ward is only to provide technical advice on the Community Plans. The Plans 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, particularly the Ward Education Coordinator (WEC) remains instrumental and is expected only to facilitate and assist each school to prepare the School Plan<sup>34</sup>. In the secondary education sub-sector on the other hand, the role of the ward in the

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<sup>33</sup> PO-RALG, *Local Government Capital Development Grant System: Planning Guidelines for Villages and Mitaa*, October 2004, p12.

<sup>34</sup> For more detail, see BEDC, *Education Sector Development Programme: Primary Education Development Plan (2002-2006)*, July 2001.

planning process is not emphasized but expected to pursue the other responsibilities such as for the identifying the location of building secondary schools and mobilizing communities for construction, enrolment, and retention of students<sup>35</sup>. In the health and water sectors, role of the ward in the planning process is not prescribed<sup>36</sup>.

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 *Guidelines for District Agricultural Development Planning and Implementation*, the role of the ward level is to identify a cross-village intervention taking into consideration the VADP.

As treated in the agricultural sector, the planning role of the ward might be important to some degree in order to facilitate identifying cross-village needs at the ward level. In this regard, Ward Extension Officers, including WEC, WEO, the Ward Community Development Officer, and the Ward Health Officer, are highly expected to perform substantially in the planning process so that the O&OD plans can comply with the LGCDG satisfying certain quality of 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 simple format which synthesizes Community Plans of the designated area. The simple formats, 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 simple formats in the O&OD planning process seems creating a missing link between the Community Plans and the LGA Plan.

**Table 2.11 Ward Level Plan and Role of the Plan**

Sector	Output of Major Planning Process at Village Level	Output of Major Planning Process at Ward Level	Role of the Plan
Multi-Sector (O&OD) *in Rural LGA	Village Plan	Not Specified	-
Primary Education	School Plan	Not Specified	-
Secondary Education	Not Specified	School Development Plan and Budget	It could be a ward plan in a broad sense that secondary school is a cross-village entity
Health	A plan and budget	Not Specified	-
Water	A project application	Not Specified	-
Agriculture	Village Agricultural Development Plan	Ward Agricultural Development Plan	Ward Development Plan is to cope with cross-village needs of intervention.
TASAF system	A community proposal	Not Specified	-

<sup>35</sup> For more detail, see the Ministry of Education and Culture, *Education Sector Development Programme: Secondary Education Development Plan (SEDP) 2004-2009*, April 2004.

<sup>36</sup> For more detail, see 1) PO-RALG, *Joint Rehabilitation Fund for Primary Healthcare Facility Procedure Manual*, December 2004, 2) Ministry of Water, *District Operational Manual: the National Rural Water Supply and Sanitation Programme*, March 2006.



### 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 Plan are not implemented according to their priority due to ear-marked allocation of sector funds. In many cases, education components of the Community Plan are more easily implemented than activities in other sectors due to relatively larger amount of ear-marked budget of the education sector. This downside effect is still being continued as seen in a formerly described case of using the full amount of the CDG for the education sector in some LGAs. This could be because of relatively large scale of past investments in the basic education sub-sector which foment further demand in the sector.

Meanwhile, progress has been made in the harmonization of sector programs with the LGCDG system. According to the Annual Assessment Report of the LGCDG System<sup>37</sup>, currently, two sector programmes are being implemented through 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. These constraints are also emphasized by PMO-RALG<sup>38</sup>.

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<sup>37</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.

<sup>38</sup> For more details, see PMO-RALG (2006), *Local Government Capital Development Grant System, Annual Assessment of Local Government Authorities*.

## CHAPTER 3

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

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#### 3.1 Introduction

The Study on Improvements of Opportunities and Obstacles to Development (O&OD) Planning Process aims to improve the O&OD from two different but continuous stages: O&OD roll-out and post O&OD roll-out stages. Two stages are a continuous process in which the Community Plans prepared through the O&OD roll-out stage are implemented, reviewed and refined in the post O&OD roll-out stage in a sustainable manner. Thus, the objective of the Field Study was to understand current status of the O&OD roll-out and to identify challenges in the roll-out process with particular attention paid on how the roll-out process should be improved in the light of establishment and institutionalization of R&B mechanism.

#### 3.2 Field Study Methodology

##### 3.2.1 General Approach

The Study Team, composed of JICA consultants and PMO-RALG counterpart officers, collected quality data for the field study, mainly through observation and informal interview with key informants including National Facilitators (NFs), district and ward officers as District Facilitators (DFs) and Ward Facilitators (WFs), and community members in the O&OD roll-out. The study team members observed the O&OD roll-out process in the preparation stage, Awareness Raising Workshop for regional and district leadership, District Facilitators Training (DFT), Ward Facilitators Training (WFT), and Community Planning Process (CPP).

In the observation, the Team members stayed back from the frontline of participants in the process in order to avoid becoming a disturbing factor in the O&OD roll-out process. Particularly in the planning process at the community level, the Team members avoided being in front of the participants rather staying back or fitting in with the participants unlike the usual occasion in a village meeting where the people from outside community were paid a respect and seated in front of the participant as a guest. Formal and informal interviews were held with key informants in order to see to what extent the participants understand and how they perceive the O&OD, and to have the ideas on improvement of the O&OD process.

**Table 3.1 Interviewee and Type of Data**

Key Informant	Timing
Community People	<ul style="list-style-type: none"><li>• After the planning process</li></ul>
Ward Facilitator	<ul style="list-style-type: none"><li>• After the theoretical part of the Ward Facilitators Training</li></ul>
District Facilitator	<ul style="list-style-type: none"><li>• After the theoretical part of the District Facilitators Training</li><li>• After the practical part of the District Facilitators Training</li></ul>
National Facilitator	<ul style="list-style-type: none"><li>• During and after the O&amp;OD process</li></ul>

Monitoring formats were prepared and adopted prior to the O&OD roll-out process. Each of the Team members prepared her/his observations and results of interviews according the formats. The three levels of synthesis of the observations were carried out on the basis of: i)

common factors among all observations, ii) common factors both in the rural and the urban roll-out process, iii) other outstanding factors. Two members in rural setting and also two members in urban setting stayed at each setting in order to observe the O&OD roll-out process. The results of observations and interviews carried out by each of the four members became a basis of the analysis. Selection of the study areas for observation is discussed in the following section.

### 3.2.2 Selection of Study Area

Two LGAs were selected for the study areas from three LGAs (Monduli DC, Moshi MC, and Muheza DC) which were financially supported by JICA. The criteria of selecting two LGAs are as follows:

- 1) LGAs of urban setting
- 2) LGAs of rural setting concentrating both on agriculture and pastoralism

The two criteria were set based on two reasons. First, the urban and rural environment of applying the O&OD process differs and thus observation of both processes is necessary. Moshi MC therefore was selected. Second, LGA concentrating not only on agriculture but also on pastoralism can allow the Team to observe more challenges than the LGA mainly concentrating on agriculture. Therefore Monduli DC was selected instead of Muheza DC.

Accordingly, the Team selected two LGAs: Monduli DC and Moshi MC. Monduli DC is under the category of rural setting and a pastoral and agricultural LGA while Moshi MC is under urban setting. In those LGAs, the Team randomly selected one village in one ward in Monduli and one ward in Moshi MC. Concentrating on one fixed place enabled the Team to figure out challenges through deeper observation of sequential activities in the O&OD roll-out process in which the same stakeholders were once trainees and then facilitators. The team however made some visits to other wards and villages in order to make some comparisons.

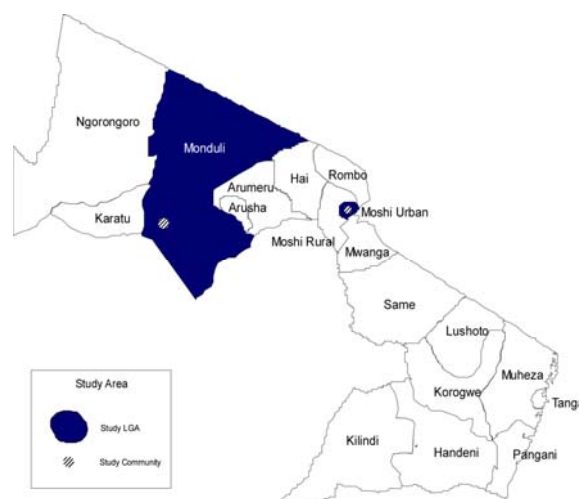


Figure 3.1 Study Area

Table 3.2 Core Study Areas

LGA			Ward	Village
	Setting	Pastoral?		
Monduli DC	Rural	Yes	Eugutoto	Sinoni Ngarashi
Moshi MC*	Urban	No	Pasua	-

\*Urban process does not cover below the ward level

### 3.3 Review on the O&OD Roll-out Process

The O&OD roll-out process mainly consists of two components: Facilitators Training and planning process. The Facilitators Training includes orientation session for NFs, DFT, and WFT while planning process includes Village Planning Process (VPP) for the rural LGA and Ward Planning Process (WPP) for the urban LGA.

Although basic flow of the rural and urban O&OD roll-out process is very similar, they differ in coverage in the planning process: the rural planning process or VPP goes down to village level while urban planning process or WPP goes only down to the ward level as shown in Figure 3.2 and 3.3. Accordingly, the outputs of the planning process also differ: VP for rural planning process and WP for urban planning process. Table 3.6 summarizes these differences more comprehensively.

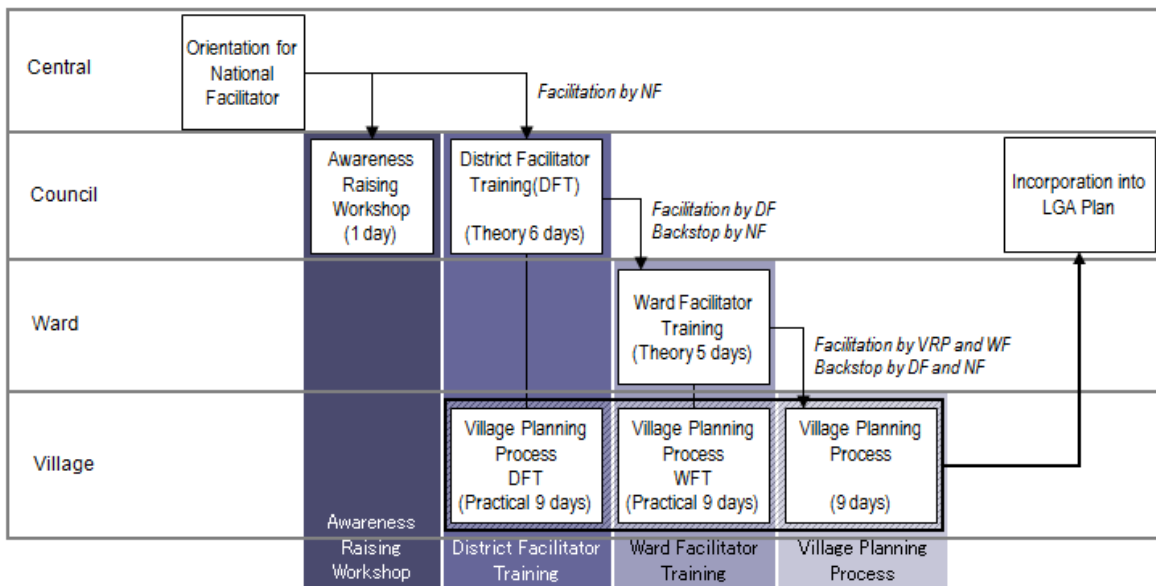


Figure 3.2 Rural O&OD process

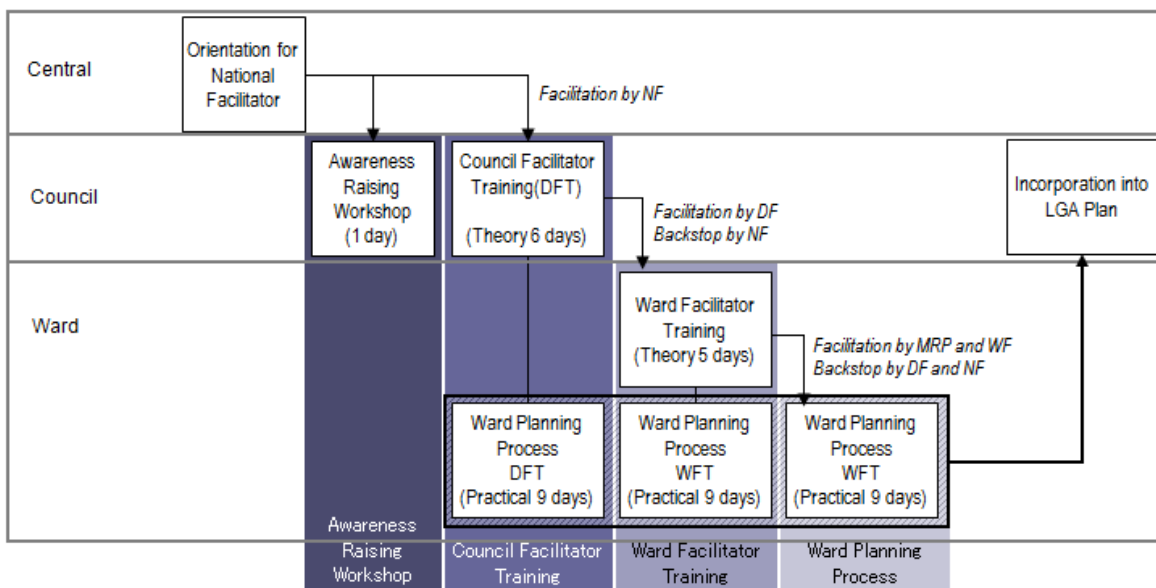


Figure 3.3 Urban O&OD Process

### 3.3.1 Orientation Session for National Facilitators (NFs)

The O&OD roll-out process starts with orientation session for NFs. This process is sometimes omitted when assigned NFs are well-experienced. PMO-RALG selects minimum of 5 NFs per one LGA from around 300 NFs in all over the country. Background of NFs differs from one to another and however many of them are LGA officers. When those LGA officers are assigned by PMO-RALG to work as NFs, they have an administrative leave whole through the period of the O&OD roll-out.

### 3.3.2 Awareness Raising Workshop

NFs then move to the LGAs one or two days before the roll-out process starts and discuss with LGA officers in charge, usually Council Director or Planning Officer, mainly about logistical arrangement of the roll-out. Awareness Raising Workshop is held on the first day of district level activities, inviting all Councillors from each ward, Heads of Department (HoD) of the LGA and NGO representatives from the respective areas. The purpose of the workshop is to sensitize Councillors and the HoDs attuned to the O&OD principle of strengthening community initiatives.

### 3.3.3 District Facilitators Training

District Facilitators Training (DFT) invites minimum of 25 LGA officers for the LGA with less than 100 villages in the case of rural O&OD process. More than 25 facilitators are invited for the LGAs with more than 100 villages according to the situation. In the case of urban O&OD process, 25 facilitators are normally invited. The training may also include Divisional Secretaries and WEOs when the LGA faces short of officers.

The purpose of DFT is to sensitize LGA officers to be DFs<sup>1</sup> and build their capacities in facilitating ward officers to facilitate Village Planning Process (VPP) in rural process and Ward Planning Process (WPP) in urban process.

**Table 3.3 Awareness Raising Workshop**

Contents of Awareness Raising Workshop	
1.	Opening Remarks
2.	Briefing of O&OD
3.	Historical perspective on participatory planning
4.	Tanzania Development Vision 2025
5.	Cross-cutting issues
6.	Closing Remark

**Table 3.4 Contents of District Facilitators Training**

Day	Contents (Theoretical Part)
1	1. Objective of the training 2. Planning concepts <ul style="list-style-type: none"> <li>• Planning and budgeting</li> <li>• Integrated planning</li> <li>• Participatory planning</li> <li>• O&amp;OD planning</li> <li>• Monitoring and evaluation</li> </ul>
2	3. Tanzania Development Vision 2025 4. Cross-cutting issue <ul style="list-style-type: none"> <li>• Mainstreaming gender in planning</li> <li>• HIV/AIDS</li> <li>• Good governance</li> <li>• Environment and natural resource management</li> <li>• Disaster preparedness</li> <li>• Human right approach to planning</li> </ul> 5. O&OD methodology <ul style="list-style-type: none"> <li>• Community entry protocol</li> <li>• Extra-ordinary village assembly meeting for launching the planning process</li> </ul>
3	<ul style="list-style-type: none"> <li>• Data collection</li> <li>• Spatial data (village map, transect work)</li> <li>• Social and economic activities with advice in environment</li> <li>• Time related data (historical time lines, seasonal calendar)</li> <li>• Institutional analysis,</li> <li>• Gender resource map,</li> <li>• Daily gender activities calendar)</li> </ul>
4	- Pre -visit to village/ward -
5	<ul style="list-style-type: none"> <li>• Social and economic data (household wealth ranking, sources of revenue and expenditure, focus group)</li> </ul> 6. Focus Group Discussion to prepare participatory community plan based on TDV 2025
6	Continuation of Day 5
7	7. Setting priority 8. Village Council to prepare draft community participatory plan 9. Extra-ordinary village assembly to discuss and endorse community based plan

<sup>1</sup> For the sake of convenience, this report calls facilitators at LGA level “District Facilitator” even if the LGA is City Council, Municipal Council, or Town Council. For the same reason, Facilitators Training in urban LGA is called the District Facilitators Training in this report.

The training consists of two parts: theoretical and practical parts. The theoretical part lasts for 7 days in which 1 day is used for pre-visit to the village/ward. Although theory part in its nature involves theoretical explanation from NFs, discussion among the participants, group works and role plays are also built in the training. One day pre-visit is included in the Day 4 of the DFT in order for the villages/wards to be rolled-out in the practical part of DFT to be ready to kick off the 9 day planning process and for the participants in DFT to warm up themselves. Table 3.4 shows the contents of the theory part of DFT.

The practical part is 9 day planning process. The participants of DFT are divided into minimum of 5 groups in which around 5 participants are included in each group as DFs. One NF is included in each group in order to backstop those DFs when needed. Each group goes to a village/ward to facilitate the participatory planning process on-the-job training basis.

### 3.3.4 Ward Facilitators Training

Ward Facilitators Training (WFT) follows almost the same process as in DFT except that facilitators are DFs not NFs and duration of the theory part is 6 days instead of 7 days in DFT. The purpose of WFT is to sensitize ward officers to be WFs and strengthen their capacities in facilitating VPP in rural process and WPP in urban process.

WFT also consists of theoretical and practical parts as in DFT. The contents of the theoretical part are almost the same as the DFT but WFT does not illustrate concepts of planning<sup>2</sup>.

The practical part entails the same process as in the DFT, lasting for 9 days. The participants in WFT, which consists of Ward Executive Officers (WEO) and Extension Officers, are divided into minimum of 5 groups in which around 5 participants and at least one DF for backstopping are included. Each group is assigned to one village/ward to experience facilitation of the participatory planning process.

VPP/WPP after the WFT covers those villages/wards which are not covered either by the practical part of the DFT or WFT. For instance, if 5 villages in the DFT and 10 villages in the WFT are covered in the practical part for VPP in the LGA with 50 villages, remaining 35 villages will be covered after the WFT in the VPP facilitated by DFs and WFs.

**Table 3.5 Contents of Ward Facilitators Training**

Day	Contents (Theoretical Part)
1	<ol style="list-style-type: none"> <li>1. Objective of the training</li> <li>2. Experiences in planning in Tanzania</li> <li>3. O&amp;OD planning methodology</li> <li>4. Cross-cutting issue <ul style="list-style-type: none"> <li>• Mainstreaming gender in planning</li> <li>• HIV/AIDS</li> <li>• Good governance</li> <li>• Environment and natural resource management</li> <li>• Disaster preparedness</li> </ul> </li> </ol>
2	<ul style="list-style-type: none"> <li>• Human right approach to planning</li> </ul> <ol style="list-style-type: none"> <li>5. O&amp;OD methodology <ul style="list-style-type: none"> <li>• Community entry protocol</li> <li>• Extra-ordinary village assembly meeting for launching the planning process</li> <li>• Data collection</li> <li>• Spatial data (village map, transect work)</li> <li>• Environmental data</li> <li>• Time related data (historical time lines, seasonal calendar)</li> <li>• Institutional analysis</li> </ul> </li> </ol>
3	<ul style="list-style-type: none"> <li>• Social and economic data ( gender resource map, daily gender activities calendar, household wealth ranking, sources of revenue and expenditure, Focus Group)</li> </ul> <ol style="list-style-type: none"> <li>6. Focus Group Discussion to prepare Draft Community Plan based on TDV 2025</li> </ol>
4	- Pre-visit to village/ward-
5	Continuation of Day 3
6	<ol style="list-style-type: none"> <li>7. Setting priority</li> <li>8. Village Council to prepare draft community participatory plan</li> <li>9. Extra-ordinary village assembly to discuss and endorse community based plan</li> </ol>

<sup>2</sup> The reason for not illustrating concept of planning in WFT is at that this part was considered too theoretical and not very useful for WFs, according to the NFs the Team interviewed.

### 3.3.5 Community Planning Process

#### 3.3.5.1 Village Planning Process for Rural LGAs

Day 1 of the VPP starts with an extraordinary Village Assembly where all eligible villagers are expected to participate. In the assembly, members of Focus Groups and Village Resource Persons (VRPs) are selected, and a group of village map drawers is arranged. The criteria for selection of Focus Group members and VRPs are shown in Table 3.6. After the selection and arrangement, Household Wealth Ranking and Village Map Drawing are conducted by

**Table 3.6 Focus Groups Members and Village/Mtaa Resource Persons**

	<b>From Each Hamlet or Mtaa</b>
Members of Focus Groups	<ul style="list-style-type: none"> <li>• 4 old men</li> <li>• 4 old women</li> <li>• 4 young men</li> <li>• 4 young women</li> </ul>
Resource Persons	<ul style="list-style-type: none"> <li>• 1-2 literate people (altogether 6-10 people per community)</li> </ul>

the groups facilitated by VRPs and WFs. Day 2 is used for collection/preparation of village data. Members of Focus Groups selected on the first day are divided into different groups to collect the data using participatory tools such as Transect Walk, Historical Time Line, Gender Resource Map, Institutional Analysis, Seasonal Calendar, Sources of Revenue and Expenditure, and Gender Daily Activities Calendar. From Day 3 to 5, the Focus Groups prepare the Draft Village Plan which includes the items in a logical order from left-hand side to right-hand side: *Specific Objectives, Opportunity, Obstacle, Cause, Interventions, Steps of Implementation, Inputs, Cost and Indicators*. Each group starts from forming one Specific Objective under each sub-objective included in the Tanzania Development Vision 2025 (TDV2025), and then proceeds to the different items in the Plan. By the end of the Day 5 process, all sub-objectives under “High Quality Livelihood” and “Good Governance and Rules of Law” in the TDV 2025 are covered. On the Day 6 the Village Executive Officer (VEO) in collaboration with the Focus Groups prepares draft Community Plan. On Day 6 an extraordinary Village Council meeting is held where the activities from the first day to the sixth day are reviewed, Specific Objectives are prioritized through

**Box 3.2**  
**Tanzania Development Vision 2025**

**TARGET 1: HIGH QUALITY LIVELIHOOD**  
Sub-objectives

- (1) Food self sufficiency and food security
- (2) Universal Primary Education
- (3) Gender equality and the empowerment of women in all economic and political relations and cultures
- (4) Access to quality primary health care for all
- (5) Availability of maternal and child health services for all
- (6) Infant mortality rate and maternal deaths
- (7) Availability of safe water
- (8) Increase life expectancy to levels attained by semi industrialized countries
- (9) Eradication of object poverty

**TARGET 2: GOOD GOVERNANCE**  
Sub-objectives

- (1) Desirable moral and cultural uprightness
- (2) Strong adherence to and respect for the rule of law
- (3) Absence of corruption and other vices
- (4) A learning society which is confident, learns from its own development experience and others and owns and determines its own development agenda

pair wise ranking method, and sources of income and expenditure are identified. Based on this, the VEO prepare the Draft Three-Year Plan. On Day 8, the Draft Three-Year Plan prepared at each village is presented to an extraordinary Ward Development Committee (WDC). WDC gives technical advice, and adjustments among VPs are made where necessary. Day 9 is the final day of the VPP, in which an extra ordinary village assembly is held in order to finalize the VP. After the explanation by the Village Chairperson of the purpose of the assembly, the VEO presents the Plan following the steps taken from the 1<sup>st</sup> day to the 8<sup>th</sup> day. The Plan is approved by the participants in the assembly after the discussion on the Plan among themselves. The VEO then prepares the final version of the VP and the summary of the extraordinary village assembly, which are then submitted to the LGA together with the village

data prepared during the process.

### 3.3.5.2 Ward Planning Process for Urban LGAs

The most notable difference in planning process between rural and urban LGAs is administrative procedure due to different coverage in planning process at the administrative level. The rural planning process goes down to the village level whereas the urban planning process goes only down to the ward level. In an urban area, a ward is composed of several *Mitaa* each of which has its own *Mtaa* chairperson but no executive authority. If the ward is composed of many *Mitaa*, say more than 4 *Mitaa*, then *Mitaa* are grouped into zones (2-3 *Mitaa* in a zone though it depends on the number of *Mitaa* and their location in the ward) for the purpose of O&OD planning process. Accordingly, there are some differences between the rural and urban planning in the process of launching, and consolidation and approval of the Plan.

Day 1 of the planning process is a zonal *Mitaa* meeting<sup>3</sup> where eligible community people meet and a zonal *Mtaa* chairperson, selected among the *Mtaa* chairpersons in the zone, explains the purpose of the meeting and the time table. The assembly is held in several locations depending on the number of zonal *Mitaa*. During the assembly, the participants select representatives among them who are to participate in the Ward Planning Process (WPP). On Day 2, the representatives from the *Mitaa* meet at the ward and start preparing ward data including Ward Map, Household Wealth Ranking, Institutional Diagram, Gender Resource Map, Sources of Revenue and Expenditure, and Gender Daily Activities Calendar. Unlike VPP, the tools such as Transect Walk, Historical Time Line and Seasonal Calendar are omitted as they are irrelevant in the light of urban livelihood of the community people. As in the VPP, from Day 3 to Day 5 are used for the Focus Groups discussion based on the TDV 2025. On Day 6, the Ward Executive Officer (WEO) in collaboration with Focus Groups prepares a preliminary draft WP. On Day 7, the zonal *Mtaa* chairperson organizes a zonal *Mitaa* meeting at each zone in which selected community peoples participate and give comments on the draft community participatory plan. On Day 8, the WEO incorporates the comments from the zonal *Mitaa* into the final Draft Community Plan. On Day 9, an extraordinary WDC meeting is convened. As in the village assembly in the VPP, WEO presents the steps taken from the Day 1 to the Day 8. After the presentation, *Specific Objectives* in the Draft Community Plan are prioritized by using pair-wise ranking method. Based on the priority decided the WEO prepares the Three-Year WP and submit it to the LGA together with the minutes of the WDC meeting. The 9-day CPP (VPP in rural LGAs and WPP in urban LGAs) is summarized in Table 3.7.

<sup>3</sup> If the ward is composed of less than 4 *Mitaa*, the meeting is organized at each *Mtaa*. However, as in most cases, if the ward consists of more than 4 *Mitaa* and zones are formed, the first day meeting is held at the zones.



**Table 3.7 Difference between Rural and Urban Process**

	<b>Rural Process</b>	<b>Urban Process</b>
Outputs	<ul style="list-style-type: none"> <li>• Village Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Ward Plan</li> </ul>
Coverage of O&OD roll-out in administrative level	<ul style="list-style-type: none"> <li>• District Council</li> <li>• Ward</li> <li>• Villages</li> </ul>	<ul style="list-style-type: none"> <li>• City / Municipal / Town Council</li> <li>• Ward</li> </ul>
Participants in each process		
District Facilitators Training	<ul style="list-style-type: none"> <li>• District officers, Regional officers</li> </ul>	<ul style="list-style-type: none"> <li>• Council officers, Regional officers</li> </ul>
Ward Facilitators Training	<ul style="list-style-type: none"> <li>• Ward officers</li> </ul>	<ul style="list-style-type: none"> <li>• Ward officers</li> </ul>
Planning Process	<ul style="list-style-type: none"> <li>• All eligible villagers</li> </ul>	<ul style="list-style-type: none"> <li>• Mtaa representatives</li> </ul>
Venue		
District Facilitators Training	<ul style="list-style-type: none"> <li>• At LGA</li> </ul>	<ul style="list-style-type: none"> <li>• At LGA</li> </ul>
Ward Facilitators Training	<ul style="list-style-type: none"> <li>• At ward</li> </ul>	<ul style="list-style-type: none"> <li>• At ward</li> </ul>
Planning Process	<ul style="list-style-type: none"> <li>• At village</li> </ul>	<ul style="list-style-type: none"> <li>• At ward</li> </ul>
Data collected during planning process	<ul style="list-style-type: none"> <li>• Village Map</li> <li>• Household Wealth Ranking</li> <li>• Transect Walk</li> <li>• Historical Time Line</li> <li>• Gender Resource Map</li> <li>• Institutional Analysis</li> <li>• Seasonal Calendar</li> <li>• Gender Daily Activities Calendar</li> <li>• Sources of Revenue and Expenditure</li> <li>• Social and economic activities with advice in environment</li> </ul>	<ul style="list-style-type: none"> <li>• Ward Map</li> <li>• Household Wealth Ranking</li> <li>• Gender Resource Map</li> <li>• Institutional Analysis</li> <li>• Gender Daily Activities Calendar</li> <li>• Sources of Revenue and Expenditure</li> <li>• Social and economic activities with advice in environment</li> </ul>
Officers finalizing the Plan	<ul style="list-style-type: none"> <li>• Village Executive Officer</li> </ul>	<ul style="list-style-type: none"> <li>• Ward Executive Officer</li> </ul>
Authority of approving the Community Plan	<ul style="list-style-type: none"> <li>• Village Assembly</li> </ul>	<ul style="list-style-type: none"> <li>• Ward Development Committee</li> </ul>
Planning process		
Day 1	<ul style="list-style-type: none"> <li>• Village Assembly to launching the planning process</li> <li>• Forming Focus Groups</li> <li>• Data collection</li> </ul>	<ul style="list-style-type: none"> <li>• Zonal <i>Mitaa</i> meetings</li> <li>• Forming Focus Groups</li> </ul>
Day 2	<ul style="list-style-type: none"> <li>• Data collection</li> </ul>	<ul style="list-style-type: none"> <li>• Data collection</li> </ul>
Day 3	<ul style="list-style-type: none"> <li>• Focus Group discussion to prepare the draft Village Plan based on objectives of TDV2025</li> </ul>	<ul style="list-style-type: none"> <li>• Focus Group discussion to prepare Draft Ward Plan based on objectives of TDV2025</li> </ul>
Day 4		
Day 5		
Day 6	<ul style="list-style-type: none"> <li>• Focus Group discussion to integrate the Draft Village Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Focus Group discussion to integrate the Draft Ward Plan</li> </ul>
Day 7	<ul style="list-style-type: none"> <li>• Village Council to prioritize Specific Objective</li> <li>• Prepare a Draft Three-Year Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Zonal <i>Mitaa</i> meetings to receive comments on the Draft Ward Plan</li> </ul>
Day 8	<ul style="list-style-type: none"> <li>• WDC meeting to give advice on the Draft Three-Year Plan</li> </ul>	<ul style="list-style-type: none"> <li>• WEO in collaboration with the Focus Groups to incorporate comments from zonal mitta into the Ward Plan</li> </ul>
Day 9	<ul style="list-style-type: none"> <li>• Village Assembly to receive and approve the Three-Year Plan</li> </ul>	<ul style="list-style-type: none"> <li>• WDC meeting to prioritize Specific Objectives, prepare and approve Three-Year Plan</li> </ul>

### 3.4 Issues Identified through Field Study

This section is based on the results of observations and interviews carried out by the Team members during the field study, focusing on the two aspects: structural issues and functional issues although in some cases it is difficult to distinguish as those issues are in many cases intertwined. Structural issues derive from external factors or factors related to cultural and institutional subsystems which cannot be directly improved with the efforts of modifying the O&OD process. The challenges sometimes have to do with political issues, administrative structures, and cultural base of communities. In contrast, functional issues derive from internal factors that could be improved through the efforts of optimizing the O&OD process. These issues are largely related to improvements of the O&OD methodology and increase of efficiency in the training and planning processes. The followings elaborate those issues.

### 3.4.1 Structural Issues

#### *Insufficient Political Support*

Awareness Raising Workshop is organized with the expectation that Councillors from each ward become aware of the significance of the O&OD and mobilize community to commit to the process. The effective operation of the workshop thus is crucial since it exerts an influence on Councillor's support on the O&OD.

The Councillors however may use their supports on the O&OD as their political tool. It should be therefore considered two possibilities of whether the O&OD is promoted by the Councillors in a positive or a negative manner. Supports of Councillors become a promoting factor when the Councillors support the O&OD as its principle intends to enhance community initiatives. Contrary to this, their supports become obstacles when the O&OD is not used in an appropriate manner. For instance it could be used to attract endorsement from community constituents for his/her political achievement by providing such a distorted impression that funds are coming when the Community Plan is ready.

Taking into account either case, the Awareness Rising Workshop should lead those Councillors to utilize the O&OD as political tool in the positive manner. The question however is how much Councillors are sensitized through the Workshop. In both cases of Moshi MC and Monduli DC, some Councillors were seen actively participating in the Workshop while many of them were passively observing. One solution could be longer workshop with more activities and however another question is cost effectiveness. The degree of sensitization can not be necessarily assured even if the workshop is longer. In this case, the effort can be only made to enhance the quality of the Workshop.

#### *Low Understanding of Heads of Department in LGA*

High level of understanding of the Heads of Department (HoDs) on the O&OD planning process is vital in optimizing impacts out of the O&OD roll-out as well as sustainability in the post roll-out stage. However, in the current situation, HoDs only participate in the Awareness Raising Workshop. In addition, whereas LGA Planning Officer particularly is supposed to coordinate and participate in the planning process together with LGA Community Development Officer, he/she usually stays back from the process.

Two aspects should be considered in this issue. First, low understanding of HoDs affect commitment of the DFs who are usually their subordinates. Affected by low understanding and thus low commitment of HoDs, it is commonly noted that some DFs drop out in the course of the O&OD roll-out due to their indifference. As a result, many LGA officers participate in the process just as an obligation or assignment, and this leads to low quality of their facilitation in WFT as well as in CPP.

Second, it affects commitment of the LGA to the O&OD since HoDs, who are members of CMT, have an influence on the LGA decision over its planning approach. When HoDs are neither aware of the importance of the O&OD nor confident with the contents of the O&OD planning process, the LGA is most likely to fall into the traditional way of compiling the LGA Plan without taking into account the Community Plans.

Some measures need to be taken in this respect to raise the understanding of HoD since this is

vital not only to optimize impacts of the O&OD roll-out but more importantly to promote the post O&OD roll-out stage.

#### *Lack of Sector Coordination due to Sectionalism*

Sectionalism both at the Central Government and the LGA minimizes the efforts of comprehensive planning and budgeting at the LGA. Sectionalism in fact contributes to a large extent to segregation of sector components in the formulation stage of the LGA Plan and the budget. In the current situation, prioritization of interventions is decided based on the budget ceiling of each sector and thus the LGA Plan is a patchwork of the sector plans. Sectionalism mainly affects the following two areas.

First, in the process of incorporating the Community Plans into the LGA Plan, the sector related issues are entrusted to the sector departments where sector officers or technical officers handle the issue in favour of their sectoral interests. After all, the interventions included in the sector component of the LGA Plan do not necessarily based on the demand in the Community Plans.

Second, monitoring and evaluation on the implementation of the comprehensive LGA Plan tends to be carried out only for the specific activities or projects supported by the Central Government or development partners. In the current situation, the LGA officers do not monitor closely the progress of the LGA Plan if they do not have an official assignment backed up by a sufficient budget. Those sector or technical officers tend to monitor and evaluate only the activities ear-marked by the Central Government or development partners since those activities are usually assigned officially with the budget back-up. As a result, the activities monitored and evaluated by sector or technical officers in her or his profession are continuously supported by him/her for a certain period and the same activities appear in the LGA Plan every year irrespective of community needs.

It is however difficult to eliminate sectionalism in the LGA level since the Central Government and the LGA have a strong administrative linkage. In other words, the Sector Ministries' nature to maintain vested interests in their concerning areas are directly reflected in the sector budgets of the LGA. Vested interests of the Ministries are particularly seen in the form of Sector Programme in which the use of the budgeted funds at LGA level is almost ear-marked to certain categories in each sector regardless of the needs at the community level.

Eliminating sectionalism could be solved only when the LGA level becomes able to decide budget allocation at their full discretion. Possibilities are either to dramatically increase LGA's revenues or to promote a block grant system ensuring the discretion of the LGA in its budget use. Former is not possible in the current situation where more than 90 percent of the LGA revenue comes from the Central Government. Latter is being promoted by introducing the Local Government Capital Development Grant (LGCDG). However, it cannot fully eliminate the sectionalism since it covers only part of the LGA's revenue and sectionalism is not only caused by dependency on the funds from the Central Government but also various factors such as a vested interest of sector or technical officers.

Whether or not sectionalism should be taken for granted is inconclusive. The fact however is that sectionalism cannot be eliminated so easily. Taking into this consideration, coordination among the Sector Departments should at least be promoted. Besides the formal cross-sector meetings at LGA level such as the monthly Council Management Team (CMT) meeting and the quarterly Standing Committee meeting, effective and practical means for sector coordination should be explored.

### *Weak Community Leadership*

Quality of community leadership affects degree of participation of community in development activity. Community leadership in this case for instance is the leadership in village activities, financial activities, and other village matters which are mainly handled by the Village Chairperson with assistance of village committees and administratively supported by the Village Executive Officer (VEO).

Community is not cooperative and does not find any significance in working with the Village Council when they do not trust their leaders. In other words, community activities can never be successful if the leadership cannot win community's confidence. The Study team observed some negative factors affecting community's confidence in the course of monitoring of the O&OD roll-out.

First, transparency and accountability of Village Council affects the community participation in their activities. Community members are discouraged to take part in the activities initiated by the Village Council when there is no transparency and accountability since they cannot accept the activities as worthwhile to pay the opportunity cost of sacrificing their daily activities such as farming, and other economic activities.

Second, insufficient information sharing from the Village Council to community members causes information disparity among community members and it amplifies the scepticism among those who are not informed. Information sharing of the Village Council in fact is significant in terms of constructing trust of community members toward the Village Council if it is efficiently carried out. An important process such as the O&OD planning process should be informed to the villager as an earlier and efficient manner as possible to show commitment of the Village Council.

Above all, the quality of community leadership hinges on the commitment and capacity of the Village Chairperson and the VEO. The capacity of the VEO appears to be insufficient in comparison with their expected role as a frontline service provider as a public servant.

**Box 3.3**  
**Transparency of village management affects villagers' trust in leadership**  
**and lower their motivation for village development activities**  
 - Case in Sinoini Ngarashi Village -

Sinoini Ngarashi Village of Monduli DC, where the team observed the planning process, had a problem of low attendance in Day 3 and Day 4 of the Village Planning Process. Although around 40 villagers of 3 Focus Groups were supposed to participate in the process, only 8 participants showed up on these days. According to Village Chairperson, the reason for low attendance in Day 3 was because of the market day in which villagers were selling their crops and the reason for that in Day 4 was because of a SACCOS meeting.

This seemed indicating that villagers did not perceive the O&OD planning as prioritized activity and therefore their commitment was low. Some assumption was made by the Team members that low commitment was because the village was located relatively close to the Monduli town where villagers had various activities of higher priority. It however became clear on the Day 4 that attendance rate of the other villages located close to the town was high in contrast. This fact disproved the assumption of the location, meaning that the location did not necessarily relate to the low attendance of Sinoini Ngarashi Village.

Under this difficult circumstance, some facts were uncovered when reviewing the process of Day 2. During the data collection on the Day 2, participants were not able to work out one of the most important data for planning, which is Revenue and Expenditure of the Village. This was because the Village Chairperson could not show exact figures of revenue and expenditure of the Village to the participants. Even some participants discovered that the money recently used for the repair of the grinding machine was not properly reported to villagers. The main reason for the low attendance became clear that it was because of this low financial transparency. In other words, many of the participants lost their trust in the management of Village Council and so their motivation became low.

Furthermore, it was exposed that there was no contribution from community when the village constructed the teacher's house for community school although the community contribution was precondition to receive the Development Grant under the PEDP. It further became apparent that the low trust of villagers in the Village Council was not only the problem in the O&OD planning process, but it has been a long lasting problem in the Village.

The District Executive Director took this issue seriously and called the Village Chairperson and the VEO to the District Council Office. The Director strictly instructed them to be more transparent and gave the order that they should do the maximum efforts to improve the attendance rate. The DED decided to send an internal auditor to scrutinize the use of the village revenues.

### 3.4.2 Functional Issues

#### 3.4.2.1 Issues in the Overall View

##### *Need of Outcome Oriented Focus*

The O&OD planning process embraces two significant aspects. One aspect is capacity building of the stakeholders including the LGA officers, community members and Councillors while the other aspect is production of Community Plan. In the current situation, the O&OD planning process is process-oriented in which the emphasis is placed on the former aspect of capacity building through the training and planning process rather than the Plan, which is the output of the planning process.

Due to this emphasis, the O&OD planning process has achieved to a large extent in building capacities of facilitating planning process though the level of achievement differ among the stakeholders. One prominent aspect in this achievement is that the capacity building effort is not only to improve the participatory planning skills and knowledge but also more importantly to sensitize the stakeholders in various development issues in the course of the training and the planning.

One example is effective handling of cross-cutting issues in the District and Ward Facilitators Training. The issues include gender, HIV/AIDS, environment and natural resource management, good governance, disaster preparedness, and human rights, which are explained in simple words in a straight forward manner. The trainees are sensitized through group discussion and role plays in connection with various cross-cutting issues. Another example is action oriented data collection in the CPP. Participants become aware of the situation of the community through data collection/preparation of historical timelines, a gender resource map, institutional analysis, a seasonal calendar, community revenue and expenditure, and a gender daily activities calendar. Through those data collection activities, the participants are sensitized in key issues such as gender issues by seeing gender gaps of ownership in the community properties in the gender map.

As described above the training and the planning process are rich in their contents. However, the quality of the plan is not commensurate with what the participants learned through the process. In order to achieve two aspects of capacity building and quality output, the emphasis should be placed more on the output. A new challenge of the O&OD is to transform the planning process from process-oriented to output-oriented although it should be dealt with in a long term perspective.

### *Inadequate Quality of Community Plan*

Maintaining quality of the Community Plan is vital in order to realize the implementation of the Plan. In order to operationalize the Plan, assurance of bare minimum of quality is needed. The community participatory plan in particular should maintain certain level of quality in the first place since it becomes the basis of preparing the Three-Year Plan.

After the preparation of the draft Community Plan leads to preparation of the Three-Year Plan, VEO/WEO is the one who consolidates the VP/WP taking into consideration the Community Plan as well as sources of income and expenditure in the villages/ward. In this respect, capacity of the VEO/WEO also affects the quality of the Plan.

In the current situation, the quality of the Plan varies according to different situations. As far as the Study Team observed, quality of the Plan is affected by some factors including the level of understanding and commitment of community participants, and capacity of Community Resource Persons, Village Chairperson, VEO/WEO, and WFs/DFs/NFs. Capacity of Facilitators among others is one of the key factors to make community participants understand, motivate, and mobilize. At the end of the day, those motivated and mobilized well are able to produce a quality Plan. In fact, the Study Team observed during the field study that those better Plans were prepared by communities where the Facilitators were performing well.

### *Insufficient Capacity of Facilitators*

Assuring quality of Facilitator is absolutely imperative since it affects participation of community and so quality of the Community Plan. On the other hand, capacity building naturally takes time and cannot expect an ordinary officer to be a perfect Facilitator overnight.

In the current situation, the O&OD planning process involves a number of LGA officers whose capacity vary according to their profession and speciality. Some officers could be capable of the activities in their field. However they are not necessarily suitable for facilitating the O&OD planning process even though they are confident with the contents of the O&OD planning process. Some NFs/DFs are not able to backstop DFs/WFs although they are supposed to assure the quality of the Facilitators Training as well as the Plan.

Due to this, quality of DFT is diluted when DFs train ward officers at the WFT. The Study Team observed that many DFs tend to minimize the contents of the Training by leaving out detailed explanation. This tendency could be explained with some reasons. First, their commitment is low since they are discharging facilitation as their obligation to accomplish the assignment from the LGA. Second, some of them are not comfortable with speaking in front of the people even though they are aware of all issues they have learnt through the DFT. Third, they are neither fully aware of nor confident of all issues and thus they can not elaborate the issue. These result in minimizing the contents of the Training.

Minimization is sometimes confused with simplification. In this case, minimization has negative connotation while simplification is positively used in the sense that it is a high level of facilitation skills in order to effectively make the participants understand issues. Bearing in mind that the Facilitators Training and the Planning Process are not only to train participants for planning methodology but also more importantly to effectively sensitize the participants in various development issues, the facilitation requires effective delivering skills.

In this regards, those who used to carry out similar activities in their daily duties are observed more efficient than the others in terms of delivering explanation and elaboration of topics in the training. Those subject matter specialists, who are exposed to field level activities because of the nature of their responsibility, appear to be more confident than desk officers and the Ward Extension Officers appeared to be more confident than the WEO. It could be efficient to select those who have experience in training to make the O&OD process more effective and more outcome-oriented.

#### *Limitation in Involving Community Members*

The O&OD planning process has limitations in bringing community members to efficiently participate in the process. The limitations are attributable to various causes such as time constraint, variation in capacity of participants, and language difference. The following describes some of the causes affecting to the limitation.

First, participatory approach requires abundant time if it is striving for *beau* ideal. In reality however, participatory approach faces constraints in spending sufficient time. Those are for instance financial and administrative constraints. Financial constraint is in other words the budget ceiling used for the participatory planning process. It is certainly not possible to put in as much funds as required to mobilize all participants. Administrative constraint is the limitation of broken service by LGA officers. For instance, the LGA would not function if a number of officers are spending a long time in the participatory planning process. Here exists dilemma of whether making the participatory process perfect with as much resources as possible or going half way to meet the certain level of quality within limited time and resources.

Second, variation in capacity of participants gives another constraint in the participatory planning process. Equalized and equitable participation are the basis of the participatory planning. However, capacity to participate in discussion varies according to personal level of understanding. Even if Facilitators pay close attention to mobilize those weakest, they may not be perfect on an equal footing with the others. Here is another dilemma of spending more time on those weaker while others get bored or be patient until all participants fully understand and participate.

Third, language difference is also a constraint in the participatory planning process. Although the planning process is carried out in Kiswahili, people in few rural areas do not understand the language well. Due to this, those people could be discouraged to participate in the process letting Kiswahili speakers to participate. It is disputable whether or not all participants in a village assembly understand the O&OD planning process. Even at the stage of approving the VP on Day 9 of the rural planning process, many villagers approve the plan regardless of the contents in order to be in harmony with others. In this situation, the Plan cannot be effectively disseminated to the whole village.

Participatory approach entails limitation as discussed above. The O&OD planning process however still has a room to improve in spite of the limitation. Promotion or strengthening of information sharing among community may moderate information gap among villagers, and supporting system to enable those advanced learners to share knowledge to the others may facilitate improving understanding of those slow learners, for instance.

### 3.4.2.2 Issues in Specific View

#### (1) District/Ward Facilitators Training

##### *Lack of Elaboration of Policy Issues*

Policy issues are not well covered in the contents of the Facilitators Training. Only TDV 2025 is elaborated in the training since it is a basis of coming up with *Specific Objectives* in the stage of preparing the Community Plan. The other major policies and strategies such as MKUKUTA are not introduced in the Training. In order for the Facilitators to be at least aware of major national initiatives, brief explanation should be provided during the Facilitators Training.

##### *Insufficient Explanation about Monitoring and Evaluation*

During Facilitators Training, concepts of Monitoring and Evaluation (M&E) are explained. However, the explanation was only at conceptual level and it is not possible for DFs and WFs to start monitoring and evaluation activities after the roll-out process. M&E part of the Handbook needs to indicate more concrete actions of how DFs and WFs should perform after the O&OD roll-out process. This issue should be treated as part of establishment of R&B mechanism.

##### *Lack of Explanation on How to Incorporate Village/Ward Plans into LGA Plan*

The Handbook does not elaborate how to incorporate Community Plans into the LGA Plan. It is therefore impossible for participants to be aware of significance of the linkage between Community Plans and the LGA Plan. Since incorporating Community Plans into the LGA Plan could be an integral part of the R&B activities, this aspect should be clearly explained together with the M&E issue even from the O&OD roll-out stage.

##### *Ineffective Pre-visit to Village/Ward*

In the pre-visit, apprentice Facilitators or trainees provide brief explanation about the objective of the O&OD, history of planning, TDV 2025, and summary of 9 day schedule. This may not be sufficient to sensitize the Village Chairperson and members of the Village Council/*Mtaa* leaders. Some activities should be included in order for those village and *Mtaa* leaders to be motivated to kick off the coming CPP.

#### (2) Community Planning Process

##### *Invisible Picture of the Output at Launching of Community Planning Process*

On the Day 1 is a village assembly in the rural planning process and zonal *Mtaa* meeting in the urban planning process. Community members meet and the Facilitators explain the objectives and general explanation of the O&OD planning process. The explanation however is not sufficient for participants to understand what is the output and outcome of the O&OD. Clear picture of what the output looks like and how it is going to be used should be visually shown or elaborated in the early stage of the Day 1.



### *Inappropriate Selection of Community Resource Persons*

Village/Mtaa Resource Persons are expected not only to contribute their skills and knowledge in the process of the O&OD, but also more importantly to facilitate implementation and review of the Community Plan. Selection of the Resource Persons currently is not necessarily appropriate in this regard. Many of them can not be differentiated with the other participants due to their minimum contribution to discussion. It is sceptical if those Resource Persons are going to be able to facilitate implementation of the Plan.

### *Lack of Prioritization Covering All Specific Objectives*

In the current situation, prioritization of *Specific Objective* is carried out only within each objective under the TDV2025. Although all objectives of TDV 2025 are important to realize the national vision, some objectives might not be relevant depending on the community situation. Currently *Specific Objectives* are prepared for all the 13 objectives by the community and *Specific Objectives* are prioritized only within each of the 13 objectives. Therefore, after prioritization, there will be 13 prioritized objectives co-existing. It is therefore difficult for community members to know which *Specific Objective* is the top priority for immediate actions. It could be effective if prioritization is made across all *Specific Objectives* smoothing away the separation in between the objectives of TDV2025. Priority of *Specific Objectives* thus can be identified in a clear manner.

## **3.5 Findings**

### 3.5.1 O&OD Participatory Planning Methodology

In the field study, the Team was able to reconfirm that the O&OD participatory planning methodology is a comprehensive methodology to empower community to identify opportunities and obstacles. Through the planning process participants were able to identify available resources to tackle with the obstacles and foster sense of self-reliance to a large extent.

Since the initiation of the O&OD in 2002, PO-RALG (PMO-RALG) has taken appropriate measures to refine the O&OD participatory planning methodology wherever and whenever necessary as a living process. The core members who established the O&OD have been committing themselves to improve this participatory planning methodology aiming to make it the best community planning methodology in Tanzania.

A salient feature of the O&OD is its well-designed process of enhancing capacity of Facilitators and community, which is embedded within the administrative system of the LGA. Through the process of Awareness Raising Workshop and District Facilitators Training, WFT and CPP, the skills and knowledge are handed down from NFs to DFs, from DFs to WFs and from WFs to communities. In the course of this cascade method in conformity with the administrative system, district officers and ward officers acquire facilitation and planning skills, and communities are empowered in planning for the betterment of livelihood.

Also, 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 development in planning but an integral tool to foster awareness and capacity enhancement in planning at the same time. Table 3.8 summarizes the sensitization role of the O&OD.

**Table 3.8 Sensitization role of O&OD**

	What to Sensitize	To Whom	How
Awareness Raising Workshop	<ul style="list-style-type: none"> <li>Significance of the O&amp;OD</li> <li>Cross-cutting issues (Gender, HIV/AIDS, Good Governance, Human Rights, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Councillor</li> <li>Head of Department</li> </ul>	<ul style="list-style-type: none"> <li>Facilitation</li> <li>Lecture</li> <li>Discussion</li> <li>Role Play</li> </ul>
District Facilitator Training	<ul style="list-style-type: none"> <li>Significance of the O&amp;OD</li> <li>Cross-cutting issues (Gender, HIV/AIDS, Good Governance, Environment and Natural Resource Management, Disaster Relief, Human Rights, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>LGA officer</li> <li>Division officer</li> </ul>	<ul style="list-style-type: none"> <li>Facilitation</li> <li>Lecture</li> <li>Discussion</li> <li>Role Play</li> <li>Practical Training</li> </ul>
Ward Facilitator Training	<ul style="list-style-type: none"> <li>Significance of the O&amp;OD</li> <li>Cross-cutting issues (Gender, HIV/AIDS, Good Governance, Environment and Natural Resource Management, Disaster Relief, Human Rights, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Ward Executive Officer</li> <li>Ward Extension Officer</li> </ul>	<ul style="list-style-type: none"> <li>Facilitation</li> <li>Lecture</li> <li>Discussion</li> <li>Role Play</li> <li>Practical Training</li> </ul>
Community Planning Process	<ul style="list-style-type: none"> <li>Sense of Equitability in Community Development</li> <li>Gender Equity and Equality</li> <li>Availability of Community Resources</li> </ul>	<ul style="list-style-type: none"> <li>Village Chairperson</li> <li>Village Executive Officer</li> <li>Village Resource Person</li> <li>Focus Group Member</li> </ul>	<ul style="list-style-type: none"> <li>Household Wealth Ranking</li> <li>Gender Resource Map</li> <li>Gender Daily Activities Calendar</li> <li>Institutional Diagram</li> <li>Sources of Revenue and Expenditure</li> </ul>
		<ul style="list-style-type: none"> <li>Mtaa leaders</li> <li>Mtaa representatives</li> <li>Mtaa Resource Person</li> </ul>	

### 3.5.2 External Factor as Obstacle to Promote O&OD

The O&OD is a comprehensive methodology, and however the methodology itself can not realize the participatory planning process without enabling environments. The Team found that factors negatively affecting optimization of the O&OD planning process are largely attributable to the structural issues. The structural issues are as described earlier external factors which cannot be directly improved with the efforts of modifying the O&OD process itself. The functional issues on the other hand are the internal factors that might be improved through the efforts of optimizing the O&OD planning process. Table 3.9 summarizes the structural issues and functional issues identified through the field study.

**Table 3.9 Structural and Functional Issues in Overall View**

Structural Issues	Functional Issues
Insufficient Political Supports	Need of Outcome Oriented Focus
Lack of Sector Coordination due to Sectionalism	Inadequate Quality of Community Plan
Weak Community Leadership	Insufficient Capacity of Facilitators
Low Understanding of Head of Department in LGA	Limitation in Involving Community Members

### 3.5.3 Internal Factor to be Improved by Quality Facilitation and Methodological Refinement

Internal factors, in other words 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 methodological aspect on the other hand, two

areas should be considered: i) placing more emphasis on quality outcome; and ii) strengthening linkages to the post roll-out stage. These two areas of concern are important for methodological refinement since they directly contribute to establishment of the R&B mechanism. Table 3.10 is a summary of functional issues in overall and specific views in relation with two areas of concern for methodological improvement.

**Table 3.10 Functional Issues in Relation with Two Areas of Concern for Methodological Improvement**

Activities	Functional Issues	Could be overcome by improving:	Methodological aspect	
			More emphasis on quality outcome	Linkage with the post roll-out stage
<b>Overall View</b>				
	• Need of Outcome Oriented Focus	Methodology	•	•
	• Inadequate Quality of Community Plan	Facilitation	-	-
	• Insufficient Capacity of Facilitators	Facilitation	-	-
	• Limitation in Involving Community Members	Methodology	•	•
<b>Specific View</b>				
District / Ward Facilitators Training	• Lack of Elaboration in of Policy Issues	Methodology	•	
	• Insufficient Explanation about Monitoring and Evaluation	Methodology		•
	• Lack of Explanation of How to Incorporate Community Plans into LGA Plan	Methodology		•
	• Ineffective Pre-visit to Village/Ward	Methodology	•	•
Community Planning Process	• Invisible Picture of the Output at Launching of CPP	Methodology /Facilitation	•	
	• Inappropriate Selection of Community Resource Persons	Facilitation	-	-
	• Lack of Prioritization Covering All Specific Objectives	Methodology		•

- It shows whether functional issues to be solved by methodological improvements relate to the two areas, “More emphasis on quality outcome” or “Linkage with the post roll-out stage.”

#### 3.5.4 Fundamental Change to Optimize O&OD: Social Preparation

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. The question here is “should the Study only be dealing with functional issues, knowing that some fundamental changes are needed in order for the O&OD to optimize its effectiveness?” The answer could be “No” based on a positive and constructive outlook. Without making inroads into fundamental changes, nothing can be expected to be fruitful. Although fundamental changes should be treated from a long term perspective, even by osmosis they are going to be promoting factors fundamental to the other secondary issues.

Two fundamental changes appear to be necessary to overcome those structural issues: i) improving social acceptability of communities; and ii) getting rid of administrative and political rigidity. Social acceptability of communities could be in other words “Social Preparation” with which communities are able to judge legitimacy of the approach from outside communities and thus they are able to contextualize the approach into its social circumstance. 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. Table 3.11 shows relevancy of the identified issues with social acceptability of community and administrative and political rigidity.

**Table 3.11 Relevancy with Social Acceptability and Administrative and Political Rigidity**

	Issues	Could be overcome by:		
		Improving social acceptability of community	Getting rid of administrative and political rigidity	
Structural Over-all	• Insufficient Political Supports	-	•	
	• Lack of Sector Coordination due to Sectionalism	-	•	
	• Weak Community Leadership	•	-	
	• Low Understanding of Head of Department in LGA	•	-	
Functional Overall	• Need of Outcome Oriented Focus	○	-	
	• Inadequate Quality of Community Plan	○	-	
	• Insufficient Capacity of Facilitators	-	-	
	• Limitation in Involving Community Members	•	-	
	Specific	Lack of Elaboration in of Policy Issues	-	-
		Insufficient Explanation about Monitoring and Evaluation	-	-
		Lack of Explanation of How to Incorporate Community Plans into LGA Plan	-	-
		Inefficient Pre-visit to Village/Ward	-	-
		Invisible Picture of the Output at Launching CPP	-	-
		Inappropriate Selection of Community Resource Persons	○	-
CPP	Lack of Prioritization Covering All Specific Objectives	-	-	

•: Relevant / ○: Relevant to some degree / -: Not relevant

ARW: Awareness Raising Workshop / DFT: District Facilitators Training / WFT: Ward Facilitators Training / CPP: Community Planning Process

It is ideal if those two fundamental changes are realized but they are not easily achieved. In particular, administrative and political rigidity is almost impossible 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 acceptability or “Social Preparation” could be improved little by little, even if it is invisible degree, by refining the O&OD methodology and facilitation at all levels. Hence, this mega challenge should be included within the frame of the O&OD improvement though it could take long.

## CHAPTER 4

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

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#### 4.1 Introduction

The Study emphasises establishment and institutionalization of the Review and Backstop (R&B) mechanism. The term, “Review” used in this study indicates a continuous process in the community initiative of reviewing the Community Plan initially prepared during the O&OD roll-out while “Backstop” is facilitation by the district and ward officers and the Community Resource Persons (CRPs) for community people to implement and review the Plan.

The importance of the R&B emerged from mainly two aspects. First, establishment of the R&B mechanism promotes community people’s initiative for the betterment of livelihood. Continuous review of the Community Plan will promote community people’s awareness of prioritized objectives from time to time and it enables them to envisage further betterment of the community in the future. Second, progress of financial decentralization in the past years promotes discretion of LGA in dealing with planning. Accordingly the Community Plan is becoming more substantial basis to disburse the funds from the Central Government. Establishment of the Local Government Capital Development Grant (LGCDG) system has been particularly prominent in this aspect since it provides discretionary Capital Development Grant (CDG) which enables the LGA level to plan for 50% of the Grant while the Lower Local Government Authority (LLGA) level to plan for the other 50% of the Grant<sup>1</sup>. In order for the LLGA level to decide allocation of the Grant, it is vital that each village maintains clear vision and updated prioritized objectives in the Plan and thus the LLGA is able to effectively and equitably allocate the Grant. Without reviewing, the Plan would not maintain quality to be taken into consideration for the allocation of the Grant.

It was in this context that the O&OD Study Team carried out a field study in this emphasis in order to understand the post O&OD status, particularly to identify challenges that LGA are facing.

#### 4.2 Field Study Methodology

##### 4.2.1 General Approach

The field study adopted qualitative data collection method. Qualitative data in this field study was the anecdotal evidence collected through in-depth interview with stakeholders at different administrative levels<sup>2</sup>. Through the in-depth interview, the Study Team tried to read between the lines of responses from interviewees and at the same time observed the reaction of interviewees to the interviewer as well as the other interviewees. This approach did not necessarily neglect quantitative or static aspect but rather to understand dynamics existing in the post O&OD roll-out context at the village, ward, and LGA levels.

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<sup>1</sup> Precisely at least 50% should be spent at sub-LGA level by regulation.

<sup>2</sup> The term, “in-depth interview,” is used here in the sense that the Team conducts the interview not only based on the questionnaire primarily prepared, but also let the interviewees spread out whatever message they are willing to deliver to the Team. By allowing them leading discussion, the Team tries to find out the fact that the Team is not able to assume.

The Study Team collected two types of data: individual response and collective response through discussion as shown in Table 4.1. At the village/ward level, the two types of the data were collected while at the ward and the LGA level, only the data based on collective response was collected. Collective responses at the village, the ward, and the LGA levels were formed through discussion of groups of interviewees facilitated by the Team members while individual responses were drawn out through direct interview with each interviewee.

**Table 4.1 Interviewee and Type of Data**

Administrative level	Interviewee	Type of data
Village/Mtaa	Village Council members, village facilitators (Village Chairperson, Village Executive Officers etc)	Collective response through group discussion
	Villager	Individual response
Ward	Ward Facilitators (Ward Executive Officers, Extension Officers), Councillors	Collective response through group discussion
LGA	District Facilitators (DPLO, DCDO, other district officers, etc)	Collective response through group discussion

Based on those collected data, the field study inductively generalized findings and challenges for establishing and institutionalizing the R&B mechanism. In order to generalize findings and challenges from the field study, the Team synthesized the observations of each Team member through mini-workshops within the Team, in which each member expressed findings on a card and a number of prepared cards were grouped into some clusters after discussion. The implication included in later sections of this report was formulated based on those clusters as well as the raw data collected from the field study.

**Table 4.2 Interview Method**

	Interview method
Collective Response	Forming collective responses through group discussion facilitated by the Team members
Individual Response	Drawing out individual response through interview by the Team members with each interviewee

#### 4.2.2 Study Area: Sample Selection

Sample selection was carried out in two steps: i) selection of LGAs and ii) selection of sample villages from the LGAs. The first step controlled variation of the sample LGA by applying some criteria to make comparative analysis possible while the second step did not control variation letting the LGAs to randomly select villages located relatively closer to the LGA centre.

The first step of selecting sample LGAs adopted the criteria as follows:

- 1) Including LGAs which rolled out the O&OD in various years
- 2) Including LGAs located both in urban and rural settings
- 3) Including both LGCDG qualified LGAs and not qualified LGAs
- 4) Including LGAs which rolled out the O&OD with different funding sources

Regarding the first criteria, the LGAs which rolled out the O&OD in 2005/2006 were omitted from candidates due to relatively a shorter span after the O&OD roll-out.

Table 4.3 Sample LGAs

Sample LGAs	Roll-out (Assistance)	Received LGCDG	CDG Disbursed at LLGA level
Bagamoyo DC	2002/2003 (UNICEF)	Yes	Yes
Kibaha DC	2002/2003 (UNICEF)	No (not qualified as of 20 July)	No
Hai DC	2002/2003 (UNICEF)	Yes	Yes
Rombo DC	2004/2005 (PORALG)	Yes	Yes
Mbeya CC	2004/2005 (DANIDA)	Yes	No (as of 14 August)
Mbeya DC	2003/2004 (DANIDA)	Yes	Yes

\* Kibaha is treated as a rural LGA in this Study though some of the sample villages we visited were within urban wards.

The second step adopted random selection of sample villages and wards. In the case of rural LGA, one village in each of two wards were selected from one LGA. In those selected wards and villages, collective responses were aggregated through the discussion facilitated by the Team members. In addition, three to four villagers were randomly selected from each village in order to have responses based on individual perspective apart from the collective responses.

In the case of urban LGA on the other hand, two wards were selected from the sample LGA. *Mtaa* were not selected as sample since the urban O&OD process did not entail planning process at the *Mtaa* level but the ward level for the Ward Plan (WP). Three to four community people however were randomly selected in each ward in order to have responses based on individual perspective as for the rural LGA. Figure 4.1 shows sample LGAs and Table 4.4 shows the number of samples at the LGA, the ward and the village level respectively.

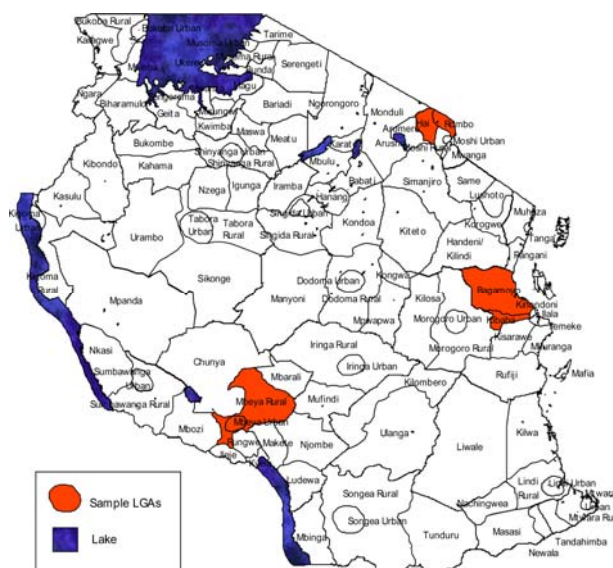


Figure 4.1 Sample LGAs

Table 4.4 Number of Interviewees in Sample Wards and Villages

LGA	Collective Response	Ward	Collective Response	Villages	Collective Response		Individual Response
	District Facilitators		WFs/DFs/Councillor/		WFs/DFs/Councillor	Villagers	Villagers/community people
Bagamoyo DC	14	Kiromo	2	Buma	3	17	4
		Yombo	2	Chasimba	2	21	4
Kibaha DC	5	Ruvu	2	Ruvu Station	2	6	-
		Mlanzi	3	Mlanzi A	1	10	4
Hai DC	10	Kware	5	Msama	1	2	3
		Machame Kusini	4	Shirimungani	2	26	3
Rombo DC	10	Manda Chini	-	Manda Chini	1	7	3
		Mamsera	2	Mamsera Chini	1	10	4
Mbeya CC*	14	Uyole	12**	-	-	-	3
Mbeya DC	26	Iganjo	19**	-	-	-	4
		Igale	4	Swaya	3	12	4
		Ijombe	4	Nsongwi	4	14	4
	<b>79</b>		<b>59</b>		<b>20</b>	<b>125</b>	<b>40</b>

\* No interview was conducted for *Mtaa* level in Mbeya CC since LGA in urban setting has no planning process at *Mtaa* level but only at the ward level

\*\* The figures include the community people who participated in the discussion.

\*\*\* The number of the villagers differs since the team avoided requesting the village to arrange the meeting in a formal way. Instead, the Team let villagers to decide how many people to attend.

### 4.3 Analysis on Results

This section analyzes the results of the field study in three areas as follows.

- 1) Analysis on different administrative levels
  - 2) Analysis on the relation between village incentives with external support
  - 3) Comparative analysis on rural and urban settings
- 1) Analysis on different administrative levels intends to figure out the relation among the responses to the question asked at each level. This is based on the interview at the different level, meaning that the analysis is carried out on individual response and collective response at the village level, and collective response at the ward level and at the LGA level.
  - 2) Analysis on the relation between village incentives and external supports intends to find out the dynamics existing in the relation between community initiatives and promoting factors. The promoting factors in this case include facilitation of Ward Facilitators (WFs) and District Facilitators (DFs) as well as external financial assistances.
  - 3) Comparative analysis on rural and urban settings intends to figure out difference between urban and non-urban LGAs in embracing the O&OD. The distinction made might not have significant basis since this field study covers only one LGA in urban setting. This analysis however gives direction to differentiate the approach or challenges taken for establishing the R&B mechanism.

#### 4.3.1 Analysis on Different Administrative Level

##### (1) Village Level

##### Interview with villagers for collective response

The terminology “collective response” of villagers used in this field study means the consensus of response identified through discussion among villagers. To develop collective responses through discussion, clusters of questions were prepared prior to the focused group interview with villagers as follows.

1. Ownership of Village/Ward Plan
  - Does the village physically have a copy of the plan?
  - Is the Village/Ward (V/W) Plan displayed in the public place?
2. Implementation of the Plan
  - Have you started implementing the V/W Plan?
3. Funding
  - Did you manage to collect revenue from village/ *Mtaa*'s own resource?
  - Have you received any funding from the LGA for the implementation of the V/W Plan?
4. Monitoring and Evaluation of the Plan
  - Did you set indicators in order to monitor the progress of the V/W Plan?
  - Is the progress of the V/W Plan being monitored since its implementation?
  - Are WFs and DFs visiting your village/ward to discuss the progress of the V/W Plan?
5. Review and Update
  - Has the data collected during the O&OD roll-out been updated?
  - Has the V/W Plan been reviewed since its preparation?
  - From the view point of village/ward, what would be the best and realistic way of reviewing the Plan every year?
6. Governance
  - Are monthly Village Council Meetings held?



- Are quarterly Village Assemblies held?
  - Is the M&E of the Plan discussed in the Village Council Meeting and the village assembly/Ward Development Committee?
  - Do you make available the financial statement during the Village Assembly/Ward Development Committee?
7. Capacity
- Are village/*Mtaa* resource persons facilitating implementation and review of the V/W Plan?

The results of the interview summarized in Table 4.5 shows some significant patterns. It appears that where community activities are actively carried out under community's initiative, review of the Plan is proactively practiced, and vice versa. In other words, the former and the latter might synergistically relate each other.

For instance, the sample villages in Hai DC and Rombo DC have been annually reviewing the Plan with their own initiative. Those villages are at the same time maintaining financial transparency and accountability by routinely providing the financial statement at village assembly. Moreover, in those villages, village resource persons are actively facilitating implementation of the Plan. Furthermore, those villages are able to collect revenue from their own resources though type and amount of revenue varies (see Table 4.6).

**Table 4.5 Results of Focused Group Interview with Villager**

Yes=1, No=2

Council	Bagamoyo DC		Kibaha DC		Hai DC		Rombo DC		Mbeya DC	
	Buma	Chasimba	Ruvu Station	Mlanzi A	Kware	Shirimungani	Manda Chini	Mamsela Chini	Swaya	Nsongwi Juu
<b>1. Ownership of Village/Mtaa Plan</b>										
Does the village physically have a copy of the plan?	1	1	1	2	2	1	1	1	1	1
Is the Village/Ward (V/W) Plan displayed in the public place?	2	2	2	2	2	1	2	2	2	2
<b>2. Implementation of the Plan</b>										
Have you started implementing the V/W Plan?	1	1	1	1	1	1	1	1	1	1
<b>3. Funding</b>										
Did you manage to collect revenue from village/ mtaa's own resource?	2	1	1	1	2	1	1	2	1	1
Have you received any funding from the LGA for the implementation of the V/W Plan?	1	1	2	2	1	1	1	1	1	1
Have you received any funding from NGO/DP for the implementation of the V/W Plan?	1	2	1	1	1	1	2	1	2	2
<b>4. Monitoring and Evaluation of the Plan</b>										
Did you set indicators in order to monitor the progress of the V/W Plan?	1	1	1	1	1	1	1	1	1	1
Is the progress of the V/W Plan being monitored since its implementation?	1	2	2	2	1	1	1	1	1	1
Are WFs and DFs visiting your village/Ward to discuss the progress of the V/W Plan?	2	2	2	2	1	1	1	1	2	1
<b>5. Review and Update</b>										
Has the data collected during the O&OD roll out been updated?	2	2	2	2	1	1	2	2	2	1
Has the V/W Plan been reviewed since its preparation?	2	2	2	2	1	1	1	1	2	2
<b>6. Governance</b>										
Are monthly Village Council Meetings held?	1	1	1	1	1	1	1	1	1	1
Are quarterly Village Assemblies held?	2	2	1	2	1	1	1	1	1	1
Is the M&E of the Plan discussed in the Village Council Meeting and the Village Assembly/Ward Development Committee?	1	1	1	2	1	1	1	1	1	1
Do you make available the financial statement during the Village Assembly/Ward Development Committee?	2	1	2	2	2	1	1	1	1	1
<b>7. Capacity</b>										
Are village/mtaa resource persons facilitating implementation and review of the V/W Plan?	1	2	1	2	1	1	1	2	2	2

\* Mbeya CC was not included, since the urban O&OD process does not cover the *Mtaa* level but only the ward level

\*\* In order to determine Yes or No in their answers, the Team confirmed with interviewees the basis of saying "Yes" or "No" by asking "why yes?"

Shirimungani Village in Hai DC and Mamsela Chini Village in Rombo DC have been able to

collect revenue or contribution successfully from each household in order to establish school and dispensary. In case of Shirimungani Village particularly, community members are very active in their community initiated activities. All Shirimungani villagers are in fact contributing their labour force for the community activities at least two days in a week.

**Table 4.6 Revenue Collected at the Sample Villages**

LGA	Village	Revenue	Others	
			In-kind	Labour
Bagamoyo DC	Buma	<ul style="list-style-type: none"> <li>No revenue</li> </ul>	-	-
	Chasimba	<ul style="list-style-type: none"> <li>Revenue from plot sale</li> </ul>	-	-
Kibaha DC	Ruvu Station	<ul style="list-style-type: none"> <li>N/A</li> </ul>	-	-
	Mlanzi A	<ul style="list-style-type: none"> <li>500,000/= from 10% charge of plot sales</li> </ul>	-	-
Hai DC	Kware	<ul style="list-style-type: none"> <li>No revenue</li> </ul>	-	<ul style="list-style-type: none"> <li>For road construction</li> </ul>
	Shirimungani	<ul style="list-style-type: none"> <li>300,000/= per year from irrigation fee</li> <li>2,000/= for primary school from each household</li> <li>1,000/= for secondary school from each household</li> <li>1,000/= for dispensary constructions from each household</li> </ul>	For school buildings	<ul style="list-style-type: none"> <li>For road rehabilitation</li> <li>2 days every week community people have to work for community activities</li> </ul>
Rombo DC	Manda Chini	<ul style="list-style-type: none"> <li>686,000/=</li> <li>(info. on the source of revenue N/A)</li> </ul>	-	<ul style="list-style-type: none"> <li>For community activities</li> </ul>
	Mamsela Chini	<ul style="list-style-type: none"> <li>60,000/= per month from selling bricks</li> <li>6,000/= for primary school construction from each household</li> <li>10,000/= for secondary school construction from each household</li> </ul>	-	-
Mbeya DC	Igale Swaya	<ul style="list-style-type: none"> <li>60,000/= from small business</li> </ul>	-	<ul style="list-style-type: none"> <li>For school construction</li> </ul>
	Nsongwi Juu	<ul style="list-style-type: none"> <li>760,000/= per year from 38 maize plots</li> <li>20,000/= per month from local liquor brewers</li> </ul>	-	<ul style="list-style-type: none"> <li>For school construction</li> <li>For road rehabilitation</li> <li>For dip construction</li> <li>For dispensary construction</li> <li>For water piping</li> </ul>

\* Mbeya CC was not included, since the urban O&OD process does not entail planning process below the ward level

On the other hand, it is also the fact that the Plans have never been reviewed in the sample villages in Bagamoyo DC, Kibaha DC, and Mbeya DC. DFs and WFs have hardly visited the sample villages in Bagamoyo DC and Kibaha DC to discuss the progress of the Plan and the villages have never reviewed the Plan in the past as seen in the negative response to the questions in the Table 4.5: “Are WFs and DFs visiting your village to discuss the progress of the VP?,” and “Has the VP been reviewed since its preparation?” In the case of the sample villages in Mbeya DC, the VP has not been reviewed although the villages have been visited by DFs and WFs. Two reasons are possible: either community people are not aware of importance of reviewing the VP or they are passive in taking action even if they are aware.

The box below shows the best and realistic way of reviewing the Plan from villages’ point of view. It seems that sample villages in Hai DC and Rombo DC are more informed about review than those in Bagamoyo DC, Kibaha DC, and Mbeya DC, since they have been already exposed to the R&B practice. Necessity of “capacity building” in terms of either technical or physical aspects is voiced in all sample villages while appropriate data maintenance and backstop from wards and districts are voiced in some villages. Capacity building in technical aspect is mainly capacity in reviewing the Plan. This indicates their situation that they do not know how to review the Plan. Capacity building in physical aspect on the other hand includes such improvement as in transportation means and stationery.

<b>BOX 4.1</b>	
<b>From the view point of village, what would promote review of the Community Plan every year?</b>	
<p><b><u>Bagamoyo DC</u></b></p> <ul style="list-style-type: none"> <li>• Capacity building in reviewing the Plan</li> <li>• More active community meetings</li> <li>• Capacity building among the community leaders and TUKI (VRT).</li> <li>• Mobilization of entire community in order to motivate all community members to attend meetings.</li> </ul> <p><b><u>Hai DC</u></b></p> <ul style="list-style-type: none"> <li>• Capacity building in reviewing the plan</li> <li>• Stationery to keep record of activities</li> <li>• Bicycle to follow up activities</li> <li>• To have capacity and guidelines for monitoring evaluation, review and backstop</li> <li>• To have proper keeping of data and use of data</li> <li>• Provision of stationery</li> </ul> <p><b><u>Kibaha DC</u></b></p> <ul style="list-style-type: none"> <li>• WFs and DFs to visit them</li> <li>• Backstop for capacity building in reviewing the Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Should have a permanent agenda of implementation of the VP</li> <li>• More technical supports on planning and review are needed.</li> </ul> <p><b><u>Rombo DC</u></b></p> <ul style="list-style-type: none"> <li>• To complete the on-going project and move to another when one is finished</li> <li>• Capacity building on how to review the plan is needed through training and seminars</li> <li>• Capacity building for Village Resource Team/Village Council members</li> <li>• Transportation to visit other villages</li> </ul> <p><b><u>Mbeya DC</u></b></p> <ul style="list-style-type: none"> <li>• Provision of a specific guideline</li> <li>• Provision of allowances and transportation to WFs and VRPs</li> </ul>

\* Mbeya CC was not included, since the urban O&OD process does not entail planning process below the ward level

\*\* Some answers are not specific. However, it is a reality in the villages that villagers cannot come up with concrete idea on how to review the Plan since they are not aware of the importance to do it.

### Individual interview with villagers/community people

Individual interview with villagers provides personal views on the O&OD process apart from the collective responses drawn from the focused group interview with villagers. In order to elicit their personal view, the following 5 questions were asked during the interview. The Team asked 5 simple questions in order to make villagers feel easy to answer, assuming that the questions become a starting point of more elaboration.

- Q1 Did you take part in the O&OD roll-out?
- Q2 Have you ever seen the Plan?
- Q3 Is the Community Plan important to you?
- Q4 Are you participating in the implementation of the Community Plan?
- Q5 Are you getting report on how the money is utilized in implementing the Community Plan?

The results of the individual interview indicate some prominent aspects of current post O&OD roll-out status.

First, the individual responses from villagers clearly indicate the pattern that more proportion of villagers in sample villages in Hai DC, Rombo DC and Mbeya DC than those in Bagamoyo DC, Kibaha DC recognizes that the Community Plan is important as seen in the results of Q3 (see Table 7). In fact, all interviewees in Hai DC, Rombo DC and Mbeya DC gave positive responses while some interviewees in Bagamoyo DC, Kibaha DC gave negative responses. It is not difficult to understand their negative responses since those negative responders have neither participated in the O&OD planning process nor seen the Community Plan in the past.

On the other hand, positive responders also have neither seen the Community Plan nor participated in the O&OD planning process. Some reasons are plausible. First, those positive responders were recognizing importance of planning at village. They have however never participated in the planning process whereas they are willing to do so. Second, those positive responders were not recognizing the importance but were feeling an information gap when asked the question by the interviewer. In other words, the question itself made the interviewees feel that they lagged behind comparing with those villagers who knew the

O&OD process. This as a result drove them to answer positively to be part of the villagers who were recognizing the importance of planning practice at village.

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 exposition to the sufficient information through the village assembly.

Third, another aspect worth mentioning is that 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 the Plan either. This fact implies that the Community Plans is not properly shared with villagers after approval by the village assembly.

**Table 4.7 Results of Individual Interview with Community People**

Yes=1 / No=2

No	LGA	Village/ Community	Sex	Age	Participate in O&OD roll out?	Seen the Village Plan?	Village Plan is important to you?	Take part in implementatio n of plan?	Financial report?
1	Bagamoyo DC	Buma	M	Y	2	2	1	1	2
2	Bagamoyo DC	Buma	F	Y	2	2	2	1	2
3	Bagamoyo DC	Buma	F	Y	2	2	2	1	2
4	Bagamoyo DC	Buma	M	O	2	1	1	1	2
5	Bagamoyo DC	Chasimba	F	Y	2	2	1	1	2
6	Bagamoyo DC	Chasimba	M	O	2	2	1	1	1
7	Bagamoyo DC	Chasimba	M	O	2	2	1	1	2
8	Bagamoyo DC	Chasimba	M	Y	2	1	1	1	1
9	Kibaha DC	Mlandizi A	M	Y	1	1	1	2	2
10	Kibaha DC	Mlandizi A	F	Y	2	2	2	2	2
11	Kibaha DC	Mlandizi A	M	Y	1	2	1	1	2
12	Kibaha DC	Mlandizi A	F	Y	2	2	1	1	2
13	Hai DC	Kware	M	O	1	2	1	1	1
14	Hai DC	Kware	F	O	2	2	1	1	1
15	Hai DC	Kware	M	O	2	2	1	1	1
16	Hai DC	Shirimungani	M	O	2	2	1	1	1
17	Hai DC	Shirimungani	F	Y	2	1	1	1	1
18	Hai DC	Shirimungani	F	O	1	1	1	1	1
19	Hai DC	Shirimungani	M	Y	1	1	1	1	1
20	Rombo DC	Manda Chini	M	O	1	2	1	1	1
21	Rombo DC	Manda Chini	M	O	1	2	1	1	1
22	Rombo DC	Manda Chini	M	O	1	1	1	1	1
23	Rombo DC	Mamsera Chini	M	O	2	2	1	1	1
24	Rombo DC	Mamsera Chini	F	Y	1	1	1	1	1
25	Rombo DC	Mamsera Chini	F	O	2	2	1	1	1
26	Rombo DC	Mamsera Chini	M	Y	1	1	1	1	1
27	Mbeya CC	Uyole(Ward)	F	O	1	2	1	2	2
28	Mbeya CC	Uyole(Ward)	M	O	1	1	1	2	2
29	Mbeya CC	Uyole(Ward)	F	Y	1	1	1	2	2
30	Mbeya CC	Iganio(Ward)	M	Y	1	2	1	1	1
31	Mbeya CC	Iganio(Ward)	M	O	1	2	1	1	1
32	Mbeya CC	Iganio(Ward)	F	Y	1	1	1	1	1
33	Mbeya CC	Iganio(Ward)	F	O	1	2	1	1	1
34	Mbeya DC	Sweya	M	O	1	1	1	1	2
35	Mbeya DC	Sweya	M	O	1	2	1	1	2
36	Mbeya DC	Sweya	F	O	1	2	1	1	2
37	Mbeya DC	Sweya	F	O	1	2	1	1	2
38	Mbeya DC	Nsongwi	M	O	1	1	1	1	1
39	Mbeya DC	Nsongwi	F	O	1	1	1	1	1
40	Mbeya DC	Nsongwi	F	Y	2	2	1	1	1
41	Mbeya DC	Nsongwi	M	Y	1	1	1	1	1

\*Age: Y=Young (below 40), O=Old (40 or above)

Besides the observation as described above, one of the significant aspects identified through the individual interview with villagers is type of reasons for the positive answer to Question 3. It is commonly perceived that plans prepared at village tend to become a wishful list, meaning particularly that villagers are expecting to receive external resources for physical improvements. If it is so, then the Community Plan could also be a propitious means for villagers to acquire external resources. However, it is not necessarily the truth in this case since the reasons of feeling importance of the Plan are not only contributing to physical improvements but also non-physical improvements.

Many villagers in fact insisted the Community Plan could be useful in strengthening social networks. For instance, one male pointed out that the Plan enhances cooperation among people, and the other made a point that the Plan enhances peoples to share ideas and experiences on how to improve household income. Box 4.2 shows various reasons why villagers responded positively to the question “Is the Plan important to you?”

#### BOX 4.2

##### Reasons Why Interviewees Think the Village/Ward Plan is Important

###### Bagamoyo DC

- The Plan brings development such as water development, livestock keeping and a retail shop (male, youth)
- The Plan is contributing to construction of a school (male, 41 yrs)
- Because of the Plan, there is secondary school at this moment (male, 41 yrs)
- The Plan enables people to acquire land for food crops (male, 41 yrs)
- The Plan enhances cooperation among people (male, youth)

###### Kibaha DC

- The Plan relates to individual and communal development activities (male, 24 yrs)
- The Plan is for community development and it makes people participate in development activities (male, 24 yrs)
- Because of the Plan people are working for specific objectives (male, 24 yrs)
- The Plan will guide villagers to eradicate poverty (female,35yrs)

###### Hai DC

- The Plan brought the village safe water (female, elder)
- The Plan brought an irrigation scheme to the village (male, middle age)
- The Plan enhances people to share ideas and experiences on how to improve household income (female, 32 yrs)
- The Plan made the villagers possible to make use of extension officers (e.g. training for farmers association on vegetable pesticides) (female, 32 yrs)
- The Plan enhances poor people to be on the average wealth (female, 52 yrs)

###### Rombo DC

- The Plan opened up new horizons for villagers to participate in community activities such as construction of secondary school (Male, 49 yrs)
- Development is important especially education and health facilities (male, 65yrs)
- I believe that the Plan promotes development of the village (male, 65yrs)
- The Plan mobilizes villagers to be accountable to their families for better life (male, 45yrs)
- The Plan realized children to go to school (female, 40yrs)
- Orphans are getting support from the community (female, 40yrs)
- The Plan brought development of the village, (secondary and primary schools) (female, 55yrs)
- Orphans have been taken care because of the Plan (female, 55yrs)
- School attendance has improved because of the O&OD process (female, 55yrs)
- The Plan brought improvement of so many things like school, health, water and agriculture in our village (male, 35yrs)

**BOX 4.2 (Cont.)****Mbeya CC\***

- Community people should know the Plan of where she lives and what is being implemented (female, 49yrs)
- If the Plan is directed to solve the problem for people, service provision from the Government is expected (male, 60yrs)
- Community people are able to be aware of opportunities and obstacles of the community (female, 24yrs)
- Agriculture inputs can be improved (male, 63yrs)
- The Plan can contribute to development of the vulnerable (female, 43yrs)
- The Plan can realize the importance of children to go to school (female, 41yrs)

**Mbeya DC**

- The Plan gives solution for the problem in the village (32yrs)
- Process of preparing the Plan made me understand the challenges that he was not aware (male, 46yrs)
- The Plan realized construction of school (female, elder)
- The Plan can be utilized to attract someone to financially assist its activities (female, 41yrs)
- The Plan gives direction what to do for development (production increase, water access, livestock prevention etc) (male, 52yrs)
- The Plan gives knowledge on income generation (female, 40yrs)
- The Plan is used for mobilization of community people, and lets us know the necessity of education and send more children to secondary school (female, 26yrs)

\* Due to the urban O&OD process, "Reasons Why Interviewees Think the Ward Plan is Important" is shown in the Mbeya CC case.

**(2) Ward Level**

The same approach as in the interview with villagers for collective response was adopted for the interview at the ward level. The number of interviewees however was relatively few comparing with the village interview, consisting of the Ward Executive Officer (WEO), Extension Officers, and sometimes councillors. Questions were prepared as follows prior to the group interview.

**1. Implementation of the Plan**

- Do you have cross cutting plan at the ward-level?<sup>3</sup>
- Which cross cutting plans are being implemented?
- What achievement is recorded?

**2. Funding**

- Was the IPF for the LGCDG given to your ward last year?
- If yes, how much LGCDG was allocated to villages last year?
- Does TASAF fund pass through the WDC?
- Last year did you receive any funding from the LGA for implementation of the Plan?
- How about other sources?

**3. Monitoring and Evaluation of the Plan**

- Have WFs or WDC members made visits to villages to monitor the progress of the Community Plan implementation?
- Does the ward have the capacity to support communities to implement and monitor the Community Plan?

**4. Review and Update**

- Did WDC meet and give technical advice to reviewed Community Plans?

**5. Governance**

- Are quarterly WDC meeting held?

The results of interview shed light on some critical aspects. First, it appears that the Community Plans are not necessarily the basis to decide allocation of the CDG at the WDC. As seen in the summary results of Tables 4.8 and 4.9, all sample wards have cross-cutting plans and implemented some of the activities in the plan including construction of secondary school buildings and a dispensary, and rehabilitation of road, dips and a ward office. Among the implemented activities, construction of secondary school was assisted by the CDG in six

<sup>3</sup> The term, "cross-cutting plan," is used here to imply any plan or planed activities at ward level recognized by the WDC.

of the sample wards. This however implies that allocation of the CDG in the sample wards has not necessarily been decided based on the Community Plans. In the case of sample villages of Hai DC in fact, construction of secondary school is not included in the achieved or implemented *Specific Objectives* in the Community Plan according to the collective responses of the villagers interviewed (see Table 4.10).

Three reasons are possible for this neglect of Community Plan in the process of deciding allocation of CDG. First, the instruction from the Central Government to establish secondary school at each ward influenced the decision of the WDC. Second, the contents of the Community Plans are not concrete enough to be the basis for the fund allocation since the Plan does not include detailed action plans. Third, selection of “construction of secondary school” could be the point of compromise among village chairpersons in the WDC since this could reduce fund flow to an activity of a specific village, and thus all villages could enjoy a benefit out of it.

**Table 4.8 Results of Focused Group Interview with Ward Officers**

Yes=1, No=2

Ward	Kiromo (Buma)	Yombo (Chasimba)	Ruvu (Ruvu Station)	Mlanzi (Mlanzi A)	Masama Kushini (Kware)	Machame Kusini (Shirimungani)	(Manda Chini)	Mamsera (Mamsela Chini)	Igale (Swaya)	Ijombe (Nsongwi Juu)
<b>1. Implementation of the Plan</b>										
Do you have cross cutting plan at ward-level?	1	1	1	1	1	1	-	1	1	1
<b>2. Funding</b>										
Was the IPF for the LGCDG given to your ward last year?	2	1	2	2	1	1	-	1	1	1
Does TASAF fund pass through the WDC?	2	2	2	2	2	2	-	2	2	2
Last year did you receive any funding from the LGA for implementation of the Plan?	2	2	1	2	1	1	-	2	1	1
<b>3. Monitoring and Evaluation of the Plan</b>										
Have WFs or WDC members made visits to villages to monitor the progress of the Village Plan implementation?	2	2	1	2	2	1	-	1	1	2
Does the ward have the capacity to support villages/mtaas to implement and monitor the V/M Plan?	2	2	1	2	1	1	-	1	2	2
<b>4. Review and Update</b>										
Did WDC meet and give technical advice to reviewed V/M Plans?	2	2	2	2	2	1	-	1	1	2
<b>5. Governance</b>										
Are quarterly WDC meeting held?	1	1	1	1	1	1	-	1	1	1

\*Mbeya CC was excluded. For the purpose of the comparative analysis among sample wards which followed the same rural O&OD process.

**Table 4.9 Implementation of Cross-cutting Plans of the Sample Ward**

LGA	Ward	Village	Implemented Cross-cutting Plans	LGCDG: Capital Development Grant	
				Indicative Planning Figure Received?	Used for
Bagamoyo DC	Kiromo	Buma	<ul style="list-style-type: none"> <li>Construction of secondary school buildings</li> <li>Construction of dispensary</li> <li>Improvement of cassava yields</li> </ul>	No	-
	Yombo	Chasimba	<ul style="list-style-type: none"> <li>Rehabilitation of primary school building and construction of additional classrooms to upgrade it into secondary school</li> </ul>	Yes	Construction of secondary school and toilets
Kibaha DC	Ruvu	Ruvu Station	<ul style="list-style-type: none"> <li>Construction of secondary School</li> </ul>	No	-

LGA	Ward	Village	Implemented Cross-cutting Plans	LGCDG: Capital Development Grant	
				Indicative Planning Figure Received?	Used for
	Mlanzi	Mlanzi A	<ul style="list-style-type: none"> <li>Construction of dispensary</li> </ul>	No	-
Hai DC	Masama Kushini	Kware	<ul style="list-style-type: none"> <li>Construction of secondary school</li> </ul>	Yes	Construction and rehabilitation of secondary school
	Machame Kusini	Shirimungani	<ul style="list-style-type: none"> <li>Construction of secondary school</li> <li>Road rehabilitation</li> <li>Dip rehabilitation</li> <li>Rehabilitation of a ward office</li> </ul>	Yes	Construction of secondary school
Rombo DC	Manda Chini	Manda Chini	-	-	-
	Mamsera	Mamsera Chini	<ul style="list-style-type: none"> <li>Formulation of HIV/AIDS committee,</li> <li>Road Rehabilitation</li> <li>Supports to orphans</li> </ul>	Yes	Construction of secondary school
Mbeya DC	Igale	Swaya	<ul style="list-style-type: none"> <li>Construction of secondary school</li> <li>Road rehabilitation</li> <li>Dip rehabilitation</li> <li>Construction of water intake</li> </ul>	Yes	Construction of secondary school
	Ijombe	Nsongwi Juu	<ul style="list-style-type: none"> <li>Construction of secondary school</li> <li>Water supply</li> <li>SACCOS</li> </ul>	Yes	Construction of secondary school

For the purpose of the comparative analysis among sample wards which followed the same rural O&OD process, Mbeya CC was excluded.

**Table 4.10 Implementation of Specific Objectives in the Sample Villages**

LGA	Ward	Village	Achievement or Implementation of Specific Objectives of the Community Plan
Bagamoyo DC	Kiromo	Buma	<ul style="list-style-type: none"> <li>Primary school enrolment has increased to be 100%.</li> <li>The number of women in leadership has increased</li> <li>Flexibility in role of men and women has improved</li> </ul>
	Yombo	Chasimba	<ul style="list-style-type: none"> <li>Clean water is accessible</li> <li>A new dispensary was built</li> <li>A primary school and a secondary school were built</li> </ul>
Kibaha DC	Ruvu	Ruvu Station	<ul style="list-style-type: none"> <li>Not achieved any</li> </ul>
	Mlanzi	Mlanzi A	<ul style="list-style-type: none"> <li>2 primary schools are built.</li> </ul>
Hai DC	Masama Kushini	Kware	<ul style="list-style-type: none"> <li>Canning vegetables has been introduced</li> <li>Road to bring in farm inputs and take farm productions to markets was constructed</li> <li>Primary school was built</li> </ul>
	Machame Kusini	Shirimungani	<ul style="list-style-type: none"> <li>Dispensary was constructed but not yet opened</li> <li>Food storage was constructed</li> <li>1 primary school are built</li> <li>3 classrooms are completed in each primary school</li> <li>1 teachers' house was constructed</li> <li>Irrigation scheme is under operation</li> <li>26 income generating groups has been carrying out agriculture activities</li> <li>The total number of SACCOS members increased from 42 to 236 and share contributions also increased from 1 million/= to 13 million/=</li> </ul>
Rombo DC	Manda Chini	Manda Chini	<ul style="list-style-type: none"> <li>3 out of 10 classrooms have been completed for the secondary school.</li> </ul>
	Mamsera	Mamsera Chini	<ul style="list-style-type: none"> <li>2 classrooms have been constructed in secondary school</li> <li>Primary school is constructed</li> <li>Neighborhood day and night security watch groups have been formed by villagers</li> </ul>
Mbeya DC	Igale	Swaya	<ul style="list-style-type: none"> <li>Trees are planted for soil conservation</li> <li>4 classrooms have been constructed for primary school</li> <li>Roads are improved</li> </ul>
	Ijombe	Nsongwi Juu	<ul style="list-style-type: none"> <li>Secondary School is now under construction</li> <li>Water supply (piping) is now on going</li> <li>SACCOS is now functioning</li> </ul>

For the purpose of the comparative analysis among sample wards which followed the same rural O&OD process, Mbeya CC was excluded.



Another observation is that those sample villages which have reviewed the Community Plan are at the same time visited by ward officers. According to the villagers' collective responses, all of the four villages, which have reviewed the Plan, are visited by ward officers (see Table 4.5). Those ward officers are also confident with their capacity to support villages to implement and monitor implementation of Community Plan (see Table 4.8). This could be a mere coincidence since those villages might review the Plan even without visits of the ward officers, and those officers might be confident not only because of their capacity but also the villages' capacity. However, monitoring of the ward officers appears to be a promoting factor positively influencing villages' initiative on reviewing the Plan. This issue will be discussed in the later section.

### (3) LGA Level

As in the other two administrative levels, "collective response" was built through the interview with and the discussion among LGA officers. 5 to 26 officers in each LGA were able to share their views relating to the following questions.

1. Integration of Village/Ward Plans to higher LGA Plan
  - Have you made a comprehensive LGA Plan?
  - How did you compile the LGA Plan?
  - How could the village/ward level information/data be aggregated at the LGA level?
2. Implementation of the Plan
  - To what extent was the LGA Plan implemented last year?
3. Funding
  - Last year did the LGA allocate 50% of CDG to the wards last year?
4. Monitoring and Evaluation of the Plan
  - What is the M&E mechanism of the LGA Plan?
  - Do you visit villages and give support to WFs and Community Resource Persons for the implementation and monitoring of the V/W Plan?
5. Review and Update
  - What is the mechanism of the LGA in reviewing the annual plan of LGA Plan?
6. Governance
  - Are quarterly standing committee meetings and Full Council meeting held?
  - Are the LGA Plan monitored during the standing committee meetings?
  - Do you give the financial statement for the public to view?

Through the interview, the team observed among others difficulty of incorporating Community Plans into the LGA Plan. Although all LGAs have a LGA Plan, it is not necessarily made up of the Community Plans. It could be a general view or justification that the LGA Plan does not have to be fully an aggregation of the Community Plans since cross-cutting activities over villages and wards should be also a constitutive component of the LGA Plan. However, without incorporating Community Plans into the LGA Plan and so reflecting community demands in the LGA budget, the LGA is not able to deliver services effectively down to villages. In this respect, the incorporation of Community Plans is still crucial in the O&OD process.

The process of incorporating Community Plans however is not transparent although many of the sample LGAs responded that they were manually sorting out the Plan by sector and going through the Plans one by one. It is not difficult to imagine vexatious complication of manually sorting out a numbers of Community Plans by sector and at the same time reproducing the same 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 database system to compile community data for planning and budgeting.

Table 4.11 Summary Results of Focused Group Interview with LGA Officers

Yes=1, No=2

Council	Bagamoyo DC	Kibaha DC	Hai DC	Rombo DC	Mbeya DC	Mbeya DC
<b>1. Integration of Village/Ward Plans to higher LGA plans</b>						
Have you made a comprehensive LGA Plan?	1	1	1	1	1	1
How did you compile the LGA Plan?	<ul style="list-style-type: none"> <li>Through consolidation of Village Plans. (Observation: No concrete method was explained.)</li> </ul>	<ul style="list-style-type: none"> <li>There are 2 sources of inputs: one from departments and the other from Village Plans (prepared in 2002).</li> <li>Contents of the Village Plans are manually sorted by sectors and given to respective departments</li> </ul>	<ul style="list-style-type: none"> <li>Inputs from: one year plan from villages; ward crosscutting plans; and policy guidelines from the CG</li> <li>At planning department the village and ward plans are sorted by sector and send to the department</li> <li>The Village Plans are scrutinized in the light of policy guidelines</li> </ul>	<ul style="list-style-type: none"> <li>DPLO receive inputs from O&amp;OD plans</li> <li>CMT goes through and sorts out manually and by sector.</li> <li>Also takes inputs from Finance, Social, Safe and Security committees (of the CMT)</li> </ul>	<ul style="list-style-type: none"> <li>All Ward prepare summary of the annual plan based on three year plan</li> <li>The summaries of the annual plan are distributed to the head of each department</li> <li>Each department goes through the plan and consolidate plan taking into account other plans submitted from the LLGA level</li> </ul>	<ul style="list-style-type: none"> <li>All villages prepare the Village Plan and submitted to the Ward and the Council</li> <li>Each Ward compiles Village Plans into a comprehensive plan</li> <li>Each Ward selects priorities from the plan</li> <li>The Council compiles those priorities from Wards and Village Plans into the LGA Plan taking into account the ceiling</li> </ul>
How could community level information/data be aggregated at district level?	<ul style="list-style-type: none"> <li>VEO collects social and economic data from the village.</li> <li>Data collected during the O&amp;OD roll out have never been updated.</li> <li>No database system is introduced.</li> </ul>	<ul style="list-style-type: none"> <li>Through Community Based Management Information System (CBMIS) and other system.</li> <li>Raw data comes from villages but not from data gathered at O&amp;OD</li> </ul>	<ul style="list-style-type: none"> <li>Planning department has an organ of information and data collection system</li> <li>5 TUKI members are assigned to collect data from villages</li> </ul>	<ul style="list-style-type: none"> <li>To build capacity on data base information system at all levels (village, ward, and district)</li> <li>To introduce CBMIS at village level</li> </ul>	<ul style="list-style-type: none"> <li>Through computer database of the Council</li> </ul>	-
<b>2. Implementation of the Plan</b>						
To what extent was the LGA Plan implemented last year?	80%	-	70%	80-90%	115%	80%
<b>3. Funding</b>						
Last year did the LGA allocate 50% of CDG to wards last year?	1	2 Not qualified	1	1 (only 20% was allocated)	2	1
<b>4. Monitoring and Evaluation of the Plan</b>						
What is the M&E mechanism of the LGA Plan?	<ul style="list-style-type: none"> <li>Every sector has own indicators for monitoring</li> <li>It is measured against the set target</li> </ul>	<ul style="list-style-type: none"> <li>Monthly CMT meeting prepares the progress report which will be scrutinized in the monthly Finance Committee meeting.</li> <li>Other standing committee meetings are also held monthly and progress is monitored using indicators.</li> <li>The report is submitted to the quarterly full council meeting</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation is done quarterly by sector using indicators.</li> <li>Finance Committee also meets 2-3 times a year.</li> <li>Heads of Department physically visit and monitors the implementation of projects.</li> <li>Finance Committee also physically visits and monitor projects.</li> </ul>	<ul style="list-style-type: none"> <li>At present they don't have monitoring and evaluation guidelines, however 20% of CDG used for M &amp; E</li> <li>Capacity building needed for M&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>The LGA is installing a package system of the LGMD</li> <li>The system is not fully operational yet</li> <li>Once system is in place, monitoring results will be available in quarterly, semi-annual, and yearly basis</li> </ul>	<ul style="list-style-type: none"> <li>LGA officers visit villages and monitoring reports are produced</li> <li>The reports are submitted to various departments which is particularly relating to the activities</li> <li>Regional Officers sometimes visit villages</li> </ul>
Do you visit villages and give support to WFs and Village Resource Persons for the implementation and monitoring of the V/W Plan?	2 <ul style="list-style-type: none"> <li>Only a few of technical officers know about the O&amp;OD process, so no capacity for backstopping in implementation and monitoring.</li> </ul>	2 <ul style="list-style-type: none"> <li>DFs are not active and need further support. Some LGA officers do not know about O&amp;OD.</li> <li>VRT (TUKI) are not vibrant either in the villages</li> </ul>	1 <ul style="list-style-type: none"> <li>CMT members visit and give technical advice and resources such as for transportation</li> <li>Inadequate funds make the DFs visits to villages difficult</li> <li>During the CSDP activities there were funds for M&amp;E but not any more.</li> </ul>	1 <ul style="list-style-type: none"> <li>DFs visit villages twice per month, mostly during Village Council and Village Assembly meetings to see if they are following their plans, likewise the WDC make follow-ups and support to Village Resource Team who are not yet trained</li> <li>Currently the village resource person are used in PADEP and TASAF in making follow-ups in implementation of projects.</li> <li>Lack of transport makes frequent visits difficult</li> </ul>	1 <ul style="list-style-type: none"> <li>DFs visit when needs from Ward arise</li> <li>DFs visit to the Wards where the fund is provided specifically</li> </ul>	1 <ul style="list-style-type: none"> <li>LGA officers visits and provide technical supports to the Ward</li> </ul>
<b>5. Review and Update</b>						
What is the mechanism of the LGA in reviewing the LGA Plan annually?			<ul style="list-style-type: none"> <li>Quarterly reports discussed in the CMT meetings</li> <li>Annual report of Planning and Finance Committee discussed in full council meetings</li> <li>Plans are sent to Regional Administration Committee (RAC) for advice</li> </ul>	<ul style="list-style-type: none"> <li>The CMT goes through the previous LGA Plan and see what was implemented and what is not implemented and carry forward for the next three year plan which also could accommodate village priorities</li> </ul>	<ul style="list-style-type: none"> <li>When politician or the Central Government requires some modification of the Plan in terms of a specific intervention, DFs visits Ward and review the Plan</li> </ul>	<ul style="list-style-type: none"> <li>The LGA reviews the Plan if needs arises. Particularly when fund shortage arises</li> </ul>
<b>6. Governance</b>						
Are quarterly standing committee meetings and Full Council meeting held?	1	1	1	1	1	1
Are the LGA Plan monitored during the standing committee meetings?	1	1	1	1	1	1
Do you give the financial statement for the public to view?	2	1	1	1	1	1

\* CBMIS stands for the Community Based Management Information System which has been promoted by the UNICEF under the program, "Child Survival Protection and Development (CSPD). CBMIS is focusing on improvement of the community data dealing with child survival aspect.

### 4.3.2 Analysis of the Relation between Community Incentives and External Supports

This section tries to examine the relation between villagers' incentive and external supports. External supports include a technical and financial assistance of stakeholders outside communities such as LGA officers as well as donors and NGOs. The following discusses two substantial issues: i) the relation between facilitation and incentives to review the Plan, ii) the relation between financial assistance and incentives to review the Plan. In other words, this section tries to respond to the puzzles as follows.

- 1) Are supports of LGA officers facilitating and mobilizing communities to review the Plan?
- 2) Does financial assistance from outside resources motivate communities to review the Plan?

The first puzzle closely relates to public service delivery which is one of the most crucial aspects of the R&B. It is common belief that technical supports from the ward and LGA officers promote community activities. This is why extension service has a meaning and exists as part of public service delivery. However, it is not clear whether supports from those officers really promote community activities in the respect of reviewing the Community Plans.

To respond to this puzzle, the results of the horizontal analysis at each different administrative level in the former section could be vertically restructured to understand the relation among the different levels. It is of significance in particular to verify whether those sample villages, which reviewed their Plans, have been supported by LGA officers.

Table 4.12 is a vertically restructured result and 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 LGA officers (including both at the ward and the LGA levels) among the sample villages/wards.

**Table 4.12 Review at Community Level and Monitoring of Ward Officers and District Officer**

	Community Level		Ward Level		LGA Level
	Has the Community Plan been reviewed since its preparation?		Visit villages for monitoring the progress of the Community Plan implementation?		Visit villages and give support to WFs and Community Resource Persons for the implementation and monitoring of the Community Plan?
Bagamoyo DC	Buma	2	Kiromo	2	2
	Chasimba	2	Yombo	2	
Kibaha DC	Ruvu Station	2	Ruvu	1	2
	Mlanzi A	2	Mlanzi	2	
Hai DC	Kware	1	Masama Kushini	1	1
	Shirimgungani	1	Machame Kusini	1	
Rombo DC	Manda Chini	1	N/A	N/A	1
	Mamsela Chini	1	Mamsera	1	
Mbeya CC	Uyole	2	-	-	2
	Iganio	2	-	-	
Mbeya DC	Swaya	2	Igale	1	2
	Nsongwi Juu	2	Ijombe	1	

The second puzzle relates to the issue of incentive structure for the villagers. The question in other words is that "are villagers motivated only by external resources?" If the answer is "yes," then the Community Plan is most likely prepared and reviewed in order to acquire external funds for village activities. The feasibility of activities in the Plan might become low

in this case since village activities are largely going to depend on external funds. If the answer is “No” in contrast, the Plan is expected to be more realistic, since community members are more seriously planning to operate activities fully taking into consideration available internal resources without much dependency on external resources.

Analysis here is a simple review on how much each of the sample villages has received in form of external resources in the past. If more external resources have been received by those villages which have reviewed the Plan, the possibility of the relation between those two variables has to be taken into account.

The result of the analysis shows that villagers are not necessarily motivated only by external resources. Table 4.13 clearly shows that 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 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.

**Table 4.13 Review at Community Level and the Assistance from External Resources**

LGA	Village	V/W Plan Reviewed? Y=1/N=2	Assistance from Outside Community		Own Revenue	
					Community Contribution	Others
Bagamoyo DC	Buma	2	1. PEDP 2. TASAF	<ul style="list-style-type: none"> <li>12 million/=</li> </ul>	<ul style="list-style-type: none"> <li>No revenue</li> </ul>	<ul style="list-style-type: none"> <li>No revenue</li> </ul>
	Chasimba	2	1. LGA	<ul style="list-style-type: none"> <li>10,000/=</li> </ul>	-	<ul style="list-style-type: none"> <li>Revenue from plot sale</li> </ul>
Kibaha DC	Ruvu Station	2	1. PEDP 2. TASAF 3. Plan Internl'	N/A	N/A	N/A
	Mlanzi A	2	1. PEDP 2. Plan Tanzania 3. PADEP 4. Care Tanzania	<ul style="list-style-type: none"> <li>6.2 million/= for 2 classrooms and 5 million/= for special education class</li> <li>School fees for about 40 secondary students</li> <li>3 million/= for irrigation</li> <li>Home-based care for the sick, mostly HIV/AIDS patients</li> </ul>	-	<ul style="list-style-type: none"> <li>500,000/= from 10% charge of plot sales</li> </ul>
Hai DC	Kware	1	-	<ul style="list-style-type: none"> <li>250,000/=</li> </ul>	-	<ul style="list-style-type: none"> <li>No revenue</li> </ul>
	Shirimgun gani	1	1. The LGA 2. PADEP 3. FERT 4. PEDP	<ul style="list-style-type: none"> <li>14 million/= for dispensary construction,</li> <li>35 million/= for construction and rehabilitation of irrigation</li> <li>7.5million/=, where 25% out of 7.5m was community contribution</li> <li>18.6 million/= for construction of primary school and 10.2 million/= for teacher's house construction</li> </ul>	<ul style="list-style-type: none"> <li>2,000/= for primary school from each household</li> <li>1,000/= for secondary school from each household</li> <li>1,000/= for dispensary constructions from each household</li> </ul>	<ul style="list-style-type: none"> <li>300,000/= per year from irrigation fee</li> </ul>
Rombo DC	Manda Chini	1	1. The LGA 2. Individual	<ul style="list-style-type: none"> <li>1.6 million/=</li> <li>2.5 million/=</li> </ul>	<ul style="list-style-type: none"> <li>686,000/=</li> </ul>	
	Mamsela Chini	1	1. LGCDG 2. The LGA 3. PEDP 4. MP	<ul style="list-style-type: none"> <li>5,546,500/=</li> <li>1,000,000/=</li> <li>2,500,000/=</li> </ul>	<ul style="list-style-type: none"> <li>6,000/= for primary school construction from each household</li> <li>10,000/= for secondary school construction from each household</li> </ul>	<ul style="list-style-type: none"> <li>60,000/= per month from selling bricks</li> </ul>

LGA	Village	V/W Plan Reviewed? Y=1/N=2	Assistance from Outside Community		Own Revenue	
					Community Contribution	Others
Mbeya CC	Uyole*	2	1. The LGA 2. Agricultural Research Institute	<ul style="list-style-type: none"> <li>For secondary school construction</li> <li>200,000/= for secondary school construction</li> </ul>	-	<ul style="list-style-type: none"> <li>No revenue directly from community contribution but in the form of property tax which is collected from each household by the LGA and reallocated to the community</li> </ul>
	Iganjo*	2	1. The LGA 2. PEDP	<ul style="list-style-type: none"> <li>4,000,000/= for secondary school construction</li> <li>1,785,000/= for primary school</li> </ul>	<ul style="list-style-type: none"> <li>Labour contribution only</li> </ul>	<ul style="list-style-type: none"> <li>Property Tax</li> </ul>
Mbeya DC	Swaya	2	1. The LGA 2. PEDP	<ul style="list-style-type: none"> <li>3,100,000/= for primary school construction</li> </ul>	-	<ul style="list-style-type: none"> <li>60,000/= from small business</li> </ul>
	Nsongwi Juu	2	1. The LGA 2. PEDP	<ul style="list-style-type: none"> <li>3,600,000/= for a teacher's house</li> <li>3,100,000/= for primary school construction</li> </ul>	-	<ul style="list-style-type: none"> <li>760,000/= per year from 38 maize plots</li> <li>20,000/= per month from local liquor brewers</li> </ul>

\* In Mbeya CC case, information from the sample wards are included for the purpose of the analysis, since the urban O&OD process does not require planning process below the ward level

In addition to the analyses above, it is worth mentioning that some interviewees in Mbeya CC and Mbeya DC supported by area-based initiatives of an international donor explicitly showed their attitude toward dependency on external resources. It is prominent from observation of the Study Team that only interviewees in Mbeya CC and Mbeya DC showed their explicit dependency on external resources. The box below shows part of voices from those interviewees.

<b>BOX 4.3</b>	
<b>Voices of interviewees regarding external assistance (Mbeya CC and Mbeya DC)</b>	
<ul style="list-style-type: none"> <li>The Ward Plan has not been implemented because we just submitted it to a donor for supports and still waiting for funds for implementation (ward-level officer)</li> <li>The O&amp;OD Plan is important because the Plan can be utilized to show someone to financially assist community activities (community dweller, 41yrs)</li> <li>TASAF initially promised to finance the activities included in the O&amp;OD Plan but the TASAF fund was only given to part of the O&amp;OD Plan (ward-level officer)</li> <li>Since those donors supporting village activities imposes us a lot of conditionality, we always try to meet the conditionality. The conditionality however is changed from time to time and therefore we are so confused and cannot implement the Plan (ward-level officer)</li> <li>The central people always promise to support but there is no follow-up afterward and therefore implementation of the Plan is difficult (community dweller, 46yrs)</li> <li>Donor funding is very erratic and it leads to disincentive of communities (LGA-level officer)</li> </ul>	

Those interviewees seem to be assuming that the Plan is more like a means to acquire external resources not to guide community initiatives. In fact, community contribution in the sample communities of those two LGAs is relatively low as seen in Table 4.13. This observation of the Study Team implies that the area based support might hinder to a certain extent the O&OD principle to promote community initiatives.

#### 4.3.3 Comparative Analysis on Rural and Urban Settings

Some of the differences between rural and urban settings were observed during the field visit to Mbeya CC.

First, commitment of communities to their development activities in the rural setting seems higher than that of urban setting. Extent of community contribution can partially tell the difference. For instance, in the case of Hai DC and Rombo DC, interviewees are very sure about what they have contributed to for village activities as seen in Table 4.13, meaning that they are aware of common activities and objectives that community members are pursuing together. During the interview with community people in the sample LGAs, it was obvious that interviewees in the sample LGAs in rural settings are more aware than those in Mbeya CC of contribution of communities.

The reasons of difference in commitment could vary. For instance, commitment can sometimes be built on the basis of solidarity of community people. In the urban setting, people have more opportunities to be involved in various activities due to higher exposure to economic activities and so more monetary circulation. It could dilute the solidarity of community people to assist each other since more households in urban setting could independently sustain themselves economically than in rural setting. It is a typical contrast in perception of urban and rural dwellers exemplified by a LGA officer in Mbeya CC that when community needs a contribution for classroom construction, the rural dwellers contribute their labor to prepare bricks whereas it is easier for urban dwellers either to make cash contribution or to buy bricks as contribution.

Second, decisions made in communities of urban setting are more influenced by the Central Government than those of rural setting. It could be partially due to lower level of commitment and higher expectation to the government supports for community development in urban setting. LGA officers in Mbeya CC characterizes mentality of urban community as “low level of participation but high level of expectation,” meaning that although community people in urban setting are more reluctant to participate in initiatives of the Government such as the O&OD, they are yet relying upon government supports<sup>4</sup>. This mentality makes communities passive and community initiatives diminished, relying upon the external supports.

Hence, it is concluded that mobilizing people is more difficult in urban setting than in rural setting. In order to avoid undermining the urban O&OD process, value of the urban process need to be further elaborated and affirmed.

## **4.4 Implications**

### **4.4.1 Awareness of community and LGA of importance to the Review and Backstop**

The results of the field study show an overall trend toward low awareness of importance of the R&B. In fact, the study found that review on the Plan has hardly occurred in many of the sampled villages and the progress of the Plan has not properly been monitored in those villages both by the ward-level officers and the district-level officers.

The Study Team however confirmed the potential of establishing the R&B mechanism as per the fact that the four sample villages in Hai DC and Rombo DC have reviewed the Plan under their own initiatives. This is an absolutely commendable fact and at the same time provides the evidence for feasibility of establishing the R&B mechanism.

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<sup>4</sup> A quote from discussions held with Mbeya CC officers on 15 August 2006.

**BOX 4.4**

**What Made Villages in Hai and Rombo Review the Village Plan (VP)?**

Hai Case

The team identified some factors influencing villagers to review the plan in the Hai case.

First, the training carried out under the initiative of PO-RALG in 2003 can be one factor. The training was held for 5 days in which 3 days were used jointly for village and the ward levels and 2 days were for district-level officers. Two officers from PO-RALG facilitated at the village and the ward level jointly and the district level separately.

In the village and ward level training, three participants from each village (including VEO) and two participants from each ward (including WEO) were invited in order to make those participants to be confident with how to prepare progress report on implementation of the VP. In the district level training, 15 district-level officers were invited to make them aware of importance of backstopping implementation of the VPs and to make sure the issue is continuously discussed at the quarterly Council Management Team meeting.

Second, another factor could be relatively many chances of exposing their post O&OD roll-out status to the others. Since Hai is the first pilot LGA of the O&OD roll-out, many villagers have visited the villages in Hai. In fact, the concept of "action visit" has been adopted in Hai where one village can learn from the other advanced villages. Due to many visitors, it could be possible that the villagers might have been motivated to make efforts in order to make themselves look smarter.

Rombo Case

In the Rombo case, the situation is slightly different from the Hai case. One major factor is leadership of the former District Executive Director (DED). Her commitment mobilized all levels in the LGA. All levels of personnel including Heads of Department, District Facilitators, Ward Facilitators, Village Chairpersons and VEOs have taken action propelled by her commitment.

#### 4.4.2 Commitment to community development through the Village Plan or the Ward Plan

Commitment to community development through implementation of the Village Plan (VP) prepared in the rural O&OD process or the Ward Plan (WP) in the urban O&OD process depends on how seriously community recognizes the Plan as a means to improve community livelihood. Two ways of recognizing the Plan are identified through the field study.

One way is the recognition that the Plan is a means to promote community initiatives which then facilitate improvement of community livelihood. Communities are expected to review the Plan and contribute own resources to implement the Plan to a large degree under this recognition. The sample villages in Hai DC and Rombo DC are a typical example of this type (Type 1).

The other way is the recognition that the Plan is a means to acquire external resources which facilitate improvement of community livelihood. Under this recognition, community expect external agencies to assist the implementation of the Plan. This type of communities even expects financial assistance to review the Plan. The sample villages and wards in Mbeya DC and Mbeya CC could be grouped into this type (Type 2).

The sample villages of Bagamoyo DC and Kibaha DC do not belong to any of these two types since it appears that those villages are not recognizing the Plan as seriously as the other sample villages as seen in the level of community contribution to implementation of the Plan as well as lack of monitoring on implementation of the Plan by Village Resource Persons.

Hence, the level of commitment to community development through the VP or the WP differ

based on the how communities recognize the importance of the Plan.

#### 4.4.3 Incentives of community to implement and review the Village Plan or the ward Plan

Incentives of communities to implement and review the Plan relate to how community people recognize meaningfulness of the Plan, which is discussed above section i.e. Type 1 and Type 2. Based on those two types, 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 the Plan. This actual feeling or solid sense motivates community people to contribute own resources to further improvement of the community and to review the Plan in order to reflect changes of prioritized activities in the Plan. This benevolent cycle leads to the communities to build a solid foundation to be able to find opportunities and obstacles under the initiative of the communities.

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. The Plan is important in this respect since without the Plan, community can not show the community needs to those who might want to support.

Those two types of incentive more or less exist concurrently in any community when the Plan is prepared. The promotion of R&B will hinge at least on these two incentives of community people.

#### 4.4.4 Horizontal and vertical information sharing

Information sharing is vital for all stakeholders at different administrative levels to have common understandings. Without shared awareness and recognition, all stakeholders are not able to reach common goals. The study identified current situation of such information sharing from perspective of horizontal and vertical information sharing. "Horizontal" in this case is information sharing at each administrative level while "vertical" is information sharing among different administrative levels.

The Study found that horizontal information sharing at community level appears to be insufficient. Results of the individual interview with community people shows that among those who participated in the O&OD roll-out, 11 out of 24 have never seen the final version of the VP approved by the village assembly, and only 1 out of 10 sample villages, Shirimgungani Village, is displaying the VP in the public place.

From the current status in Shirimgungani Village as an advanced case of information sharing, it is obvious that information sharing would promote community awareness of the VP. In fact, among those individual interviewees who participated in the roll-out in Shirimgungani Village, all interviewees have seen the Plan unlike the other sample villages. Even one interviewee who did not participate in the roll-out has been aware of the VP. The relatively higher level of information sharing and commendable performance in the post roll-out phase of Shirimgungani Village as explained in the earlier sections could not be by coincidental. It is thus concluded that the one factor making Shirimgungani Village as an advanced case in terms of the R&B could be higher degree of the information sharing.



Vertical information sharing on the other hand refers to information sharing from the LGA to community people and vice versa. In order to make information flow between the LGA and community people, at least two levels of smooth information flow is needed: i) between Village Chairpersons/Village Executive Officers (VEO) and Ward Executive Officers (WEOs), and ii) between WEOs and district-level officers.

The Study Team did not identify serious shortcomings in the vertical information sharing but probably information sharing regarding the CDG. Out of 7 sample wards which had qualified to receive the CDG, 6 wards received the Indicative Planning Figure (IPF). In those wards, whenever the Team asked the interviewees in the communities if they were informed of the IPF, they did not understand the question. This means that they were not even aware of the CDG and so the IPF. Information flow regarding the CDG is not therefore smooth either between Village Chairpersons/VEOs and WEOs, or community people and Village Chairpersons/VEOs. Since the WDC is supposed to decide allocation of the IPF, the Village Chairperson should know the CDG and the IPF. If so, information sharing from the Village Chairpersons to community people should be the weakest point to be strengthened.

#### 4.4.5 Technical and physical capacity

Two aspects of capacity building should be considered to promote the R&B: technical and physical capacity building. Technical capacity building is to improve skills and knowledge while physical capacity building is to improve physical aspects to optimize the skills and the knowledge. Through the field study, necessity of capacity building for the two aspects is confirmed from voices of the interviewee 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 institutionalized process. The O&OD manuals did not cover R&B and at same time the O&OD training did not cover this aspect either.

However, the R&B is not a new concept. Preparation of the Community Plan is expected to be followed by review of the Plan if this is assumed to be continuously utilized as a living document. "Utilization" means implementation of the activities in the Plan through input of either community resources or external resources. In order to realize efficient and effective "utilization" facilitation and monitoring are inevitable within and from outside communities. Accordingly, technical capacity building is to improve skills and knowledge on the basis of the existing capacity which those stakeholders at different levels have already equipped with.

Physical capacity includes sufficient transportation and stationery for facilitation and monitoring, appropriate space to maintain documents, and all other material support. The question is "should all aspects of physical capacity shortage be treated?" Physical capacity shortage has long been persistent particularly in the rural area and it is not only related to the R&B in the post O&OD roll-out but to all other activities which are supposed to be carried out as a routine responsibilities of officers of all administrative levels. 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 tool to sort out the information included in Community Plans and compile it as a component of the LGA Plan. The reason is simple. From observation of the Study Team, the sample LGAs have only been able to arbitrarily incorporate Community Plans into the LGA Plan since it has been

only possible for the LGAs to manually sort out dozen of the Community Plans submitted from all villages/wards. Without solid incorporation process however, the needs of the community can not really be reflected in the LGA Plan so as in the budget at the LGA level.

#### 4.4.6 Structural Issues

The Study Team observed through the field study mainly two structural and substantial issues to take into account in order to establish tentative proposals for the improvement of the O&OD.

First, the Community Plan is inclusive of all prioritized village activities since it is to deal with community improvement across sectors. Due to this inclusiveness, implementation of the Community Plan is not always because of prioritization on the Plan. For instance, the Development Grant of the Primary Education Development Plan (PEDP) is a major funding source of the Community Plan implementation, contributing to physical needs including construction of classrooms, teacher's houses, and pit holes. However, the Grant is at the same time disbursed to the School Plan, which includes the same physical needs, prepared under the initiative of the School Committee for each primary school. In this case, it is more accurate to say that the Grant is disbursed to the School Plan and at the same time to the all-inclusive Community Plan. The same manner is applicable for the TASAF, the Participatory Agricultural Development and Empowerment Project (PADEP) funds, and other funds which promoted implementation of the Community Plan of the sample villages. The implementation of the Community Plan thus is mosaic since each initiative implement activities based on the priority of its own.

Second, in contradiction to its rising importance, the LGCDG is not allocated to the Community Plans. As evidenced in the analysis at the ward level in the former section, the Community Plans are not necessarily the basis to decide allocation of the CDG at the WDC. In the sample wards, the CDG was exclusively allocated to construction of secondary school. One reason is due to the instruction from the Central Government that each ward should have secondary school. Another reason is that the Community Plan is not action-oriented without a detailed technical plan for implementation.

### 4.5 Way Forward

The O&OD approach has been process-oriented with emphasis on participatory planning. To make use of this 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. R&B should thus be stressed not only in the post roll-out stage but also from the O&OD roll-out stage.

Promotion of awareness, commitment, and incentive of community people, promotion of horizontal and vertical information sharing at and among different levels, technical and physical capacity building, and some structural issues are identified clusters in which concrete actions are to be elaborated taking into account the current post-O&OD roll-out status. The key to prepare feasible tentative proposals is how the existing basis can be optimized since the R&B is not a new concept.

## CHAPTER 5

### TENTATIVE PROPOSALS FOR IMPROVEMENT OF O&OD

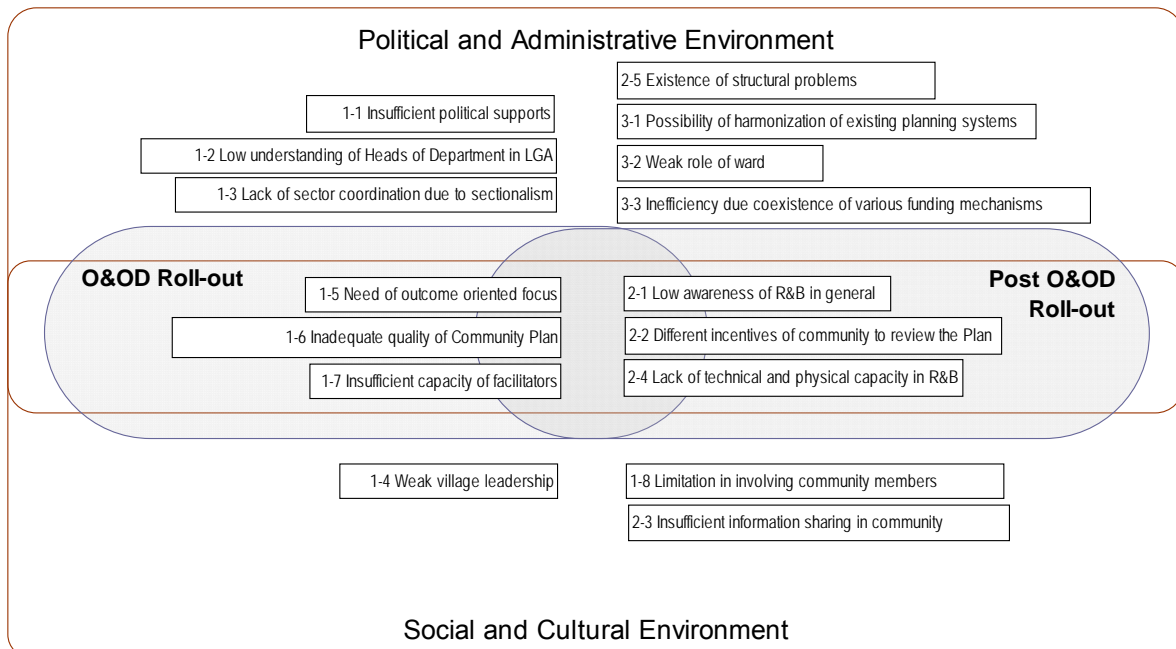
#### 5.1 Summary of Findings

This chapter will propose 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 (Chapter 2), the O&OD roll-out (Chapter 3), and post O&OD roll-out status (Chapter 4). Table 5.1 summarizes major findings through the studies.

Findings from this Study 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 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	
O&OD Roll-out	
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
Post O&OD Roll-out	
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
Planning and Budgeting System	
3-1	Possibility of harmonization of existing planning system
3-2	Weak role of Ward
3-3	Inefficiency due coexistence of various funding mechanism



**Figure 5.1 Identified Factors in Categories**

Although those different factors are categorized into three groups, some of those could be at same time affecting other categories. For instance, “2-1 Lack of awareness of R&B in general” is not only an issue to be considered in the R&B stage but should be treated from the roll-out stage in order to maximize effectiveness by making stakeholders aware from the earlier stage. “1-5 Need of outcome oriented focus,” and “1-6 Inadequate quality of Community Plan” are not only relating to quality assurance of Community Plans but it is also fundamental to promote implementation of the Plans in the R&B stage. Furthermore, “1-8 Insufficient capacity of facilitator” is not only a factor in roll-out stage but also in the R&B stage assuming that those facilitators play an important role to facilitate implementation and review of the Community Plans.

Among the factors in the political and administrative environment, “3-2 Weak role of ward” for example should not be taken as a futile issue since the role of the ward could be significant to promote incorporation of community needs into the LGA plan in the R&B stage. The other political and administrative factors are also affecting the O&OD roll-out and R&B stages.

It requires time to improve factors in social and cultural environment including “1-3 Weak village leadership,” and “1-8 Limitation in involving community members”. However those factors directly affect efficiency and effectiveness of Community Planning Process in the roll-out stage as well as the implementation and review of the Plan in the R&B stages. Therefore, some measures should be taken to those factors from long term perspective.

## 5.2 Framework of Tentative Proposals

Bearing in mind above considerations, the Study tentatively proposes a framework of proposals. The framework includes three pillars of strategic areas, strategic goals, and specific goals in a comprehensive manner regardless of differences in difficulty and time concern of each goal. For instance, some issues related to policy environment will not be improved dramatically in a relatively short term due to rigidity in existing administrative structure and interests. Empowerment of communities also can not be realized to a significant degree in a short time period and it rather needs accumulation of efforts in a long term perspective. Table 5.2 shows the framework

**Table 5.2 Framework of Tentative Proposal: Strategic Areas, Strategic Goals, and Specific Goals**

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 Facilitator (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

Three Pillars of Strategic Areas	Strategic Goals	Specific Goals
2. Establishing the 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 the LGA plan
		2.2.2 Strengthening capacity of Ward to compile Community Plans
		2.2.3 Strengthening function of LGAs 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

Assuming that those Strategic Goals are to be achieved, they will accommodate the issues from different perspectives identified in the Study as shown in Table 5.3.

**Table 5.3 Relation between Major Issues and Strategic Goals**

Three Pillars		Improving O&OD Roll-out Process	Establishing the R&B Mechanism	Promoting Enabling Environment for Effective O&OD rollout and R&B			
Strategic Goal		Assuring Quality of Facilitator	Improving Roll-out Methodology	Building Capacity of Facilitators	Incorporating Community Needs into LGA Plan	Promoting Social Preparation	Promoting Policy Environment
Major Issues from Different Perspective							
O&OD Roll-out							
1-1	Insufficient political supports		●				
1-2	Low understanding of Head 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 mobilizing participant		●				
Post O&OD Roll-out							
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				●		
Planning and Budgeting System							
3-1	Possibility of harmonization of existing planning system						●
3-2	Weak role of Ward				●		
3-3	Inefficiency due coexistence of various funding mechanism						●

●: A strategic goal accommodate an issue identified through review and studies.

## 5.3 Tentative Proposals

### 5.3.1 Improving O&OD Roll-Out Process

The first pillar, *Improving O&OD Roll-Out Process*, is applicable in the LGAs without experience of the O&OD roll-out. Those LGAs are going to experience both the O&OD roll-out and R&B stages in the future whereas the LGAs with experience of the O&OD roll-out are already in the R&B stage.

**Table 5.4 Emphasis Placed by Type of LGA**

	LGAs with experience of O&OD roll-out	LGAs without experience of O&OD
Roll-out	-	√
R&B	√	√

For those LGAs without experience of the O&OD roll-out, emphasis should be not only placed on the O&OD roll-out but also on the R&B. In other words, even during the O&OD roll-out process, the R&B concepts should be introduced since the roll-out process is in other words a preparation stage for communities to be ready to make the process sustainable and for facilitators to be ready to facilitate communities to review the plan and incorporate community needs in the LGA Plan. The following strategic goals and specific goals therefore are outcome-oriented, aiming to empower communities even after the roll-out.

#### (1) Assuring Quality of Facilitation

##### (1-1) Optimizing arrangement of District Facilitators

In order to assure quality of facilitators, careful selection of LGA officers for District Facilitators (DFs) could be important. However the shortage of suitable officers for facilitating the O&OD planning process has been a long lasting problem and it can not be solved shortly. Focus therefore should be placed not on selection but on optimal combination of district-level officers. To optimize combination of facilitators, a facilitator team should be carefully formed particularly for the Ward Facilitators Training (WFT) and the Community Planning Process (CPP). At least one competent DF should be included in a team, and DFs in a team should be complementary to each other, redeeming weaknesses among them. Balance in gender and specialty should also be considered when forming a team.

##### (1-2) Optimizing arrangement of Ward Facilitator

More ward officers could be assigned to be Ward Facilitators (WFs) to facilitate CPP in order to widen sector coverage of WFs. In the current situation, three ward officers are assigned as WFs for one ward, including Ward Executive Officer (WEO) and other two extension officers, meaning that current sector coverage is only two at most. It is ideal to involve in the process all of the core ward level officers except Ward Education Coordinators (WEC) who have been excluded in order to avoid lowering quality of education during roll-out process. At least, Community Development Officers, Agricultural Extension Officers, and Health Officer in addition to WEO should be included to form a facilitation team, which is expected to facilitate continuously even in the R&B stage.

##### (1-3) Selecting functional Community Resource Persons

Community Resource Persons (Village Resource Persons in rural LGAs and Mtaa Resource Persons in urban LGAs) should be carefully selected since their role is not only important in

the roll-out stage but also in the R&B stage. In the current situation, Community Resource Persons (CRP) are not appropriately functioning during the CPP as seen that they are rather part of participants in the process instead of facilitating the process. Due to their low awareness of the role in facilitation, it is not difficult to imagine that they are not going to play a significant role in facilitating implementation and review of the Community Plan in the R&B stage. CRPs should be thus carefully selected based on commitment, competence, and acceptability by community in facilitating community activities. In order to appropriately select CRPs, WFs should closely work with and facilitate communities to select appropriate CRPs.

(2) Improving Roll-out Methodology

(2-1) Front-loading preparation stage

Community should be well-prepared to accept the O&OD planning process suitably before the process starts. One day pre-visit is currently included during the process of the District/Ward Facilitators Training only 3-4 days before initiating the CPP. However, it is not effectively pre-sensitizing communities, only providing brief introduction to members of Village Council or councilors. In order for communities to be fully aware of and prepared for the coming O&OD planning process, sufficient time and information should be provided not only to Village Council or councilors but more importantly to community members. Hence, pre-sensitization should be started even before the O&OD roll-out, assuring a sufficient time for communities to share enough information within. In the pre-sensitization, it will be also effective to encourage communities to start collecting community data necessary for the planning process and thereby communities will be able to enjoy more efficient planning process.

(2-2) Increasing effectiveness of Orientation Training

To make Orientation Training more effective, National Facilitators (NFs) for instance should be oriented to place more emphasis on Review and Backstop when facilitating the roll-out process. Sensitizing NFs are particularly important since how NFs perform has significant influence on how DFs and WFs perform. Those facilitators in fact model after the way NFs facilitate or deliver explanations and elaboration, role play, and group work. Therefore, in order to make O&OD roll-out outcome-oriented stressing importance of R&B, Orientation Training is important as an entry point.

(2-3) Increasing effectiveness of Awareness Raising Workshop

Role of councilor should be clearly indicated during Awareness Raising Workshop and those councilors should right after the Workshop start pre-sensitizing communities in their wards in order for the communities to be ready to accept O&OD planning process. Councilors could play a significant role as part of O&OD roll-out since they have influence to a large degree on mobilizing ward-level officers, Ward Development Committee members as well as communities. As in the Orientation Training, importance of Review and Backstop should be stressed in the Workshop. Councilors also should pre-sensitize communities to be aware of importance of post O&OD roll-out stage, stressing that O&OD is a methodology to empower communities and it will be sustainable when the communities effectively utilize the Community Plan after the O&OD roll-out.

## (2-4) Increasing effectiveness of District and Ward Facilitators Training

To increase effectiveness of the District Facilitators Training (DFT) and Ward Facilitators Training (WFT), there are some aspects to be taken seriously.

First, pre-visit should be more effectively carried out. Although pre-sensitization before the roll-out is already recommended above, pre-visit is still necessary in order to confirm to what extent wards and communities are prepared and sensitized. Through understanding of the situation, it becomes possible to deploy relatively more capable Facilitators in the stage of CPP where wards and communities are not well-prepared and well-sensitized.

Second, importance of R&B should be continuously emphasized in the DFT/WFT. NFs should stress as strongly as possible the importance of R&B assuming that contents of the Training are diluted when the process goes down from districts to wards and then to communities.

Third, some issues excluded from the urban planning process should also be included in the same manner as in the rural planning process. In particular, the “Planning and Budget” part in the O&OD Handbook is important not only for the rural process but also for the urban process since it provides basic concepts about planning and budgeting which become a basis of incorporating community needs into the LGA Plan.

## (2-5) Increasing effectiveness of Community Planning Process (CPP)

To increase efficiency of CPP, two aspects should be considered: whether community needs are reflected in the Community Plan and whether its contents are sufficiently shared within the community. In respect of those aspects, some processes should be improved.

First, communities should be able to select objectives included in TDV2025 according to their needs. Currently a community is asked to follow all objectives under TDV2025. Although all the objectives of TDV 2025 are important to achieve the national goals, each community has its unique condition and the community’s progress regarding each of those objectives differs considerably. For example, some villages may have adequate water supply facilities due to recent government interventions to improve rural water supply. In that case, “availability of safe water” (one of the 9 objectives under High Quality Livelihood) may be adequately met and therefore the community may not need to plan other measures except maintenance and repairs. Understanding the limited time and resources it will be better for the community to focus on the issues which are most relevant to them. If facilitated carefully this process does not hinder the achievement of TDV 2025.

Second, *Specific Objectives* should not be prioritized only within each objective of TDV2025 but across the objectives. In the current process, there are 2 to 4 prioritized *Specific Objectives* under each objective of TDV2025, and they are only prioritized among them.

Third, Three-Year Plan should include first 10 to 20 prioritized *Specific Objectives* selected across objectives of TDV2025. Currently, only the *Specific Objective* of the first priority under each objective of TDV2025 is included in the Plan. In this case, some of the *Specific Objectives* of second priority under certain objectives of TDV2025 are ignored even if they are of higher priority as a whole than the first priority *Specific Objectives* under the other objectives of TDV2025.



Fourth, Three-Year Plan should be sufficiently shared within a community before approval. Currently Community Plan is rubber-stamped without sufficiently recognized by community people. For instance in the case of rural LGAs, Village Plan is approved in the village assembly where most of the villagers do not really recognize details of what are included.

Those aspects above are to improve a linkage of roll-out stage with the R&B stages, reflecting community needs more efficiently in the Community Plan and enhancing the sense of ownership of the Plan in the community.

### 5.3.2 Establishing the Review and Backstop Mechanism

The second pillar, *Establishing the Review and Backstop Mechanism*, is applicable in the LGAs with experience of the O&OD roll-out in the past. Two strategic objectives are set to establish R&B mechanism: building capacity of facilitators and incorporating community needs into LGA Plan. Building capacity of facilitators is vital to empower communities to review and utilize the Community Plan for further betterment of community livelihood. Incorporating community needs into LGA Plan is fundamental to reflect community needs into the LGA Plan and so the LGA budget.

#### (1) Building Capacity of Facilitators

##### (1-1) Sensitizing stakeholders on importance of R&B

Sensitizing stakeholders on importance of R&B is of considerable importance. In order to sensitize stakeholders, sensitization workshop should be held involving stakeholders at all levels including LGAs, and communities. In the workshop, role of stakeholders in the R&B stage should be clarified. Through the workshop, District Facilitators and Ward Facilitators particularly should be aware of their role in facilitating communities to implement and review their Community Plans according to changing needs of the communities from time to time, and at the same time they should have an idea of how they can contribute to consolidation of Community Plans into the LGA Plan.

##### (1-2) Strengthening monitoring and facilitation capacity of District Facilitators, Ward Facilitators, and Community Resource Persons

Monitoring and facilitation capacity of district and ward officers as DFs and WFs, and CRPs should be strengthened. Technical capacity of DFs and WFs should be strengthened through re-orientation training, in which those facilitators may recapture some basic concepts necessary for the O&OD planning process including TDV2025, participatory tools to collect community data, prioritization of *Specific Objectives*, and preparation of Community Plan and Three-Year Plan and at the same time develop skills of how to monitor and facilitate communities to implement and review the Community Plans and how to incorporate community needs into the LGA Plan.

After the re-orientation, DFs and WFs may go down to the community level and facilitate review process of its Community Plan. CRPs should be closely working with WFs in reviewing the Plan and those Resource Persons become cable of facilitating review process through on-the-job training. Once the Plans are reviewed, ward-level officer may compile them and submit to the LGA who then compiles community needs into the LGA Plan.

## (2) Incorporating Community Needs into LGA Plan

## (2-1) Establishing database system to compile Community Plans into LGA Plan

Database system to compile the contents of Community Plans should be established in the future in order for LGA officers to be able to efficiently reflect community needs in the LGA Plan. In the current situation however, it is not realistic for each community to have at least one computer to which necessary data in Community Plans for the LGA Plan could be inputted. Therefore, a simple form to compile the necessary data should be prepared. The simple form could be manually filled by Ward Executive Officers as part of the responsibility of reporting role and submitted to the LGA to efficiently compile community needs into the LGA Plan.

When the physical environment is improved and each community is able to compile information using a computer in the future, data base system should be established in accordance with the existing planning and budgeting system, or existing data base system should be expanded accommodating Community Plans.

## (2-2) Strengthening capacity of Ward to compile Community Plans

Capacity of wards to compile Community Plans is important to strengthen reporting role of ward-level officers to LGA level. In the re-orientation training proposed above, how to compile Community Plans should be also clearly indicated. Through compilation of community needs, ward-level officers should be aware of the gap between existing activities monitored by them and community needs compiled from Community Plans, and thereby become aware of how important is their reporting role as part of the LGA employee being closer to community level.

As proposed above a simple format should be manually prepared by Ward Executive Officers with assistance of other extension officers including Community Development Officers, Agricultural Extension Officers, Health Officer and Ward Education Coordinator. The simple format could be at the same time a very useful input for Ward Development Committee when it discusses allocation of Capital Development Grant based on the ceiling of allocation or Indicative Planning Figure decided by the LGA.

## (2-3) Strengthening function of LGA to compile Community Plans

The function of the LGA to compile community needs should be strengthened. It is not difficult for the LGA to physically compile community needs if simple formats are submitted by wards. The compiled information could be useful inputs either to the comprehensive LGA Plan or to sector plans, and at the same time it could be part of basis to estimate the LGA budget. In the re-orientation Training, a simple format should be introduced to LGA officers and ward officers, and how and in what timing to be prepared should be indicated.

## 5.3.3 Promoting Enabling Environment for Effective O&amp;OD Roll-out and R&amp;B

The third pillar, *Promoting Enabling Environment for effective O&OD roll-out and R&B*, is to respond to the environment compassing the O&OD roll-out and R&B stages consisting two strategic goals: Promoting Social Preparation and Promoting Policy Environment. Those

should be promoted from long term perspective. For instance, social issues could be largely improved with positive changes in a social norm. Governance issues could be influenced by a social norm in the sense that they can not be improved overnight only by forcing what is regulated by law and rather require changes in a social norm from long term perspective. Furthermore, changes in policy environment largely hinge on administrative and political rigidity. For instance, vested interests of the sector Ministries and politicians can not be eliminated as long as their concerns remain, and it should rather be harmonized permitting existence of vested interests. Strategic goals below are to promote such environments with a positive outlook from long term perspective.

(1) Promoting Social Preparation

(1-1) Improving governance

Governance at different levels should be improved since it is among others fundamental to conduce to social preparedness for the O&OD planning process. Governance in this case includes aspects of community leadership, transparency and accountability, and networking among different levels which are inter-related.

Community leadership somehow depends on personality of leaders as well as how much community people trust them. On the other hand, capacity of leaders is also important to create followers in the community. In this regard, community leadership could be promoted particularly through capacity building of Village Chairperson and Village Executive Officer as well as Mtaa Executive Officer or *Mtaa* leaders. For instance, when reviewing Community Plans, Ward Facilitators should closely work with those community leaders together with CRPs on-the-job basis, and thus they can little by little improve capacity of how to handle review process of their Plan.

Transparency and accountability issues are also of primary importance to communities since they are related to trust in community leadership. In the case of rural LGAs for instance, it was observed during the field studies, when transparency and accountability of village government are high, it enhances trust of community members in Village Chairperson, and vice versa. In preparing or reviewing the Community Plan both in the roll-out and R&B stages, revenue and expenditure of the village government should be fully exposed to communities, and at the same time it should be displayed in public on routine basis. To promote this aspect, Ward Facilitators should monitor communities with high regard for transparency and accountability status.

Networking among all levels is also of significance to promote governance among all levels. In the vertical relation, DFs and WFs should frequently visit community to share useful and necessary information for them such as the Indicative Planning Figure of the Capacity Development Grant. WFs on the other hand should report the status and progress of Community Plans at least quarterly as stipulated by administrative regulations and preferably more. In the horizontal relation, information sharing between Village Council or the *Mtaa* leaders and community members are particularly weak as par transparency and accountability issues are discussed above. This aspect should be improved to enhance leadership of Village Council and *Mtaa* leaders since leadership is vital to promote concerted efforts of communities to tackle various issues. Networking among communities should also be promoted to enjoy a 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 Village Council and *Mtaa* leaders. Capacity building of Ward Facilitators in this regard should be highly considered.

(1-2) Raising incentives of community to implement and review their Plan

Together with good governance, incentives of community should be raised in order to promote social preparedness to maximize effectiveness of the O&OD planning process. The incentives of community should be raised from two approaches.

First, access to information on external funding should be promoted in communities. Incentive for communities to review their Plan is expected to be enhanced with sufficient and concrete information of available funds for community betterment. To promote the access, District Facilitators and Ward Facilitators should first compile information regarding external funding available for community and then frequently share the information to communities through Village Council or *Mtaa* leaders.

Second, sense of community ownership of the Plan should be promoted. Community ownership of the Plan leads to sense of achievement which is enhanced through accumulation of successful experience in utilizing the Plan. To promote the sense of ownership, experience of the other successful communities should be introduced to the others to raise motivation for more serious utilization of the Plan with a positive outlook.

(2) Promoting Policy Environment

(2-1) Strengthening funds flow to Community Plans

Funds flow to Community Plans should be strengthened to promote policy environment of optimizing effectiveness of the O&OD planning process. To strengthen fund flow to Community Plans, two directions of efforts should be made: LGA's efforts to allocate funds based on community needs and community effort's to receive funds.

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. To do so, as proposed previously, a simple format should be prepared and utilized by ward-level officers to compile necessary information of Community Plans, and submitted to the LGA.

Second, the budget should be appropriately allocated based on community needs. In order to effectively allocate the budget to interventions (Steps of Implementation and Implementation by Year) under prioritized *Specific Objectives*, those interventions should have a certain level of feasibility and sustainability. To secure feasibility and sustainability, WFs should technically scrutinize and improve those interventions or the LGA may refer to sector plans such as School Plan and Village Agricultural Development Plan.

On the other hand, community efforts should also be made to acquire external funds available for communities. As proposed above, DFs and WFs should first sufficiently share the information regarding external funding available for community through Village Council or *Mtaa* leaders. Communities then should actively challenge to expand opportunities to create a linkage with external funding. To promote community challenges, WFs and DFs should assist communities from technical point of view to work out a proposal to acquire funds.

(2-2) Harmonizing other initiatives with O&OD

To promote policy environment to optimize effectiveness of the O&OD planning process, it is important to harmonize other initiatives with the O&OD. Harmonization in this case is to strengthen linkages with each other, making use of strengths in each initiative. As discussed earlier in Chapter 2, the other initiatives at community level beside the O&OD planning process are categorized into i) sector focused initiative and ii) project focused initiative. 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 team observed that the two types of the initiatives could be in harmony with the O&OD planning process when they are to supplement technical aspect and to promote implementation of the O&OD. Taking into account the harmonizing roles of the two types of initiatives at community level, following aspects should be strengthened.

First, priorities in communities set in the O&OD planning process should be followed by the other initiatives as much as possible since Community Plan is only the plan elaborating community needs in a comprehensive manner through the intensive participatory planning process applied nationwide. However, there might be an infeasible *Specific Objectives, Steps of Implementation, and Implementation by Year (what village can do and what village can not do)* included in Three-Year Plan. In this case, those infeasible parts could be revised in consultation with the community i.e. a village assembly in case of rural LGAs.

Second, communities should be encouraged to propose projects based on priorities in their Community Plans. In order for the communities to be able to make a sound proposal, three aspects should be concerned. First, communities should have sufficient information on what funds are available in what area of concern. Second, communities may need to have a core function such as a project committee or association to prepare a proposal and oversee implementation of activities. Third, communities should be able to have sufficient technical and physical assistances to prepare a proposal and oversee implementation. To promote those aspects, extensive supports of WFs and DFs are needed.

Third, it is among others vital to have common recognition and understandings among stakeholders of how to optimize the O&OD planning process in harmony with other initiatives. Stakeholder workshop should be held not only at the national level but also at the LGA level in order to sufficiently share information on what initiatives are going on at community level and how those initiatives could be in harmony with the O&OD planning process.

## CHAPTER 6

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

#### 6.1 Introduction

The main objective of the Study on Improvements on Opportunities and Obstacles to Development (O&OD) Planning Process is to produce comprehensive proposals for improvement of O&OD planning process. In August-September 2006, while supporting the O&OD Roll-out in Muheza District Council (DC), Moshi Municipal Council (MC), and Monduli DC a field study was conducted in order to understand the current practice of O&OD Roll-out including the process of facilitator training and Community Planning Process (CPP) using the existing O&OD planning methodology.

The field study identified several issues which negatively affect the process and outcomes of the O&OD process. Some issues are structural and cannot be easily altered or removed as they are embedded in administrative structures, political set-up, or cultural background, which are external to the O&OD planning process. However, many of the issues are found functional and can be overcome through improvements of O&OD planning methodology itself and increasing effectiveness in training and planning process.

By analyzing these issues, the Study Team came up with several concrete measures of improvement under strategic and specific goals as shown in Table 6.1.

**Table 6.1 Tentative Proposals for Improvement of O&OD Roll-out Process**

Pillars of Strategic Areas	Strategic Goals	Specific Goals	Concrete Measures
Improving O&OD Roll-out Process	1.1 Assuring Quality of Facilitation	1.1.1 Optimizing arrangement of District Facilitators (DFs)	<ul style="list-style-type: none"> <li>• Optimize combination of DFs by gender, sector and capacity.</li> </ul>
		1.1.2 Optimizing arrangement of Ward Facilitators (WFs)	<ul style="list-style-type: none"> <li>• Appoint WFs from wider sectors.</li> </ul>
		1.1.3 Selecting appropriate Community Resource Persons (CRPs)	<ul style="list-style-type: none"> <li>• Select appropriate CRPs who can continue to facilitate the community in Review and Backstop (R&amp;B)</li> </ul>
	1.2 Improving Roll-out Methodology	1.2.1 Front-loading preparation stage	<ul style="list-style-type: none"> <li>• Start pre-sensitization before roll-out</li> </ul>
		1.2.2 Increasing effectiveness of Orientation of National Facilitators (NFs)	<ul style="list-style-type: none"> <li>• Emphasise importance of R&amp;B</li> </ul>
		1.2.3 Increasing effectiveness of Awareness Raising Workshop	<ul style="list-style-type: none"> <li>• Clarify role of Councilors</li> <li>• Emphasis importance of R&amp;B</li> </ul>
		1.2.3 Increasing effectiveness of District/Ward Facilitator Training (DFT/WFT)	<ul style="list-style-type: none"> <li>• Utilize pre-visit more efficiently</li> <li>• Emphasise importance of R&amp;B</li> <li>• Include the topic of Planning and Budgeting in WFT</li> </ul>
		1.2.5 Increasing effectiveness of Community Planning Process	<ul style="list-style-type: none"> <li>• Select Relevant Objectives from Tanzania Development Vision (TDV) 2025 by Community</li> <li>• Prioritize all Specific Objectives</li> <li>• Include only top 10-20 Specific Objectives in the Plan</li> <li>• Share and discuss the Plan among community before approval</li> </ul>

Pillars of Strategic Areas	Strategic Goals	Specific Goals	Concrete Measures
Establishing R&B Mechanism	This area is covered in the R&B Testing		
Promoting Enabling Environment for Effective O&OD Roll-out and R&B	3.1 Promoting social Preparation	3.1 Improving governance	<ul style="list-style-type: none"> <li>Build capacity on Village Executive Officers (VEOs)</li> <li>Increase transparency and accountability</li> <li>Increase vertical and horizontal networking</li> </ul>

## 6.2 Objective and Methodology

The Study Team further reviewed and discussed the above tentative proposals and prepared 18 testing measures (see table 6.3) which are feasible and likely to improve the roll-out process and its outcomes. The improved roll-out process was tested during the roll-out in 3 LGAs in April-June 2007.

The following sections summarize the objective and method of the testing, the testing measures, roll-out process and summary of testing, evaluation of testing activities, and implications for refinement of tentative proposals for improvement of O&OD Roll-out process.

### 6.2.1 Objectives of Testing

The testing was carried out in order to verify the tentative proposals prepared at an earlier stage of the Study. The findings gathered through this testing were used to produce more refined proposals for the improvement of O&OD process. The results of the testing also became the basis for the revision of O&OD Training Manual and Handbooks.

### 6.2.2 Method of Testing

The testing was carried out during the O&OD Roll-out in Pangani DC, Tanga City Council (CC) and Karatu DC in April-June 2007 through applying the improved O&OD Roll-out Process which included 18 new measures. The details of these measures are discussed in the following section.

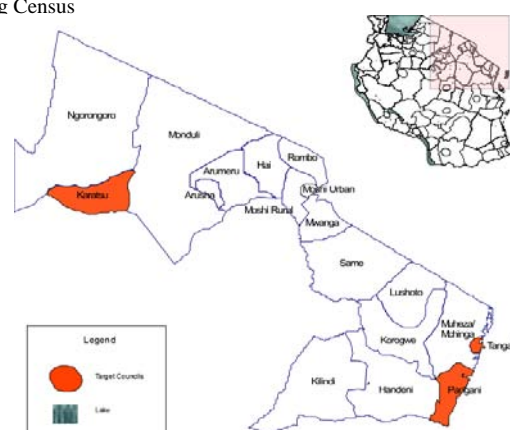
Table 6.2 shows the number of wards and villages and the population from 2002 census in Pangani DC, Tanga CC and Karatu DC.

Pangani DC and Karatu DC have 33 and 45 villages, respectively. In Tanga, the situation is a little complicated. Out of 24 wards 14 are urban wards, which are composed of *Mitaa*, 8 are rural wards, which are composed of villages, and the remaining 2 are peri-urban wards, which are composed of both *Mitaa* and villages. This transit situation was handled as follows: 14 urban wards prepared their Ward Plans using urban process; 21 villages under the 8 rural wards

**Table 6.2 Number of Ward and Village**

LGA	No. of Wards	No. of Villages	Population*
Pangani DC	13	33	43,920
Tanga CC	24	23	242,640
Karatu DC	13	45	177,951

\* 2002 Population and Housing Census



**Figure 6.1 Target Councils**

prepared Village Plans using rural process; and the 2 peri-urban wards, which contain several *Mitaa* and one village in each ward, prepared Ward Plans and simultaneously these 2 villages within the peri-urban wards prepared their Village Plans<sup>1</sup>. Therefore, in Tanga, altogether 16 Ward Plans and 23 Village Plans were prepared.

As the number of villages in Karatu was too large to include as practical part of DFT and WFT, the CPP had to be repeated after WFT, while CPP in Pangani and Tanga was carried out as practical part of DFT and WFT.

These 3 LGAs were selected so that they provide information on applicability of the improved roll-out process in both rural and urban settings (Pangani DC and Karatu DC in rural setting and Tanga CC in urban setting). As Pangani is located in the coastal area the main livelihood of inhabitants is farming and fishing while a good number of inhabitants in Karatu are engaged in livestock keeping as well as farming. Therefore, the inclusion of Pangani and Karatu, which have quite different rural setting is hoped to bring added insights to the testing.

Two groups of Study Team members monitored the roll-out process starting from the National Facilitator (NF) Orientation, Awareness Raising Workshop (ARW), District Facilitator Training (DFT) including Pre-visit and CPP as the practical part of DFT, and the theoretical part of Ward Facilitator Training (WFT). One group mainly monitored the process in Karatu DC while the second group mainly covered the roll-out in Pangani DC and Tanga CC. Through observation each testing measure was evaluated from the view point of relevance, effectiveness and sustainability. During or after each stage some participants were interviewed, sometimes individually and other times as a group, on these new measures in order to gather opinions of those who were involved in the process. Evaluation of the Preparation stage was carried out based on the information gathered through interviews and examination of documents.

### 6.3 Testing Measures for O&OD Roll-out

The improved O&OD roll-out process included 18 new measures. Most of these measures derive from the tentative proposals shown in Table 6.1 while some new measures were also included, e.g. 2 day social preparation at the beginning of CPP; and consolidation of Community Plans at the ward using sector-wise simple formats. These new measures were added through discussions among study team members and experience of R&B Testing in Bagamoyo DC. On the other hand, optimizing arrangement of DFs, one of specific goals in the tentative proposals, was not included for this testing as it was found that most effective combination of DFs and WFs have always been tried within the appointed DFs.

Table 6.3 summarizes the 18 testing measures with concrete steps at different stages of roll-out. The roll-out process is divided into the following 7 stages: Preparation (Prep); National Facilitator Orientation (NF/O); Awareness Raising Workshop (ARW); District Facilitator Training (DFT); Ward Facilitator Training (WFT); Pre-visit; and CPP.

<sup>1</sup> O&OD has slightly different process for rural setting and urban setting. More details are shown in 3.6 *Pre-visit and Community Planning Process*.



**Table 6.3 Testing Measures for Improvement of O&OD Roll-out Process**

Testing Measures	Steps	Stage
<b>1. Improving O&amp;OD Roll-out Process</b>		
<b>1.1 Assuring Quality of Facilitation</b>		
1.1.2 Optimizing arrangement of Ward Facilitators (WFs)		
(1) Increased number of WFs	a. PMO-RALG instructs LGAs to assign 5 WFs in each Ward: Extension Officers in the sector of Health, Education, Agriculture, and Community Development, and WEO. b. LGA assigns 5 WFs in each ward c. WFs are trained during the WFT d. WFs facilitate the CPP	Prep WFT CPP
1.1.3 Selecting appropriate Community Resource Persons (CRPs)		
(2) Selecting appropriate CRPs	a. PMO-RALG explains NFs the role of CRPs who are also expected to play as community facilitators even in the stage of R&B and explain the importance of selecting appropriate CRPs b. NFs explain the same to DFs in the DFT c. DFs explain the same to WFs in WFT d. DF/WFs explain the role of CRPs to the VC/WDC and facilitate the selection of appropriate CRPs.	NF/O DFT WFT CPP
<b>1.2 Improving Roll-out Methodology</b>		
1.2.1 Front-loading Preparation Stage		
(3) Starting Sensitization prior to the Roll-out	a. LGA informs VC/WDC the purpose of O&OD prior to the roll-out. b. VC/WDC informs community members the purpose of O&OD prior to the CPP	Prep Prep
1.2.2 Increasing effectiveness of National Facilitator (NF) Orientation		
(4) Exposing NFs with new concepts	a. PMO-RALG explains NFs importance of R&B in the roll-out process, utilizing a draft R&B Guidelines b. PMO-RALG explains importance of social preparation before and during the CPP	NF/O NF/O
1.2.3 Increasing effectiveness of Awareness Raising Workshop (ARW)		
(5) Emphasis on R&B during the ARW	a. PMO-RALG facilitates NFs to discuss the needs of R&B during the ARW b. NFs facilitate HoDs/Councilors on the importance of R&B during the ARW	NF/O AWR
(6) Emphasis on Councilors' Role during the ARW	a. PMO-RALG facilitate NFs how to sensitize Councilor effectively during ARW b. NFs emphasize the importance of Councilors' role in sensitizing their Ward Officers, WDC members, and community after ARW	NF/O AWR
(7) Improved Organization of ARW	a. 2 day ARW should be held instead of 1 day b. Include brain storming and group work	ARW ARW
1.2.4 Increasing effectiveness of DFT/WFT		
(8) Emphasis on R&B in DFT/WFT	a. PMO-RALG facilitates NFs to emphasize importance of R&B, utilizing Draft R&B Guidelines b. NFs facilitate DFs to do the same in DFT c. DFs facilitate WFs to do the same in WFT d. DF/WFs emphasize importance of R&B in the roll-out process during the CPP	NF/O DFT WFT CPP
(9) Topic of Planning and Budgeting in WFT	a. PMO-RALG facilitates NFs to include aspects of Planning and Budgeting in WFT b. NFs/DFs includes the aspects of Planning and Budgeting in WFT as in DFT.	NF/O WFT
(10) Extended DFT for 8 days	DFT should be held for 8 days instead of 6 days	DFT
(11) Extended WFT for 7 days	WFT should be held for 7 days instead of 5 days	WFT
(12) Effective use of Pre-visit	a. PMO-RALG facilitates NFs to use the opportunity of pre-visit effectively to sensitize the VC/WDC members on O&OD. b. NFs facilitate DFs to do the same in DFT c. DFs facilitate WFs to do the same in WFT d. DF/WFs use the opportunity of pre-visit effectively to sensitize VC/WDC members on O&OD. e. VC members sensitize community members on O&OD and the importance of attending the village assembly	NF/O DFT WFT Pre-visit After Pre-visit
1.2.5 Increasing effectiveness of CPP		
(13) Including Social Preparation in CPP	a. PMO-RALG explains to NFs how to utilize the 2 day preparation with the VC/WDC effectively	NF/O

Testing Measures	Steps	Stage
	<ul style="list-style-type: none"> <li>b. NFs explain the same to DFs in DFT</li> <li>c. DFs explain the same to WFs in WFT</li> <li>d. DF/WFs facilitate VC/WDC to prepare for the CPP and sensitize the community members</li> </ul>	DFT WFT CPP
(14) Selection of Relevant Objectives from TDV 2025 by the Community	<ul style="list-style-type: none"> <li>a. PMO-RALG facilitates NFs that community does not have to follow all objectives included in TDV 2025 but select only the objectives which are relevant to the community</li> <li>b. NFs facilitate DFs the same in DFT</li> <li>c. DFs facilitate WFs the same in WFT</li> <li>d. DF/WFs facilitate VC to select relevant objectives from TDV 2025 during the pre- visit and approve them at the village assembly</li> </ul>	NF/O  DFT WFT CPP
(15) Prioritization of all Specific Objectives	<ul style="list-style-type: none"> <li>a. PMO-RALG facilitates NFs that community has to prioritize specific objectives across all the objectives of TDV 2025</li> <li>b. NFs facilitate DFs the same in DFT</li> <li>c. DFs facilitate WFs the same in WFT</li> <li>d. DF/WFs facilitate VC/WDC to prioritize specific objectives across all the objectives of TDV 2025.</li> </ul>	NF/O  DFT WFT CPP
(16) Including Specific Objectives of High Priority in the Three-Year Plan	<ul style="list-style-type: none"> <li>a. PMO-RALG facilitates NFs that VC/WDC has to include specific objectives of high priority in Three-Year Plan and the number of specific objectives included should reflect the number of Objectives selected by the community and should not exceed 10.</li> <li>b. NFs facilitate DFs the same in DFT</li> <li>c. DFs facilitate WFs the same in WFT</li> <li>d. DF/WFs facilitate VC/WDC that they have to include specific objectives of high priority and the number of specific objectives included should reflect the number of objectives selected and should not exceed 10.</li> </ul>	NF/O  DFT WFT CPP
(17) Extended CPP for 12 days	CPP consists of 2 day social preparation, 9 day CPP and 1 day consolidation of Community Plans at the ward	CPP
<b>2. Establish R&amp;B Mechanism</b>		
<b>2.2 Incorporating Community Needs into LGA Plan</b>		
2.2.2 Strengthening capacity of Ward to compile Community Plans		
(18) Consolidation of Community Plans at Ward using Simple Format	<ul style="list-style-type: none"> <li>a. PMO-RALG explains NFs the use of Simple Format at the 12<sup>th</sup> day of CPP<sup>2</sup></li> <li>b. NFs explain DFs the same in DFT</li> <li>c. DFs explain WFs the same in WFT</li> <li>d. DF/WFs facilitate WDC to consolidate the Community Plans using Simple Format</li> </ul>	NF/O  DFT WFT CPP
<b>3. Promoting Enabling environment for Effective O&amp;OD Roll-out and R&amp;B</b>		
<b>3.1 Promoting Social Preparation</b>		
3.1.1 Improving governance		
(12) Effective use of Pre-visit	<ul style="list-style-type: none"> <li>a. VC members sensitize community members on O&amp;OD and the importance of attending the village Assembly</li> <li>b. VC ensure that the Revenue and Expenditure Reports are displayed prior to Extraordinary Assembly to Launch the Process</li> </ul>	Pre-visit After Pre-visit
(13) Including Social Preparation in CPP	<ul style="list-style-type: none"> <li>a. DF/WFs Facilitate the Communities to carry out social preparation. If there are social/cultural groups, the DF/WFs should facilitate these to sensitize the communities accordingly</li> <li>b. DF/WFs facilitate VC/WDC to prepare for the CPP and sensitize the community members</li> </ul>	CPP

<sup>2</sup> By mistake WFT was planned as 6 days of theoretical session and 12 days of practical session (Community Planning Process) without including the day for pre-visit. Understanding the importance of Pre-visit PMO-RALG and the Study Team agreed that the theoretical part will be extended to 7 days including one day for Pre-visit and the CPP will be reduced to 11 days including one day, instead of 2 days, of social preparation before the assembly for launching.

## 6.4 Summary of Roll-out Process with Testing Measures

This chapter provides a summary of improved roll-out process, with the 18 testing measures described in the previous section. Table 6.4 compares the testing measures against their corresponding conventional process.

**Table 6.4 Testing Measures: Improves vs. conventional O&OD Process**

	Testing Measures		Conventional Measures
(1)	Increased number of WFs	5 WFs are selected from each ward. WECs are not excluded.	Normally 3 WFs (WEO and 2 ward extension officers) are selected from each ward. WECs are normally excluded.
(2)	Selecting appropriate CRPs	CRPs' role in R&B stage is emphasized.	CRPs' role in R&B stage is not mentioned.
(3)	Starting Sensitization prior to the Roll-out	Sensitization of communities is encouraged prior to the roll-out.	Sensitization starts with ARW.
(4)	Exposing NFs with new concepts	New topics, i.e. R&B and social preparation, are explained to NFs during the NF Orientation.	If there are new topics or changes, NFs are given instructions during the NF Orientation.
(5)	Emphasis on R&B during the ARW	Importance of R&B is emphasized during the ARW.	R&B is not mentioned during the ARW.
(6)	Emphasis on Councilors' Role during the ARW	Councilors' role in sensitizing the community is emphasized during the ARW.	During the ARW, Councilors are sensitized on O&OD planning process but their role in the planning process is discussed.
(7)	Improved Organization of ARW	ARW is held for 2 days with brain storming and group work.	ARW is held for a day mainly with presentation by NFs.
(8)	Emphasis on R&B in DFT/WFT	R&B is emphasized as an integral part of O&OD.	R&B is not included in the process.
(9)	Topic of Planning and Budgeting in WFT	Topic of Planning and Budgeting is included in WFT.	Topic of Planning and Budgeting is not included in WFT.
(10)	Extended DFT for 8 days	Theoretical part of DFT is held for 8 days including pre-visit.	Theoretical part of DFT is held for 6 days without pre-visit properly budgeted.
(11)	Extended WFT for 7 days	Theoretical part of WFT is held for 7 days including pre-visit.	Theoretical part of WFT is held for 5 days without pre-visit properly budgeted.
(12)	Effective use of Pre-visit	Pre-visit is effectively used as social preparation as well as practical arrangement.	Pre-visit is used as practical arrangement.
(13)	Including Social Preparation in CPP	2 days of social preparation is included at the beginning of CPP.	No time is allocated for social preparation at the beginning of CPP.
(14)	Selection of Relevant Objectives from TDV 2025 by the Community	Community selects objectives relevant to the community from TDV 2025.	Community will go through all the 13 objectives of TDV 2025 Target 1 and 2.
(15)	Prioritization of all Specific Objectives	All the specific objectives are prioritized under one category to show clear priority of specific objectives.	Specific objectives are prioritized under each objective, which does not show priority order of specific objectives under different objectives.
(16)	Including Specific Objectives of High Priority in the Three-Year Plan	Top ten specific objectives are included in the Three-Year Plan.	The specific objective of the first priority under each objective is included in the Three-Year Plan. Altogether 13 specific objectives are included.
(17)	Extended CPP for 12 days	CPP is held for 12 days including 2 day social preparation at the beginning and 1 day consolidation of Community Plans at the ward level.	CPP is held for 9 days.
(18)	Consolidation of Community Plans at the ward using Simple Format	Community Plans are consolidated by sector at the ward using Simple Format.	Community Plans are sent to the District Council without consolidation at the ward level.

The following sections summarize the roll-out process in the 3 LGAs, while underscoring the respective testing measures at each stage. The stages are: (1) Preparation; (2) Orientation of National Facilitators; (3) Awareness Raising Workshop (ARW); (4) District Facilitator Training (DFT); (5) Ward Facilitator Training (WFT); and (6) Pre-visit and Community Planning Process (CPP). These are summarized in the following sections 6.4.1 to 6.4.6.

### 6.4.1 Preparation

The O&OD Study Team together with a PMO-RALG counterpart visited the three LGAs to make necessary arrangements with the respective Council Directors about 3 weeks before the roll-out. This visit was followed by an official letter sent from PMO-RALG. The funds from JICA were transferred to the respective LGA bank accounts on April 9. The LGAs then sent letters to the Councilors, Head of Departments (HoDs), Regional Secretariat, and NGO/CBO/FBO to invite them to the ARW. Also, letters were sent to all the Ward Executive Officers (WEOs) to inform them about the O&OD roll-out and request to select 5 WFs. Table 6.5 summarizes the preparation stage for O&OD roll-out in the 3 LGAs.

**Table 6.5 Preparation of O&OD Roll-out**

Steps for the Preparation of Roll-out	Pangani DC	Tanga CC	Karatu DC
PMO-RALG & O&OD Study Team visited LGA and concluded the roll-out contract	April 2-3	April 2-3	April 5
PMO-RALG sent letters to LGA	April 13	April 13	April 13
Funds arrived at the LGA bank account	April 12	April 10	April 10
LGA sent letters to Councilors/HoDs	April 16	April 19	April 14
LGA appointed the DFs and notified on the DFT	April 16	April 19	April 20
LGA sent letters to WEO	April 16	April 2	April 23
WEO selected WFs	April 16-22	April 2-13	April 24
LGA sent letters to Communities <sup>3</sup> on Pre-visit	April 24	April 23	April 24-28 <sup>4</sup>
Councilors contacted VC/WDCs	April 25	April 25-28	April 27
Councilors pre-sensitized the communities	?	April 25-28	?
VC/WDC sensitized community members	After Pre-visit	After Pre-visit	After Pre-visit

The testing measures at the preparation stage were:

- *Starting Sensitization prior to the Roll-out, and*
- *Increased number of DFs*

These measures are summarized below:

#### Starting Sensitization prior to the Roll-out

The LGA informed the Councilors, Head of Departments (HoDs) and WEOs about O&OD roll-out soon after receiving a letter from PMO-RALG. Councilors and HoDs were invited for the ARW where the formal sensitization of O&OD was done. The WEOs were informed to select Ward Facilitators (WFs), and some of them were invited for DFT (particularly those from the ward selected for practical part of DFT in Karatu DC).

#### Increased number of WFs

The letter from PMO-RALG requested the LGA to appoint 5 WFs from among the Ward Extension Officers in the field of education, health, agriculture, and community development, in addition to the Ward Executive Officer (WEO). In case of Pangani DC, 62 WFs were appointed including some officers from the District Council who were not able to attend the DFT and NGO representatives. In Tanga CC, as many wards could not appoint enough extension officers, they included quite a number of MEOs and VEOs to come up with 5 WFs in each ward. In Karatu DC, due to a shortage of ward extension officers only about 3 WFs per ward were included. The number of WFs by sector is shown in Table 6.6.

<sup>3</sup> The letter was sent to the communities where CPP was planned as the practical part of DFT starting with the pre-visit on April 29.

<sup>4</sup> According to LGA officials, the letters were sent on (or by) April 24, but monitoring team found during pre-visit that the villagers received the letters on April 27 and 28. The letters were actually dated April 23, which could be the reason why the officials are reporting to have sent the information to the villages on April 24.

**Table 6.6** Number of WFs by Sector

LGA	No of Wards	WEO	VEO/MEO	Com. Dev.	Agri.	Edu.	Health	Other sector	Others*	Total	Ave.
Pangani DC	13	12	2	1	14	12	11	6	4	62	4.8
Tanga CC	24	24	29	15	14	14	17	2	5	120	5.0
Karatu DC	13	11	3	2	12	13	-	2	-	43	3.3

\* Others are mainly teachers and NGO representatives.

#### 6.4.2 Orientation of National Facilitators

Orientation of National Facilitators (NFs) was held on April 20 and 21, 2007 in the premises of Tanga City Council. It brought together 15 National Facilitators. The majority of NFs were officers from different LGAs, and a few are from NGOs, and academic institutions. Two officers from PMO-RALG led the session.

PMO-RALG outlined the main areas of focus during the orientation to be:

- Addressing the Gaps in the O&OD process, particularly to include the aspect of social preparation
- Incorporation of Review and Backstop (R&B) as an integral part in the planning process
- Recommendations on the possible areas of improvement

The NFs were informed about the changes in the O&OD planning process. Table 6.7 gives a summary of topics covered during the 2 days of NF orientation. NF orientation was organized into presentations, brainstorming sessions and group works. NFs were given O&OD Training Manual, O&OD Handbook on Rural/Urban Setting, TDV 2025 Booklet, a copy of popular version of MKUKUTA, and the draft document on R&B mechanism.



NFs following attentively during orientation to understand the new aspects in the O&OD process



PMO-RALG official emphasizing a point during NF orientation in Tanga City Council.

**Table 6.7** Topics of NF Orientation

Topics
April 20 (Friday)
<ul style="list-style-type: none"> <li>• Introduction</li> <li>• Improvements to O&amp;OD Planning Process</li> <li>• Review Process of Community Development Plans</li> <li>• Compilation of Community Development Plans using a simple format</li> <li>• Backstop</li> <li>• Plan and Budget</li> </ul>
April 21 (Saturday)
<ul style="list-style-type: none"> <li>• Recap of improved O&amp;OD Planning Process</li> <li>• MKUKUTA</li> <li>• Plan Matrix</li> <li>• Logistics and practical arrangement</li> </ul>

During NF orientation, the following new concepts and improvements/changes in the O&OD process were informed:

- *Emphasis on R&B during ARW and in DFT/WFT*
- *Improved organization of ARW and effective sensitization of Councilors*
- *Emphasis on selection CRPs (selection criteria and roles)*
- *Including the topic of Planning and Budget in WFT*
- *Effective use of Pre-visit*
- *Including Social Preparation at the beginning of CPP*
- *Selection of Relevant Objectives from TDV 2025 by the Community*

- *Prioritization to be done across all specific objectives*
- *Inclusion of highly prioritized Specific Objectives in Three-Year Plan*
- *Sector-wise compilation of Community Plans at the ward using simple format*

*Emphasis on Review and Backstop during ARW and in DFT/WFT*

R&B is an important component in the formulation and implementation of the community plans. The key points of emphasis were: the meaning of review, the objective/purpose for reviewing, necessary steps for review, and the necessary support by LGA to the community in the process (Backstop). PMO-RALG urged the NFs to place strong emphasis on R&B during Awareness Raising Workshop (ARW) and DFT/WFT. The facilitators were told that it is crucial to emphasize on R&B during ARW since this is the only forum at the beginning of roll-out process during which the DPLOs and Heads of Departments could be informed about the process.

*Effective Sensitization of Councilors during ARW and Improved Organization of ARW*

The effective sensitization during the ARW is necessary to ensure clear understanding by Councilors. The NFs were informed about the improvements in the organization of the ARW including: use of 2 days instead of 1 for ARW, the reduction of lengthy topics/presentations, and introduction of group works and more discussions to make participation more effective and enhance understanding by the Councilors and other ARW participants.

*Selecting Appropriate CRPs*

CRPs are not only important during the CPP in the role-out but more so in the stage of R&B. It was then explained that CRPs should be selected from those who are committed to development of the community and who are respected by the community, and in addition they should be able to read and write so that they can facilitate the planning process.

*Aspects of Planning and Budgeting in WFT*

The aspects of Planning and Budgeting should be included in the WFT since this topic was previously included only in the DFT.

*Effective use of Pre-visit*

Making effective use of Pre-visit is a necessary aspect of social preparation. The NFs were informed that the Pre-visit will be done during the fourth day of DFT and WFT. PMO-RALG urged the NFs to utilize the Pre-visit as an avenue for dialogue with the community authorities and influential persons to ensure clear understanding about participatory planning. PMO-RALG also insisted that the facilitators should use the pre-visit to explore the possible ways for sensitizing the community as part of social preparation prior to the O&OD roll-out.

*Including Social Preparation at the beginning of the CPP*

Two days would be added at the beginning of CPP for community sensitization (social preparation). PMO-RALG urged the NFs to ensure effective facilitation of the youth and cultural groups, which would then sensitize the community on O&OD.

*Selection of Relevant Objectives from TDV 2025 by the Community*

The communities should select from TDV 2025 the objectives that are relevant to them, depending on their specific needs and aspirations. This arrangement replaces the previous one, where the communities were facilitated to prepare their plans based on all 13 objectives under the target 1 and 2 of TDV 2025. NFs were urged to ensure that this new aspect is emphasized in DFT and WFT.

Prioritization of All Specific Objectives

During CPP, all specific objectives should be included for prioritization, contrary to the previous practice where prioritization was done involving specific objectives from one objective in the TDV 2025.

Including Specific Objectives of High Priority in the Three-Year Plan

During the preparation of Three-Year Plan, the Village Council (rural process) or WDC (urban process) should include *Specific Objectives* of high priority only.

Consolidation of Community Plans at ward-level using Simple Format

The Community Plans will be consolidated at the ward by using a sector-wise simple format on the last day of CPP. An example of the simple format for agriculture sector was given to the NFs though little time was spent on how to use the format.

### 6.4.3 Awareness Raising Workshop

Awareness Raising Workshop (ARW) was held for 2 days on April 24 and 25 in each LGA. The topics covered during ARW are summarized in Table 6.8. As the workshop was held for 2 days, and it was organized into brain storming sessions, group discussions, and role-play in addition to NFs’ presentations on certain issues. This organization made the ARW more participatory and realistic. Also, during the ARW, the NFs emphasized the importance of Councilors in sensitizing communities and discussed various methods of reaching communities.

In Pangani DC, the ARW was held in the conference room of the District Council. The ARW was officially opened by the Tanga Regional Commissioner (RC). The attendance was high on both days, consisting of 13 HoDs and other LGA Officers, 19 Councilors, 3 NGO/CBO/FBO representatives as well as the District Commissioner (DC) and District Administrative Secretary (DAS) who attended fully for the 2-day workshop. The Pangani DED could not participate in the ARW, but this gap was not felt due to active role played by Pangani DC during the Workshop.

In Tanga CC, the ARW was held at the conference room of the City Council. The DC chaired the 2-day workshop which was attended by most of HoDs and Councilors. In Karatu DC, the ARW was held at DOFA Annex Hall, and was officially opened by Arusha RC, bringing together 17 Councilors, 12 Heads of Departments, 7 representatives from NGOs/FBOs, and 5 participants from other institutions/organizations. The Arusha RC Chaired the ARW in Karatu from the beginning to the

**Table 6.8 Topics of ARW**

Topics of ARW
<b>April 24 (Tue)</b>
- Opening
- Historical background of Planning Process in Tanzania
- Participatory Planning Methodology used by DPs (+group discussion)
- Reforms (+ group discussion)
<b>April 25 (Wed)</b>
- Recap from the first day
- TDV 2025 (+ group discussion)
- O&OD Planning Methodology (+role-play)
- Review and Backstop
- Overview of Planning Process



Councilors and HoDs listening to a presentation during ARW in Pangani



Reorganization of ARW: Councilors and HoDs in group work during ARW in Pangani



Reorganization of ARW: Councilors and HoDs in group work during ARW in Karatu



Arusha RC (left) and Karatu DC (right) listening carefully to the discussions during ARW in Karatu

end for two days. The organization of ARW, which included brief presentations, group works and discussions, made the workshop very lively and enjoyable to the participants. Table 6.9 shows the number of participants at ARW in the 3 LGAs.

During ARW in all three LGAs, the NFs placed strong emphasis on R&B, taking the participants through the concept, rationale and steps of R&B. Also, the NFs stressed the importance of Councilors' role in sensitizing communities in their respective constituencies.

#### 6.4.4 District Facilitator Training

District Facilitator Training (DFT) was held in each LGA between April 26 and May 3. DFT consists of 8-day theoretical session followed by 12-day practical session of actually facilitating the community in O&OD planning process. The topics included in the theoretical session are summarized in Table 6.10. The DFT was extended by one day due to added topics of R&B, social preparation and MKUKUTA. DFT was organized into presentations by NFs, group work, and role-plays. DFT largely followed the content of O&OD Training Manual, which was produced in April 2004, and more precisely the schedule agreed during the NF Orientation as shown in Table 6.10.

**Table 6.10 Schedule of DFT (Pangani DC)**

Day 1	Day 2	Day 3	Day 4
<ul style="list-style-type: none"> <li>- Objectives of DFT</li> <li>- Planning Concept               <ul style="list-style-type: none"> <li>• Planning and Budget</li> <li>• Integrated Planning</li> <li>• Participatory Planning</li> <li>• O&amp;OD</li> <li>• M&amp;E</li> <li>• O&amp;OD Methodology</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>- TDV 2025</li> <li>- Cross-cutting Issues               <ul style="list-style-type: none"> <li>• Gender</li> <li>• HIV/AIDS</li> <li>• Good governance</li> <li>• Environment and natural resources management</li> <li>• Disaster preparedness</li> <li>• Human right</li> </ul> </li> <li>- O&amp;OD Methodology               <ul style="list-style-type: none"> <li>• Community entry protocols</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>- O&amp;OD Methodology (continued)               <ul style="list-style-type: none"> <li>• Village Assembly for launching the planning process</li> <li>• Data collection</li> <li>• Spatial Data</li> <li>• Time-related Data</li> <li>• Socio-economic Data</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>- Preparation of Planning Process</li> </ul> <p style="text-align: center;"><b>Pre-visit to Communities</b></p>
Day 5	Day 6	Day 7	Day 8
<ul style="list-style-type: none"> <li>- O&amp;OD Methodology (continued)               <ul style="list-style-type: none"> <li>• Data collection</li> <li>• Socio-economic Data</li> <li>• Focus group to discuss TDV 2025</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>- O&amp;OD Methodology (continued)               <ul style="list-style-type: none"> <li>• Focus group to discuss TDV 2025</li> <li>• Focus group to prepare Community Plan</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>- O&amp;OD Methodology (continued)               <ul style="list-style-type: none"> <li>• Focus group to prepare Draft Community Plan</li> <li>• Prioritization of specific objectives</li> <li>• Village Council to prepare Draft Three-Year Plan</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>- O&amp;OD Methodology (continued)               <ul style="list-style-type: none"> <li>• WDC to discuss Community Plan</li> <li>• Village Assembly/ WDC to discuss and approve Community Plan</li> </ul> </li> <li>- <i>MKUKUTA</i></li> <li>- <i>Review and Backstop</i></li> </ul>

The participants were DFs selected by the LGA, and the WFs from the wards where CPP is planned as the practical part of the DFT. The DFs are supposed to be selected among LGA Officers and Division Secretaries in the LGA. However, due to a shortage of or heavy work-pressure on LGA Officers, a few ward extension officers were selected as DFs. Table 6.11 shows the number of participants in the DFT in the 3 LGAs.



**Table 6.11 Number of Participants in DFT**

LGA	No. of wards/ Villages to roll-out during the DFT	No. of DFs			No. of WFs attending the DFT	No. of Total Participants
		LGA Officers	Division Secretaries	Ward Officers		
Pangani DC	2/5	17	4	4	8	33
Tanga CC	5/0	20	3	2	25	50
Karatu DC	1/5	22	3	0	5	30

During the DFT the DFs were introduced to the topic of Review and Backstop (R&B) as an integral part of planning process, using the draft document on R&B mechanism. The other issues from the testing measures that were emphasized at DFT stage are:

- CRPs - especially focusing on selection criteria and their roles (though the emphasis on this aspect varied across the 3 LGAs);
- Effective use of Pre-visit as part of social preparation
- 2 days social preparation at the community
- Selection from TDV 2025 Objectives relevant to the community
- Prioritization across all specific objectives
- Including the *Specific Objectives* of high priority in the Three-Year Plan
- Sector-wise compilation of Community Plans at the ward level using Simple Format.



District Facilitators Training in Pangani DC



District Facilitators Training in Karatu DC

The NFs placed strong emphasis on these aspects, and where possible, they used various facilitation techniques to ensure that the DFs understand the concepts clearly – including use of illustrations, particularly on simple format and prioritization aspect.

#### 6.4.5 Ward Facilitator Training

Ward Facilitator Training (WFT) was conducted between May 16 and May 22. The structure of the training is the same as DFT composed of theoretical and practical parts but shorter in duration. WFT was extended from 5 days to 7 days including 1 day for pre-visit and an additional day for new topics as shown in Table 6.12.

**Table 6.12 Schedule of WFT**

Day 1	Day 2	Day 3	Day 4
<ul style="list-style-type: none"> <li>- Objectives of WFT</li> <li>- TDV 2025</li> <li>- Planning Concept <ul style="list-style-type: none"> <li>• Planning and Budget</li> <li>• Integrated Planning</li> <li>• Participatory Planning</li> <li>• O&amp;OD</li> <li>• M&amp;E</li> <li>• O&amp;OD Methodology</li> </ul> </li> <li>- Cross-cutting Issues (see the details in Table 6.9)</li> </ul>	<ul style="list-style-type: none"> <li>- Cross-cutting Issues (see the details in Table 6.9)</li> <li>- O&amp;OD Methodology (see the details in Table 6.9)</li> </ul>	<ul style="list-style-type: none"> <li>- O&amp;OD Methodology (see the details in Table 6.9)</li> </ul>	<ul style="list-style-type: none"> <li>- Preparation of Planning Process</li> </ul> <p style="text-align: center;"><b>Pre-visit to Communities</b></p>
Day 5	Day 6	Day 7	
<ul style="list-style-type: none"> <li>- O&amp;OD Methodology (continued)</li> </ul>	<ul style="list-style-type: none"> <li>- O&amp;OD Methodology (continued)</li> </ul>	<ul style="list-style-type: none"> <li>- Review and Backstop</li> <li>- MKUKUTA</li> <li>- Simple Formats</li> </ul>	

The testing measures at WFT stage were:

- To include the topic of planning and budget in WFT
- The topic on Review and Backstop (R&B)
- CRPs - especially focusing on selection criteria and their roles
- Effective use of Pre-visit as part of social preparation
- 2 days social preparation at the community
- Selection from TDV2025 Objectives relevant to the community
- Prioritization across all specific objectives
- Including the highly prioritized specific objectives in the Three-Year Plan
- Sector-wise compilation of Community Plans at the ward level using Simple Format

These aspects were stressed by the DFs during WFT, and the presence of NFs provided a necessary backstopping for clear elaboration of concepts whenever needed. There was little variation on the quality of delivery by the DFs, and the subsequent understanding by the WFs among the 3 LGAs. But, generally, the DFs in the 3 LGAs seemed to have grasped the concepts well, and their facilitation skills satisfactorily stirred the understanding among the WFs. The complete evaluation on the relevance, effectiveness and sustainability of the above testing measures is shown in part 6.5 of this report.

#### 6.4.6 Pre-visit and Community Planning Process

This summary of Pre-visit and Community Planning Process is based on the observation of the process during the practical part of DFT, where 5 communities in each LGA prepared the Community Plans. All the 5 wards in Tanga are urban wards.

##### *Pre-visit*

Pre-visit was made on the 4<sup>th</sup> day of DFT. Village Council (VC) members (rural process) or WDC members (urban process) elders and other influential community members, NGO and CBO representatives, religious leaders, and political party leaders in the community were invited to the meeting. Main activities of the Pre-visit were:

- To explain the objectives and advantages of O&OD planning;
- To explain the Objectives of TDV 2025;
- To facilitate discussion and selection of objectives relevant to the community;
- To explain the procedures of 12-day CPP;
- To explain the role and selection criteria of community members for the Focus Groups and CRPs;

**Table 6.13**  
**Attendance at the Pre-visit**

Attendance at the Pre-visit	
•	VC/WDC members
•	Distinguished community members
•	Religious leaders
•	Political leaders
•	Representatives from NGO/CBO/FBO

**Table 6.14** **Number of Attendance**  
**for Pre-visit Meeting during DFT**

LGA	Ward	Village	Attendance		
			VC/WDC	Others	Total
Pangani DC	Madanga	Jaira	16	16	32
		Madanga	15	18	33
		Mwembezi	15	8	23
	Kimanga	Kimanaga	16	11	27
		Boza	16	15	31
Tanga CC	Chumbageni	-	28	10	38
	Mabawa	-	17	8	22
	Central	-	17	4	21
	Majengo	-	15	3	18
	Mzingani	-	12	4	16
Karatu DC	Rhotia	Rhotia Kati	20	5	25
		Rhotia Kainam	25	7	32
		Kilimamoja	15	8	23
		Kilimatembo	11	10	21
		ChemChem	21	14	35

- To discuss and find ways to sensitize community on O&OD;
- To agree on the time and venue for the village assembly on Day 3 of the CPP.

The discussion and selection of objectives from TDV2025 were dominant topics during the Pre-visit in all communities. The method used in selecting the objectives was either through ‘unanimous agreement’ or voting. First, all the TDV2025 objectives were presented to the VC or WDC members, and then they decided which ones to include in their plan. Table 6.14 gives a summary of the attendance during pre-visit meeting.

### ***Community Planning Process***

O&OD is applied to both rural and urban settings using slightly different processes. Table 6.15 below gives a summary of the improved CPP, and shows the comparison between improved and conventional process. The improvements or changes, which comprise the testing measures at the CPP stage, are indicated in *Italic*.

**Table 6.15 Community Planning Process for Rural and Urban Communities**

Improved CPP			Conventional CPP		
	Rural Process	Urban Process		Rural Process	Urban Process
Day 1	<ul style="list-style-type: none"> <li>• Discussion on how to sensitize community</li> <li>• Sensitization of community</li> <li>• Preparation of Community Planning Process (CPP)</li> </ul>	<ul style="list-style-type: none"> <li>• Discussion on how to sensitize community</li> <li>• Sensitization of community</li> <li>• Preparation of Community Planning Process (CPP)</li> </ul>		(No social preparation)	(No social preparation)
Day 2	<ul style="list-style-type: none"> <li>• Sensitization of community</li> <li>• Preparation of CPP</li> </ul>	<ul style="list-style-type: none"> <li>• Sensitization of community</li> <li>• Preparation of CPP</li> </ul>		(No social preparation)	(No social preparation)
Day 3	<ul style="list-style-type: none"> <li>• Village Assembly to launch the Community Planning Process</li> <li>• Forming Focus Groups</li> <li>• Discussion of the objectives selected by VC</li> <li>• Data collection</li> </ul>	<ul style="list-style-type: none"> <li>• Zone/Mtaa Meeting to launch the Community Planning Process</li> <li>• Forming Focus Groups</li> <li>• Discussion of the objectives selected by WDC</li> <li>• Data collection</li> </ul>	Day 1	<ul style="list-style-type: none"> <li>• Village Assembly to launch the Community Planning Process</li> <li>• Forming Focus Groups</li> <li>• Data collection</li> </ul>	<ul style="list-style-type: none"> <li>• Zone/Mtaa Meeting to launch the Community Planning Process</li> <li>• Forming Focus Groups</li> <li>• Data collection</li> </ul>
Day 4	<ul style="list-style-type: none"> <li>• Data collection</li> </ul>	<ul style="list-style-type: none"> <li>• Data collection</li> </ul>	Day 2	<ul style="list-style-type: none"> <li>• Data collection</li> </ul>	<ul style="list-style-type: none"> <li>• Data collection</li> </ul>
Day 5	<ul style="list-style-type: none"> <li>• Focus Group discussion to prepare the Community Planning Matrices based on the selected Objectives from TDV 2025</li> </ul>	<ul style="list-style-type: none"> <li>• Focus Group discussion to prepare the Community Planning Matrices based on the selected Objectives from TDV 2025</li> </ul>	Day 3	<ul style="list-style-type: none"> <li>• Focus Group discussion to prepare the Community Planning Matrices based on 13 Objectives from TDV 2025</li> </ul>	<ul style="list-style-type: none"> <li>• Focus Group discussion to prepare the Community Planning Matrices based on 13 Objectives from TDV 2025</li> </ul>
Day 6			Day 4		
Day 7			Day 5		
Day 8	<ul style="list-style-type: none"> <li>• Compilation of Community Planning Matrices by Focus Groups</li> </ul>	<ul style="list-style-type: none"> <li>• Compilation of Community Planning Matrices by Focus Groups</li> </ul>	Day 6	<ul style="list-style-type: none"> <li>• Compilation of Community Planning Matrices by Focus Groups</li> </ul>	<ul style="list-style-type: none"> <li>• Compilation of Community Planning Matrices by Focus Groups</li> </ul>
Day 9	<ul style="list-style-type: none"> <li>• Prioritization of all specific objectives by VC</li> <li>• Preparation of Three-Year Village Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Zone/Mtaa meeting to receive comments on draft Ward Plan</li> </ul>	Day 7	<ul style="list-style-type: none"> <li>• Prioritization of specific objectives under each objective by VC</li> <li>• Preparation of Three-Year Village Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Zone/Mtaa meeting to receive comments on draft Ward Plan</li> </ul>
Day 10	<ul style="list-style-type: none"> <li>• WDC meeting to give advice on the draft Three-Year Village Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Incorporating comments from Zone/Mtaa into Ward Plan</li> </ul>	Day 8	<ul style="list-style-type: none"> <li>• WDC meeting to give advice on the draft Three-Year Village Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Incorporating comments from Zone/Mtaa into Ward Plan</li> </ul>

Improved CPP			Conventional CPP		
	Rural Process	Urban Process		Rural Process	Urban Process
Day 11	<ul style="list-style-type: none"> <li>Village Assembly to receive and approve the Three-Year Village Plan</li> </ul>	<ul style="list-style-type: none"> <li>Prioritization of all specific objectives by WDC</li> <li>Preparation of Three-Year Ward Plan</li> </ul>	Day 9	<ul style="list-style-type: none"> <li>Village Assembly to receive and approve the Three-Year Village Plan</li> </ul>	<ul style="list-style-type: none"> <li>Prioritization of specific objectives under each objective by WDC</li> <li>Preparation of Three-Year Ward Plan</li> </ul>
Day 12	<ul style="list-style-type: none"> <li>Consolidation of Village Plan at Ward using Simple Format</li> </ul>	<ul style="list-style-type: none"> <li>Disaggregating Ward Plan by sector using Simple Format</li> </ul>		(No consolidation of Village Plans)	(No disaggregation of Ward Plan)

CPP in all 3 LGAs was preceded by 2 day social preparation, which was included at the beginning of the process to prepare the VC/WDC members and to sensitize the community for the participatory planning process. On the first day, VC/WDC members discussed strategies on how to sensitize the community and to draw maximum number of attendance to the launching at the village assembly or the *Mtaa*/Zone meeting, and on the second day actual sensitization was carried out. The methods used for sensitization are listed in Table 6.16.



**Social Preparation:** Sensitization of Community members by cultural groups in Karatu, Kilimamoja village

**Table 6.16 Methods of Sensitization**

LGA	Methods of Sensitization	
Pangani DC	<ul style="list-style-type: none"> <li>Marching through hamlets with ngoma (drums) and mbiu (horns) announcing the Village Assembly</li> <li>House visit by ten-cell leaders</li> <li>Music and dance performance before the Village Assembly</li> </ul>	<ul style="list-style-type: none"> <li>Putting notice at different places</li> <li>House visit by hamlet/mtaa leaders</li> <li>Sending messages through school children</li> <li>Announcement using loud speakers</li> </ul>
Karatu DC		
Tanga CC	<ul style="list-style-type: none"> <li>TV announcement</li> <li>Sending letters to households</li> </ul>	<ul style="list-style-type: none"> <li>Announcement at mosque and churches</li> </ul>



**Social Preparation:** Sensitization of Community members by cultural groups in Pangani

Pangani DC and Karatu DC, some villages utilized cultural groups such as music and dance groups to attract crowd before the village assembly to launch the O&OD process. In Kilimamoja Village, in Karatu DC, sensitization by cultural groups played a very crucial role in sending the message to the villagers, particularly because the VC was not in good terms with the villagers, and there had been leadership instability in the village for some time. In Tanga, the City Council announced the *Mtaa*/Zone launching meeting on TV, while each *Mtaa* also tried other methods to deliver the message to the community members. During these two days, the VC/WDC members in collaboration with the facilitators continued with data collection ready for CPP. As a result of social preparation, the attendance at the village assembly or *Mtaa*/Zone meetings was, according to NFs, high compared with other roll-outs.

Table 6.17 gives a summary of attendance during the launching assembly.

**Table 6.17 Attendance of Village Assembly or Mtaa/Zone Meeting for Launching**

LGA	Village/Ward	Attendance
Pangani DC	Jaira	157
	Madanga	94
	Mwembezi	167
	Kimanaga	286
	Boza	225
Tanga CC	Chumbageni	304
	Mabawa	608
	Central	94
	Majengo	153
	Mzingani	412
Karatu DC	Rhotia Kati	132
	Rhotia Kainam	238
	Kilimamoja	157
	Kilimatambo	510
	ChemChem	133

Apart from social preparation, the other testing measures at CPP stage were:

- *Prioritization across all specific objectives*
- *Inclusion of highly prioritized specific objectives in Three-Year Plan*
- *Sector-wise compilation of Community Plans at Ward using simple format*



Prioritization across all specific objectives – Rhotia Kainam Village, in Karatu

Prioritization and Three-Year Plan

During the CPP, the VC/WDC prioritized all specific objectives using pair-wise ranking, and the new prioritization method worked well in all communities. After prioritization, the highly ranked *Specific Objectives* were included in the Three-Year Plan. The number of *Specific Objectives* included in the Three-Year plan depended on whether *Specific Objectives* required substantial external support (communities were facilitated to include not more than 10 of these). There was no limitation for inclusion of specific objectives, which the communities could implement on their own without external support.



Prioritization across all specific objectives – Kilimamoja Village in Karatu

Consolidation of Community Plans at Ward using Simple Format

In rural process, the Village Plans were consolidated at the ward level using a sector-wise simple formats as shown in the below box. The format shows the village names, activities and inputs. In urban process, the Ward Plan was re-compiled by sector using the same format.

**Box 6.1 An Example of Simple Format**

WARD: \_\_\_\_\_ DISTRICT: \_\_\_\_\_ REGION: \_\_\_\_\_

SECTOR: AGRICULTURE (505)

VILLAGE	AGRICULTURE DEVELOPMENT																		
	Activities				Inputs														
	Demonstration Farm	Irrigation Schemes	Extension Services (number of agriculture field workers)	Other Activities	Implements						Farming Tools			Working Tools					
					Fertilizers (kg)	Maize Seeds (kg)	Pesticides (Litres)	Cassava Seeds (kg)	Pinapple Seeds (kg)	Other needs	Pairs of Oxen	Plough	Hand hoes	Tractor	Motor cycle (for extension worker)	Other needs			
AA																			
BB																			
CC																			
DD																			
EE																			
TOTAL																			

## 6.5 Evaluation Results and Analysis of Testing Measures

The evaluation of testing measures is summarized in the following sections following the goals set in the tentative proposals.

### 6.5.1 Assuring Quality of Facilitation

#### (1) Optimizing arrangement of WFs

##### Increased number of WFs

- Relevance:
- Training more ward extension officers as WFs is relevant as they are the ones to support the community with the implementation of the plan. However, in terms of assuring quality of facilitation their contribution depended on the capacity and commitment of individuals and did not necessarily improve the quality of facilitation.
- Effectiveness:
- Increased number of WFs did not seem to particularly benefit the planning process and some were even under-utilized (probably due to their poor facilitation skills) and given only administrative work. However, in urban process such as in Tanga CC, the increase of WFs enabled the ward to hold more number of *Mtaa*/Zone meetings for launching and compilation.
  - Wider sector coverage of WFs was not particularly utilised in the planning process except on the part of data collection of respective sectors. WFs with different sector expertise may play a significant role in Review and Backstop, especially M&E, but not in the roll-out process in the current methodology.
  - Training VEOs and MEOs as WFs may be effective in terms of community ownership of the process and review of the plan for the years to come.
- Sustainability:
- Due to a shortage of extension officers VEOs, MEOs, teachers and other non-extension officers were included as WFs. Increasing number of WFs from extension officers is not always possible unless more extension officers were placed at the ward. Instead, including VEOs and MEOs as WFs seem more sustainable and effective.
  - Although the increase of WFs affects the cost of roll-out in terms of allowances to WFs, the increase is relatively low. For example, the roll-out in Tanga CC with 24 wards, by increasing the number of WFs from 3 to 5 per ward, the allowance for WFs for 19 days (7 days for WFT and 12 days for CPP) increases by Tsh. 570,000 (about USD 500).
  - In case of a LGA with a large number of wards such as in Tanga CC, a large number of participants (50 in case of Tanga CC) in DFT affects the quality of DFT unless the necessary arrangements are made such as increasing the number of NFs and providing appropriate venue, which in turn would increase the cost of roll-out further.

#### (2) Selecting Appropriate CRPs

##### Selecting appropriate CRPs

- Relevance:
- The role of CRPs needs to be defined clearly.
- Effectiveness:
- 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 NFs and DFs.
- Sustainability:
- In Pangani DC, the role of CRPs was not discussed sufficiently during the DFT or

WFT, though it was touched upon in the NF Orientation. This lack of emphasis was probably because there is no clear definition and explanation on CRPs in the O&OD Training Manual and Handbooks. The role of CRPs with their selection criteria should be included in the Training Manual and Handbooks, as the facilitators heavily rely on these documents.

## 6.5.2 Improving Roll-out Methodology

### (1) Front-loading Preparation Stage

#### Starting Sensitization prior to the Roll-out

- Relevance:
- Before the roll-out very few people in the LGA have sufficient knowledge and understanding of O&OD to start sensitization, thus it seems not feasible to start sensitization before roll-out. This is precisely why the Awareness Raising Workshop is planned at the beginning of the roll-out.
  - Sending O&OD pamphlets and posters before roll-out to the LGAs might contribute to pre-sensitization to some extent.
  - Publicizing government effort in introducing O&OD to all LGAs or sensitizing wider population on O&OD through mass media maybe a better way of pre-sensitization.
- Effectiveness: -
- Sustainability: -

### (2) Increasing Effectiveness of NF Orientation

#### Exposing NFs with new concepts

- Relevance:
- Exposing NFs with new concepts such as R&B and social preparation, which are integrated part of the O&OD Planning Process, is relevant as they should have the whole picture of the planning process.
- Effectiveness:
- The explanation of the R&B using the draft guidelines gave some understanding of the topic, though more elaboration as well as practical exercise would be necessary for facilitators to fully understand and internalize the process.
  - During the DFT it was observed that some NFs delivered the essence of R&B in an appropriate manner but others treated R&B as an ad-hoc or a separate issue, rather than an integral part of O&OD, which may be due to insufficient explanation of R&B during the NF Orientation.
- Sustainability:
- For NFs to fully understand the concept and procedures of R&B they should be given further training specifically on R&B, preferably together with practical experiences.
  - As the facilitators relay largely on the O&OD Manuals for facilitation of DFT/WFT and CPP, it is necessary to revise the content of the manual reflecting R&B, social preparation and other changes proposed.

## (3) Increasing Effectiveness of ARW

Emphasis on R&B during ARW

- Relevance:
- Although it was only a brief explanation, it was relevant to touch upon the topic as it gave the perspective of continuous planning process where R&B is an integral part.
  - In Pangani DC, one Head of Department (HoD) interviewed confessed that even at the LGA level the LGA Plan had not always been reviewed properly before preparing the next year's plan, and thus he found it was relevant to discuss the topic during the ARW.
- Effectiveness:
- Inclusion of the topic in the ARW was effective for the participants to realize the continuous process of planning and reviewing, especially for the HoDs.
- Sustainability:
- As long as NFs understand the concept of R&B and the topic is included in the ARW, this measure can be sustained.

Emphasis on Councilors' Role during the ARW

- Relevance:
- As a HoD interviewed in Pangani expressed, involving the Councilors right from the beginning is relevant in all development activities so that they will support the process instead of opposing it, which often happened when they were not included in the process.
  - In Pangani DC all the 3 Councilors interviewed after the ARW appreciated the opportunity of this workshop where they were recognized as community leaders and given responsibility to be fully involved in the planning process.
- Effectiveness:
- ARW was effective to sensitize the Councilors on the O&OD as very few knew about it before the ARW.
  - Councilors' commitment, however, varied in rural and urban settings. In Pangani and Karatu, some Councilors did inform the VEOs on the O&OD after ARW, but none of them were present at the Pre-visit or the village assembly. In Tanga CC, all the Councilors were present at the Pre-visit and a number of them showed strong commitment by participating in the process daily. In urban setting such as Tanga CC, the Councilors are the chairpersons of the WDC and the Community Plan is prepared at the ward level, which might be a factor of their stronger commitment.
- Sustainability:
- As long as NFs are facilitated to include this aspect during the ARW, this measure can be sustained.

Improved Organization of ARW

- Relevance:
- Improved organization of ARW was meant to enhance the quality of participation of the Councilors and HoDs during the workshop, and increase their understanding of participatory planning.
- Effectiveness:
- Instead of lengthy presentations, sessions of brief presentations, group works and discussions were used for the ARW. In all 3 LGAs the ARW was effective in facilitating lively discussions and sensitizing the participants on O&OD.
- Sustainability:
- To include group works and discussions, the ARW was conducted for 2 days instead of one. This measure is sustainable as NFs are capable in facilitating such workshops, provided the increased cost is secured by PMO-RALG.



#### (4) Increasing Effectiveness of DFT/WFT

##### Emphasis on R&B in DFT/WFT

- Relevance: • This was meant to include R&B both in DFT and WFT, as an integral part of O&OD participatory planning methodology.
- Effectiveness: • R&B was included both in the DFT and WFT, and time was added for DFT and WFT to accommodate the additional aspects of R&B.
- Even among NFs their understanding on R&B seemed to have varied considerably. Some grasped the concept well and delivered it in DFT and WFT while the others just read the draft R&B Guidelines, which was given during the NF Orientation, without much explanation of links to planning process.
- Sustainability: • Sustainability depends much on the completion and incorporation of R&B Mechanism in the O&OD Manuals.

##### Topic of Planning Concept in WFT

- Relevance: • The inclusion of the topic on Planning Concept was important to equip the WFs with the necessary concepts on planning and budgeting before they are introduced to the aspects of O&OD participatory planning methodology.
- Effectiveness: • The topic was effectively delivered by the DFs and the WFs internalized the concepts of planning and budgeting satisfactorily.
- It will be more effective to link the Planning Concept to annual review of plans.
- Sustainability: • For sustainability, it would be important to update the O&OD Manuals to accommodate the topic of Planning Concept in WFT

##### Extended DFT for 8 Days for Theory Part and Extended WFT for 7 Days for Theory Part

- Relevance: • As Pre-visit is a very important entry point to the community, it was relevant to include the day and budget it properly. Another day was added to cater for new topics included in the DFT/WFT, i.e. R&B and MKUKUTA. Extension of DFT to 8 days and WFT to 7 days was relevant given the need to accommodate these topics. However, including these topics in current form does not seem to improve efficiency of DFT/WFT.
- The content of DFT and WFT being the same (as the topic of Planning and Budgeting was included in WFT), a shorter duration for WFT seems irrational.
- Effectiveness: • 8 days of DFT and 7 days of WFT were effectively utilized.
- The new topics of MKUKUTA and R&B were presented on the last day of theory part of DFT/WFT without sufficient explanation of links to the roll-out process. Firstly, the content of each topic should be adjusted to the DFT/WFT. Secondly, the rearrangement of time table should be made. For example: MKUKUTA could be taught together with TDV 2025 to add to the National Development Frameworks; the essence of R&B may be included in Planning concept; include the aspects of social preparation in the topic on “community entry protocol”; and expand a bit on “preparation of Three-Year plan” to include the aspects of review, rather than treating them as separate topics.
- Sustainability: • O&OD Manuals need to be revised to accommodate the changes once they are approved so that facilitators know how these extra days should effectively be used.
- Extended duration of DFT/WFT affects the cost of roll-out, which may delay the progress of roll-out in the remaining LGAs.

Effective use of Pre-visit

- Relevance:
- This step was meant to raise awareness and understanding of the Community Leaders before O&OD is effectively launched. Pre-visit is relevant because it is first and very essential step for social preparation at the community level.
  - The selection of objectives from TDV 2025 was carried out during the Pre-visit in most of the communities. The discussion leading to the selection of objectives also prepared the VC/WDC members for the CPP.
- Effectiveness:
- Pre-visits were effectively carried out in all 3 LGAs during the fourth day of DFT and WFT, and participation by the Village Council/WDC members in the meetings was satisfactory.
- Sustainability:
- It is sustainable provided the const is secured by the PMO-RALG.

## (5) Increasing Effectiveness of CPP

Including Social Preparation in CPP

- Relevance:
- Social preparation at the beginning of the CPP was meant to raise awareness of the community members and improve their participation in participatory planning.
- Effectiveness:
- 2 days were used for social preparation during DFT (and one day in WFT). In some villages of Karatu and Pangani, social groups at the community level (traditional dancing groups) were used to sensitize community members.
  - The two days were also used for data collection in some villages (e.g. health and education data).
  - Social preparation was quite effective, and because of community sensitization using various ways for dissemination of information, the participation of community members at the village assembly or *Mtaa*/Zone Meeting to launch the process in all 3 LGAs was higher than those in other times according to experienced NFs.
- Sustainability:
- Social preparation will be sustainable since the methods used to raise awareness at the community level were based on the existing community structures, traditions and culture such as social/cultural groups, community elders, religious channels, etc. However, the cost of including additional days in CPP needs to be secured to continue this measure.

Selection of Relevant Objectives from TDV 2025 by the Community

- Relevance:
- In previous arrangements all the 13 objectives of target 1 and 2 of TDV 2025 were included for the planning process. Although all the objectives in TDV 2025 are important, some are more relevant than others depending on the physical and socio-economic condition of the community. Selection of objectives by the community, therefore, is relevant for preparing more focused Community Plans.
  - Under the current process, three days are allocated to prepare plan matrix in focus groups and another day for compilation by all the members of focus groups. This process was sometimes rushed due to many objectives to go though. Considering the number of people who actually participate in the process and the time available, it is probably more desirable to select 5-6 most relevant objectives and prepare the plan through quality discussion and consensus among members.
  - Among the 13 objectives, some are cross-cutting such as “gender”, “poverty reduction” and “good governance”, and other objectives such as “increase life expectancy” may be achieved by attaining other objectives such as improved food security, portable water, primary health care, etc. Therefore, it is possible to further narrow down the objectives of TDV 2025, which are included in the planning

- process.
- Rationale for selecting relevant objectives needs to be clearly explained to the VC/WDC members before the process.
- Effectiveness:
- Selection of Objectives from TDV 2025 was clearly understood by the facilitators, and they adequately clarified to the community members during the pre-visit when the selection was done.
  - In many cases, a smaller number of objectives gave the community more time to discuss and prepare the plan with participatory manner.
  - Selecting objectives also gave a forum for VC/WDC members to discuss the situation of the community, which helped them to prepare for the Community Planning Process.
- Sustainability:
- The reasons of selecting objectives and how to conduct the process should be included in the O&OD Manual and Handbooks.
  - Also, it could be accommodated in the review process since the communities would be updating their plans based on the objectives of TDV 2025 as well.

### Prioritization of all Specific Objectives

- Relevance:
- This was meant to provide for a simple and comprehensive way to rank all the specific objectives identified by the community, and give a clearer picture of community priorities.
- Effectiveness:
- This aspect was effectively taken up both during DFT and during WFT, and the facilitators understood very well how to prioritize across all specific objectives identified by the community.
  - In all 3 LGAs prioritizations was done by pair-wise ranking, which was somewhat cumbersome with a large number of specific objectives, but nevertheless it was successfully completed in all villages/wards.
- Sustainability:
- For sustainability, it would be necessary to incorporate this aspect into the O&OD Manuals.
  - Also, it could be accommodated in the review process, which will be the basis for updating of community priorities annually.

### Including Specific Objectives of High Priority in the Three-Year Plan

- Relevance:
- The relevance of including only the high priority specific objectives in the 3 Year Plan rests on the fact that community's needs are many, but resources are limited. In this case, the community should include only the top priorities in their 3 Year Plan, given the available resource envelope within and outside.
- Effectiveness:
- The facilitators understood the idea satisfactorily, and they facilitated the VC/WDC properly during the preparation of Draft 3 Year Plan.
- Sustainability:
- For sustainability, this aspect could be accommodated in the review process, which will be the basis for updating community priorities and re-planning annually.
  - This measure should also be incorporated in the O&OD Manuals.

### Extended CPP for 12 days

- Relevance:
- The extension of CPP for 12 days was made to include the aspects of social preparation and compilation of Community Plans using simple format at the ward.
  - Preparatory meeting with VC/WDC and sensitization of community members at the beginning of the CPP was relevant as it promotes social preparation and improves ownership.

- Effectiveness: • The extension was effectively utilized for social preparation and compilation using simple format at the ward.
- Sustainability: • For sustainability, it would be necessary to incorporate this aspect into the O&OD Manuals.
- The cost of including additional days in CPP needs to be secured to continue this measure.

### 6.5.3 Incorporating Community Needs into LGA Plan

#### (1) Strengthening Capacity of Ward to compile Community Plan

##### Consolidation of Community Plans at Ward using Simple Format

- Relevance: • Compilation of Community Plans using simple format at the ward level was meant to make it simple for LGA Officials to see the community needs at a glance.
- Sector-wise simple format shows all the activities appeared in the 3 Year Plans within a ward. These formats are to be forwarded to LGA from each ward after consolidation. Since LGA prepares its plan and budget by sector, this format eases the work of incorporating Community Plans at the LGA level.
- Although it took some time for ward officers to compile activities from the 3 Year Plan by sector, it was none the less successfully done, which demonstrates its feasibility of this process.
- An example of simple format contained village names, activities and inputs. However, it was found that inputs should be omitted from the format as once activities are specified their inputs are more accurately identified and costed by the technical staff at the LGA level using unit cost and Bills of Quantity.
- Effectiveness: • The idea was clearly taken up by the facilitators, and compilation was effectively carried out after CPP.
- NFs, who are working at district council, confirmed that this kind of format is useful to grasp Community Plans at the LGA level.
- In the process of R&B, the timing of preparing simple formats needs to be synchronized in the LGA planning and budgeting process.
- However, utilization of such formats depends on LGA's commitment to reflect community needs in the LGA Plan.
- Sustainability: • This process can be manually done by a couple of ward officers within 2-5 days, depending on the number of villages in the ward. In case of urban wards, the process is simpler and takes probably a few hours as it is just to disaggregate the plan by sector.
- This aspect should feature strongly as an essential component of R&B, because of the importance of updating community needs during Review of Community Plans.
- However, utilization of such formats depends on LGA's commitment to reflect community needs in the LGA Plan.

To avoid repetition, the following two measures for improving governance are not dealt with in this part:

- Effective use of Pre-visit; and
- Including social preparation in CPP

These measures are evaluated under improving roll-out methodology, therefore not repeated here.

## 6.6 Implications for Refinement of Tentative Proposals

This section discusses implications of refinement of tentative proposals based on the evaluation results of 18 testing measure described in the previous sections. These 18 testing measures relate to all three pillars of Strategic Areas, 4 Strategic Goals and 10 Specific Goals indicated in *italic* in Table 6.18 below.

**Table 6.18 Framework of Tentative Proposals**

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

Note: Strategic and Specific Goals relating to any of the 18 testing measures are shown in *italic*.

### 6.6.1 Implications for Refinement of Tentative Proposals by Specific Goals

Following are implications for refinement of the tentative proposals by Specific Goals. The implication is categorized as the same manner as those for R&B, i.e. under i) restructuring/reconfiguration of the contents, ii) addition of new aspects, and iii) elaboration of existing expressions.

## (1) Implications for “Optimizing arrangement of District Facilitators (DFs)”

In order to assure quality of Facilitators, selection of District Facilitators (DFs) could be important, and however the shortage of suitable officers for facilitating the O&OD planning process have been a long lasting problem and it can not be solved shortly. Focus therefore should be placed not on selection but optimization in combination of district-level officers. To optimize combination of Facilitators, a facilitator team should be carefully formed particularly for the Ward Facilitators Training (WFT) and the Community Planning Process (CPP). At least one competent DF should be included in a team, and DFs in a team should be complementary to each other, redeeming weaknesses among them. Balance in gender and specialty should also be considered when forming a team.

(From the tentative proposal)

*Restructuring/Reconfiguration of the Contents*

- This measure was in fact not included in the testing because in the current practice DFs are already arranged considering their gender, specialty and their facilitation skills and characters. Based on their performance during the first days of DFT, the NFs arrange DFs into groups with best balance possible and carry out the Pre-visit which gives another occasion for NFs to evaluate DFs’ performance and group dynamics. After the Pre-visit, if necessary, NFs change some of the DFs between groups to optimize the arrangement before starting CPP as practical part of DFT. In the same manner DFs are arranged into groups when WFT are held at more than one station. Therefore, it seems there is not much room to further optimize the arrangement of DFs except emphasizing this current practice to be followed properly.

## (2) Implications for “Optimizing arrangement of Ward Facilitator (WFs)”

More ward officers could be assigned to be Ward Facilitators (WFs) to facilitate CPP in order to widen sector coverage of WFs. In the current situation, three ward officers are assigned as WFs for one ward, including Ward Executive Officer (WEO) and other two extension officers, meaning that current sector coverage is only two at most. It is ideal to involve in the process all of the core ward-level officers except Ward Education Coordinators (WEC) who have been excluded in order to avoid lowering quality of education during roll-out process. At least, Community Development Officers, Agricultural Extension Officers, and Health Officer in addition to WEO should be included to form a facilitation team, which is expected to facilitate continuously even in the R&B stage.

(From the tentative proposal)

*Restructuring/Reconfiguration of the Contents*

- In the testing more number of WFs was appointed than in the previous arrangement, which, to a certain extent, resulted in wider sector coverage among WFs. However, it was not apparent that this new measure of wider sector coverage has improved the quality of facilitation as there is little room for WFs to demonstrate their sector expertise during the facilitation except data collection and giving advice at the WDC meeting. A team of WFs with varied sector expertise would probably contribute greatly to implementation and M&E of the Community Plan, but not necessarily assure the quality of facilitation during the planning. On the other hand, several Ward Education Coordinators (WECs) were appointed as WFs in the testing and in most cases they demonstrated excellent facilitation skills, which probably relate to their teaching background<sup>5</sup>. Therefore, to improve the quality of facilitation, it may be more effective to include WECs as WFs, provided their involvement in the roll-out does not crash with their important duties such as supervision of national exams.

<sup>5</sup> Many WECs are ex-teachers and head masters/mistresses.

### *Addition of New Aspects*

- In the testing, due to a shortage of ward extension officers, several Village Executive Officers (VEOs) and Mtaa Executive Officers (MEOs) were appointed as WFs. Although not all VEOs and MEOs are necessarily good at facilitation skills, their understanding on the planning process and active participation in the roll-out process will probably increase community ownership of the planning process and make the review process more sustainable. In this regard, together with ward extension officers, VEOs and MEOs should be included as WFs.

#### (3) Implications for “Selecting functional Community Resource Persons (CRPs)”

Community Resource Persons (Village Resource Person in rural LGAs and Mtaa Resource Person in urban LGAs) should be carefully selected since their role is not only important in the roll-out stage but also in the R&B stage. In the current situation, Community Resource Persons (CRP) are not appropriately functioning during the Community Planning Process as seen that they are rather part of participants in the process instead of facilitating the process. Due to their low awareness of the role in facilitation, it is not difficult to imagine that they are not going to play a significant role in facilitating implementation and review of the Community Plan in the R&B stage. CRPs should be thus carefully selected based on commitment, competence, and acceptability by community in facilitating community activities. In order to appropriately select CRPs, WFs should closely work with and facilitate communities to select appropriate CRPs.

(From the tentative proposal)

### *Addition of New Aspects*

- 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 role and there is little difference between them and members of Focus Groups during the roll-out.
- In addition to selecting appropriate community members for CRPs, emphasis should also be made on how to sensitize and train them during the planning process, so that they can become effective CRPs even in the review process.

### *Elaboration of Existing Expression*

- Roles of CRPs both in the roll-out and the review process, selection criteria, and how they should be sensitized and trained should be explained.

#### (4) Implications for “Front-loading preparation stage”

Community should be well-prepared to accept the O&OD planning process suitably before the process starts. One day pre-visit is currently included during the process of the District/Ward Facilitators Training only 3-4 days before initiating the Community Planning Process (CPP). However, it is not effectively pre-sensitizing communities, only providing brief introduction to members of Village Council or councilors. In order for communities to be fully aware of and prepared for the coming O&OD planning process, sufficient time and information should be provided not only to Village Council or councilors but more importantly to community members. Hence, pre-sensitization should be started even before the O&OD roll-out, assuring a sufficient time for communities to share enough information within. In the pre-sensitization, it will be also effective to encourage communities to start collecting community data necessary for the planning process and thereby communities will be able to enjoy more efficient planning process.

(From the tentative proposal)

*Restructuring/Reconfiguration of the Contents*

- It is desirable if the community members are fully aware of O&OD before starting the planning process. However, it is not realistic to conduct pre-sensitization before the roll-out when even LGA officers are yet to be sensitized on O&OD and trained as DFs. For pre-sensitization, it will be more efficient to target not only the community or LGAs where O&OD is about to be rolled out, but target wider population through mass media using radio and TV broadcast, distributing posters and reader-friendly pamphlets on O&OD. In this sense, official launching will sensitize wider population very effectively.
- In the testing the Pre-visit was used effectively not only to provide brief introduction of O&OD or to make practical arrangements of CPP, but also to sensitize VC/WDC members. The facilitators also discussed the importance of community data and followed up the progress of data collection. Therefore, effective use of pre-visit should be emphasized instead of front-loading preparation stage.
- In the testing, preparatory days were included at the beginning of CPP. During this period the facilitators sat together with the VC/WDC members and discussed how to sensitize the community members and actually carried out different methods of sensitization. VC/WDC members together with the facilitators also made use of this time to collect missing community data. Together with effective pre-visit one or two days of preparation/sensitization at the beginning of CPP should be emphasized as measures of social preparation.

## (5) Implications for “Increasing efficiency of Orientation Training”

To make Orientation Training more effective, National Facilitators (NFs) for instance should be oriented to place more emphasis on Review and Backstop when facilitating the roll-out process. Sensitizing NFs are particularly important since how NFs perform has significant influence on how DFs and WFs perform. Those facilitators in fact model after the way NFs facilitate or deliver explanation and elaboration, role play, and group work. Therefore, in order to make O&OD roll-out outcome-oriented stressing importance of R&B, Orientation Training is important as an entry point.

(From the tentative proposal)

*Restructuring/Reconfiguration of the Contents*

- Together with the following two specific goals of “Increasing efficiency of Awareness Raising Workshop (ARW)” and “Increasing efficiency of DFs/WFs Training” an aspect of emphasizing R&B should be treated separately in the new specific goal “Sensitizing stakeholders in R&B in the roll-out process”. The stakeholders include all who are involved in the O&OD process such as NFs, DFs, WFs, CRPs, Councilors, HoDs, VC/WDC members and community members.
- Apart from sensitizing NFs on R&B, “Increasing efficiency of NF Orientation” should remain as a specific goal emphasizing importance of NFs’ role in the cascade system. Concrete ways of increasing efficiency of NF Orientation should be added such as including more hands-on activities, group discussions as well as use of revised O&OD Manuals and other reference documents.



## (6) Implications for “Increasing efficiency of Awareness Raising Workshop (ARW)”

Role of councilor should be clearly indicated during ARW and those councilors should right after the Workshop start pre-sensitizing communities in their wards in order for the communities to be ready to accept O&OD planning process. Councilors could play a significant role as part of O&OD roll-out since they have influence to a large degree on mobilizing ward-level officers, Ward Development Committee members as well as communities. As in the Orientation Training, importance of R&B should be stressed in the Workshop. Councilors also should pre-sensitize communities to be aware of importance of post O&OD roll-out stage, stressing that O&OD is only a methodology to empower communities and it will be sustainable when the communities effectively utilizes the Community Plan after the O&OD roll-out.

(From the tentative proposal)

### *Restructuring/Reconfiguration of the Contents*

- As mentioned above, an aspect of emphasizing R&B should be treated separately in the new specific goal “Sensitizing stakeholders in R&B during the roll-out process”.

### *Addition of New Aspects*

- Improved organization of ARW by including group works and discussions should be emphasized as it has improved participants’ understanding in and commitment to the planning through active participation to the workshop.

## (7) Implications for “Increasing efficiency of DFs/WFs Training”

To increase effectiveness of the District Facilitators Training (DFT) and Ward Facilitators Training (WFT), there are some aspects to be taken seriously.

First, pre-visit should be more effectively carried out. Although pre-sensitization before the roll-out is already recommended above, pre-visit is still necessary in order to confirm to what extent wards and communities are prepared and sensitized. Through understanding of the situation, it becomes possible to deploy relatively more capable Facilitators in the stage of CPP where wards and communities are not well-prepared and well-sensitized.

Second, importance of R&B should be continuously emphasized in the DFT/WFT. NFs should stress as strongly as possible the importance of R&B assuming that contents of the Training are diluted when the process goes down from districts to wards and then to communities.

Third, some issues excluded from the urban planning process should also be included in the same manner as in the rural planning process. In particular, the “Planning and Budget” part in the O&OD Handbook is important not only for the rural process but also for the urban process since it provide basic concepts about planning and budgeting which become a basis of incorporating community needs into the LGA Plan.

(From the tentative proposal)

### *Restructuring/Reconfiguration of the Contents*

- For the first item concerning pre-visit, effective use of pre-visit should be emphasized without assuming pre-sensitization, which is difficult to carry out as explained in (4) implications for “front-loading preparation stage”.
- As mentioned in previous 3 sections, an aspect of emphasizing R&B in the second item should be treated separately in the new specific goal “Sensitizing stakeholders in R&B in the roll-out process”.
- The third item in the test contains some errors: in the normal arrangement “Planning and Budgeting” is already included both in urban and rural process, but planning concepts

including “Planning and Budgeting” is included in DFT but WFT. The proposal should state that planning concepts should be also included in WFT. In this case, the content of DFT and WFT are the same, therefore the duration of the DFT and WFT should be the same.

#### Addition of New Aspects

- In the first item, it should be added that pre-visit also serves to evaluate facilitators’ understanding and facilitation skills.

#### (8) Implications for “Increasing efficiency of Community Planning Process (CPP)”

To increase efficiency of CPP, two aspects should be considered: whether community needs are reflected in the Community Plan and whether its contents are sufficiently shared within the community. In respect of those aspects, some processes should be improved.

First, communities should be able to select objectives included in TDV2025 according to their needs. Currently a community is asked to follow all objectives under TDV2025. Although all the objectives of TDV 2025 are important to achieve the national goals, each community has its unique condition and the community’s progress regarding each of those objectives differs considerably. For example, some villages may have adequate water supply facilities due to recent government interventions to improve rural water supply. In that case, “availability of safe water” (one of the 9 objectives under High Quality Livelihood) may be adequately met and therefore the community may not need to plan other measures except maintenance and repairs. Understanding the limited time and resources it will be better for the community to focus on the issues which are most relevant to them. If facilitated carefully this process does not hinder the achievement of TDV 2025.

Second, *Specific Objectives* should not be prioritized only within each objective of TDV2025 but across the objectives of TDV2025. In the current process, there are 2 to 4 prioritized *Specific Objectives* under each objective of TDV2025, and they are only prioritized among them.

Third, Three-Year Plan should include first 10 to 20 prioritized *Specific Objectives* selected across objectives of TDV2025. Currently, only the *Specific Objective* of highest priority under each objective of TDV2025 is included in the Plan. In this case, some second prioritized *Specific Objectives* under certain objectives of TDV2025 are ignored even if they are more prioritized as a whole than the most prioritized *Specific Objectives* under the other objectives of TDV2025.

Fourth, Three-Year Plan should be sufficiently shared within a community before approval. Currently Community Plan is rubber-stamped without sufficiently recognized by community people. For instance in the case of rural LGAs, Village Plan is approved in the village assembly where most of the villagers do not really recognize details of what are included.

Those aspects above are to improve a linkage of roll-out stage with the R&B stages, reflecting community needs more efficiently in the Community Plan and enhancing the sense of ownership of the Plan in communities.

(From the tentative proposal)

#### *Restructuring/Reconfiguration of the Contents*

- Concerning the third item in the text, the number of specific objectives included in the Three-Year Plan should be limited up to 10 except those which can be carried out by the community without much support from outside.

#### *Addition of New Aspects*

- Two testing measures: 1) effective use of pre-visit; and 2) social preparation at the beginning of CPP, should be included as measures to increase efficiency of CPP.
- Concerning the first item, this process should be changed that the community should select

relevant objectives from the following 6 narrowed down objectives form TDV 2025.

1. Food self sufficiency and food security;
  2. Universal primary education;
  3. Access to quality primary health care for all;
  4. Availability of reproductive health services for all;
  5. Reduction of infant mortality rate; and
  6. Universal access to safe water.
- Although the fourth item in the text was not included in the testing, this is a very important aspect and should be emphasized in the proposal. The text should include concrete ways of sharing the plan among community members prior to the approval such as placing the Plan (or even only a list of prioritized Specific Objectives) in the public place as soon as the VC/WDC members compiled the three-Year Plan.

(9) Implications for “Strengthening capacity of Ward to compile Community Plans”

Capacity of wards to compile Community Plans is important to strengthen reporting role of ward-level officers to the LGA level. In the re-orientation training proposed above, how to compile Community Plans should be also clearly indicated. Through compilation of community needs, ward-level officers should be aware of the gap between existing activities monitored by them and community needs compiled from the Plans, and thereby become aware of how important is their reporting role as part of the LGA employee being closer to community level.

As proposed above a simple format should be manually prepared by Ward Executive Officers with assistance of other extension officers including Community Development Officers, Agricultural Extension Officers, Health Officer and Ward Education Coordinator. The simple format could be at the same time a very useful input for Ward Development Committee when it discusses allocation of Capital Development Grant based on the ceiling of allocation or Indicative Planning Figure decided by the LGA.

(From the tentative proposal)

*Addition of New Aspects*

- Brief description or an example of simple format should be included. The simple format should include all activities but not inputs as inputs and cost can be more accurately prepared at the LGA level by technical staff.

(10) Implications for “Improving governance”

Governance at different levels should be improved since it is among others fundamental to conduce to social preparedness for the O&OD planning process. Governance in this case includes aspects of community leadership, transparency and accountability, and networking among different levels which are inter-related.

Community leadership somehow depends on personality of leaders as well as how much community people trust them. On the other hand, capacity of leaders is also important to create followers in the community. In this regard, community leadership could be promoted particularly through capacity building of Village Chairperson and Village Executive Officer as well as Mtaa Executive Officer or *Mtaa* leaders. For instance, when reviewing Community Plans, Ward Facilitators should closely work with those community leaders together with CRPs on-the-job basis, and thus they can little by little improve capacity of how to handle review process of their Plan.

Transparency and accountability issues are also of primary importance to communities since they are related to trust in community leadership. In the case of rural LGAs for instance, it was observed during the field studies, when transparency and accountability of the village government are high, it enhances trust of community members in Village Chairperson, and vice versa. In preparing or reviewing the Plan both in the roll-out and R&B stages, revenue and expenditure of the village government should be fully exposed to communities, and at the same time it should be displayed in public on routine basis. To promote this aspect, WFs should monitor communities with high regard for transparency and accountability status.

Networking among all levels is also of significance to promote governance among all levels. In the vertical relation, DFs and WFs should frequently visit community to share useful and necessary information for them such as the Indicative Planning Figure of the Capacity Development Grant. WFs on the other hand should report the status and progress of Community Plans at least quarterly as stipulated by administrative regulations and preferably more. In the horizontal relation, information sharing between Village Council or the *Mtaa* leaders and community members are particularly weak as par transparency and accountability issues are discussed above. This aspect should be improved to enhance leadership of Village Council and *Mtaa* leaders since leadership is vital to promote concerted efforts of communities to tackle various issues. Networking among communities should also be promoted to enjoy a 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 Village Council and *Mtaa* leaders. Capacity building of Ward Facilitators in this regard should be highly considered.

(From the tentative proposal)

### *Addition of New Aspects*

- In the testing, several VEOs and MEOs were included as WFs and it gave them a good opportunity to understand the CPP. Including VEOs and MEOs as WFs during the roll-out should be added as one way of building capacity in community leadership.
- Two testing measures: 1) emphasizing effective use of pre-visit; and 2) including social preparation at the beginning of 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.

## CHAPTER 7

### TESTING OF REVIEW AND BACKSTOP

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#### 7.1 Introduction

The field studies on current status of post poll-out (Chapter 4) carried out in the early stage of the Study identified challenges in various aspects. First, it shows low awareness of importance of the R&B and in fact review on the Plan has hardly occurred in a large proportion of the sample villages and the progress of the Plan has not properly been monitored in those villages both by LGA and ward officers. Second, it appeared that information sharing between community leaders, such as Village Council members, and community members were insufficient. It negatively contributes to low recognition of Community Plan by communities and thus low awareness of importance of the Plan. Third, it was revealed that where the village government is not trustworthy, a degree of community participation in development activities is physically and psychologically low. Fourth, review of the Plan by communities to be sustainable largely hinges on how community members recognize meaningfulness of the Plan. Meaningfulness in other words is incentives of communities with solid sense to expect further betterment of the communities through implementation of the Plan.

To tackle those challenges, the Study tentatively made proposals on hypothetical basis covering the aspects of capacity building of facilitators and incorporation of community needs into the LGA plan as well as social preparation aspects to optimize R&B mechanism. It is in the context of above background that R&B testing was carried out under the purposes described as follows:

- To assess feasibility and appropriateness of tentative proposals prepared in the early stage of the Study through R&B activities
- To identify the areas of refinement to formulate the final proposals and action plans

#### 7.2 Target Area for Testing

The Study Team selected Bagamoyo District Council (DC) following bases below.

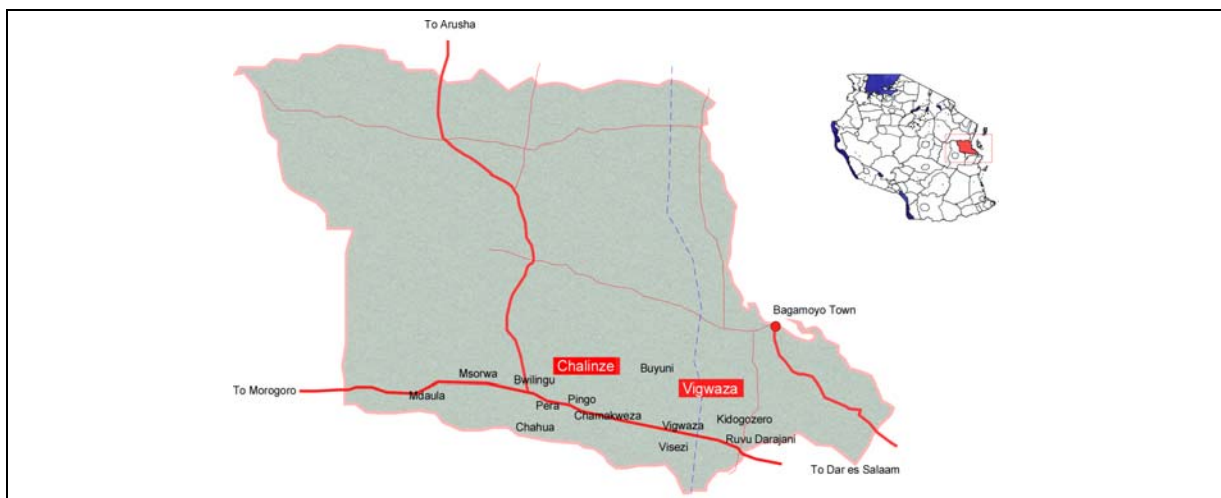
- Bagamoyo DC was among 6 target LGAs for the *field study on post O&OD roll-out status* (Chapter 4) carried out in the early stage of the Study. It is advantageous for the Team to carry out the R&B testing where the Team understands the current status of the post roll-out to a certain degree.
- The Study Team learned through the field study that Bagamoyo DC was among the least progressed LGA in terms of R&B. The results of the field study in fact show that communities in Bagamoyo DC have lower motivation to utilize their Community Plans than those of the other LGAs. In order to assess feasibility and appropriateness of the tentative proposals, selection of Bagamoyo DC to test R&B activities is reasonable with the expectation that it provides the Team more implications than those more progressed LGAs in terms of R&B.
- The Council Director (CD) of Bagamoyo DC was once the CD of Rombo DC where all communities in the LGA reviewed Community Plans under her leadership. It is effective to select Bagamoyo DC in order to see whether or not leadership of the CD influences community participation under such difficult circumstance with lower motivation of

communities.

The Team further selected two wards taking into consideration the available resources for the testing activities in consultation with the Council Director under the criteria as follows.

- One ward from each of two administrative zones in the LGA: Bagamoyo zone and Chalinze zone
- Mobility of the Study Team considering that testing activities are concurrently carried out in all the villages in the target wards

Based on the criteria, Vigwaza Ward and Chalinze Ward were selected. The following table shows villages included in those ward and population size of each ward and village.



**Figure 7.1 Target Ward and Villages in Bagamoyo District Council**

Target Ward	Population	Village	Population
Vigwaza	13,479	Kidogozero	2,999
		Ruvu Darajani	1,399
		Visezi	2,268
		Vigwaza	4,389
		Buyuni	2,249
Chalinze	32,346	Bwilingu (rural+urban areas)	4,083+7,623
		Pingo	1,400
		Chamakweza	3,270
		Chahua	1,485
		Msolwa	3,452
		Mdaula	6,116
		Pera (rural+urban areas)	2,071+2,759

Source: Population Census 2002

### 7.3 Items Tested in Tentative Proposals

The tested items were, as shown in Table 7.1, 2.1 *Building Capacity of Facilitator* and 2.2 *Incorporating Community Needs into LGA Plan* as well as 3.1 *Promoting Social Preparation*. Based on the tentative proposals, testing activities were designed on a trial basis as in Table 7.3 in the next section.

It is worth mentioning that one unique aspect of the R&B testing particularly relating to 3.1 *Promoting Social Preparation* is a trial



A set of notice board provided to each of the target villages

of utilizing a notice board at each target village. Through the review process of Community Plan, the notice board was fully utilized in order for the Village Council to disseminate information. A set of notice board was provided by Bagamoyo DC to all the target villages with assistance of the O&OD Study Team.

**Table 7.1 Items to be Tested in the Tentative Proposals**

Three Pillars of Strategic Areas		Strategic Goals		Specific Goals		Testing Activities No. in Table 7.3	
1.	Improving O&OD Roll-out Process	This area is covered in the O&OD Roll-out Teasing					
2.	Establishing the Review and Backstop Mechanism	2.1	Building Capacity of Facilitators	2.1.1	Sensitizing stakeholders on importance of R&B	2	
				2.1.2	Strengthening monitoring and facilitation capacity of DF, WF, and CRPs	2, 3, 4, 5, 6	
		2.2	Incorporating Community Needs into LGA Plan	2.2.1	Establishing database system to compile Community Plans into the LGA plan	5	
				2.2.2	Strengthening capacity of Ward to compile Community Plans	4, 5	
				2.2.3	Strengthening function of LGA to compile Community Plans	6	
3	Promoting Enabling Environment for Effective O&OD Roll-out and R&B	3.1	Promoting Social Preparation	3.1.1	Improving governance	4	
				3.1.2	Raising incentives of community to implement and review Community Plans	4	

## 7.4 Testing Method

Testing was carried out through R&B activities designed according to the tentative proposals (Table 7.1). While R&B activities were carried out, the Team observed the process and at the same time interviewed participants at each juncture (Table 7.2). Through the observation and interview with participants, the Team evaluated, based on three criteria of relevancy, effectiveness, and sustainability, whether or not each of those R&B activities is feasible and appropriate. Table 7.3 shows a summary of the R&B testing activities.

**Table 7.2 Mode of Interview (Interviewee and Timing)**

Interviewee	No	Timing
NFs	2	• Whole through the process
DFs/WFs	5	• On the last day of Orientation of DFs/WFs
DFs/WFs	19	• On the last day of Backstop at Ward (after preparing a simple format)
Community	21	• On the day of Step 9 (after endorsement of Community Development Plan)

**Table 7.3 R&B Testing Activities**

R&B Activities		Duration (day)	Place
1	Orientation of National Facilitator and Preparation of Testing	2	DSM
2	Sensitization of Council Management Team (CMT)	2	Bagamoyo Town
3	Orientation of District Facilitators and Ward Facilitators	4	Bagamoyo Town
4	Review of Community Development Plan		
Step 1	Preparatory Village Council Meeting	1	Target Villages
Step 2	Sensitization on Review at Extra-ordinary Village Assembly	1	Target Villages
Step 3	Re-planning the Plan by Focus Groups	3	Target Villages
Step 4	Prioritization and Preparation of Three Year Plan by Village Council	1	Target Villages

Step 5	Community Consultation of the Three Year Plan	3	Target Villages
Step 6	Village Council to Compile the Three-Year Plan Based on Community Comments	1	Target Wards
Step 7	Technical Advice by Ward Development Committee (WDC)	1	Target Villages
Step 8	Village Council to Compile the Three Year Plan Based on Advice from WDC	1	Target Villages
Step 9	Endorsement of Community Plan at Extra-ordinary Village Assembly	1	Target Villages
Step 10	Preparation of Minutes; Compilation of Three-Year Plan; 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

## 7.5 Summary of Testing Activities

### 7.5.1 Orientation of National Facilitators

An orientation session of National Facilitators (NFs) was held on 8<sup>th</sup> and 9<sup>th</sup> of February 2007 at the meeting room of the O&OD Study Team Office in Dar es Salaam. The purpose of the session was to orient NFs to be able to facilitate a whole process of testing activities. Under this purpose, the Team invited two NFs, who are a Bagamoyo DC officer and a member of O&OD Study Team. Each of those NFs was assigned to be in charge of one of the two target wards whole through the testing activities. Facilitators of the session consisted of O&OD Coordinator and an official of PMO-RALG and one supporter from the O&OD Study Team. The box below shows contents covered in the 2 days session.

Proceeding of Orientation Session of National Facilitator	
<p>Day 1</p> <ol style="list-style-type: none"> <li>Objective of the Testing</li> <li>O&amp;OD Plan</li> <li>Budgeting</li> <li>Implementation of the Plan to date</li> </ol> <p>Day 2</p> <ol style="list-style-type: none"> <li>Review</li> <li>Backstop</li> <li>MKUKUTA</li> <li>Participatory M&amp;E</li> </ol>	

### 7.5.2 Sensitization of Council Management Team

A sensitization session was held on 12<sup>th</sup> and 13<sup>th</sup> of February 2007 at the conference room of the Ministry of Natural Resource located closely to the Bagamoyo District Council complex. The purpose of the session was to sensitize and capacitate CMT members to become aware of the O&OD participatory planning process and more importantly significance of the R&B process, so as to be able to direct and supervise DFs/WFs to

**Table 7.4 Participants in Sensitization Training**

Officer	Total
District Executive Director	1
District Agricultural and Livestock Development Officer	1
District Community Development Officer	1
District Cooperatives Officer	1
District Education Officer (acting)	1
District Health Officer	1
District Human Resource Officer	1
District Land, Natural Resource, Environment Officer	1
District Medical Officer (acting)	1
District Trade Officer	1
District Water Engineer	1
Village Fund Coordinator (TASAF Coordinator)	1
Township Executive Officer	1
	13



appropriately perform in the R&B process. Most of the member of CMT participated in the session but District Planning Officer for other commitments. The session was facilitated by two National Facilitators oriented in Dar es Salaam, covering the topics shown below. District Executive Director chaired the session effectively encouraging CMT members with her commitment to the R&B process.

The CMT members actively participated whole through the session. The first day session was only for theory and the second day session included a group work where the CMT members were divided into two groups and came up with the reporting format for implementation status used by Village Council.

Proceeding of Sensitization Session of Council Management Team

<p><u>Day 1</u></p> <ol style="list-style-type: none"> <li>1. Introduction</li> <li>2. Opening Speech</li> <li>3. Objective of Session</li> <li>4. Participatory Planning</li> <li>5. TDV 2025</li> <li>6. MKUKUTA</li> <li>7. Cross-cutting Issue</li> <li>8. O&amp;OD Planning Process                         <ul style="list-style-type: none"> <li>- Community Entry Protocol</li> <li>- Participatory Tools</li> <li>- Planning Process</li> </ul> </li> </ol>	<p><u>Day 2</u></p> <ol style="list-style-type: none"> <li>1. Review of Day 1</li> <li>2. Review of Community Development Plan</li> <li>3. Backstop</li> <li>4. Reporting Format</li> <li>5. Consolidation of Community Development Plan at the ward</li> </ol>
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Box 7.1

Proposed Reporting Format by CMT members of Bagamoyo DC

In the group activity on Day 2, each group had an opportunity to propose a format for implementation report, as a tool for following up on the implementation of the Community Plans. The idea is to have a uniform reporting system from all villages, thus making it easy for LGA officials to follow up on implementation. The following is a proposed format.

Report of Implementation of Village Development Plan for Year xxx (Period)

Village \_\_\_\_\_ District \_\_\_\_\_  
 Ward \_\_\_\_\_ Region \_\_\_\_\_

Plan/Objective	Activities	Cost			Steps of Implementation	Remarks
		Community	(Government and Others)	Total		

Prepared by \_\_\_\_\_ Title/Position \_\_\_\_\_  
 Signature \_\_\_\_\_ Date \_\_\_\_\_

### 7.5.3 Orientation of District Facilitators/Ward Facilitators





An orientation session of District Facilitators/Ward Facilitators (DFs/WFs) was held on 15<sup>th</sup> to 18<sup>th</sup> of February 2007 in a conference room of Agency for the Development of Education Management (ADEM). The purpose of the session was to capacitate DFs and WFs to be able to facilitate communities to review and implement the Community Plan in a sustainable manner.

**Table 7.5 Participants in Orientation Training**

Specification	District Facilitators	Ward Facilitators		Total
		Chalinze	Vigwaza	
Executive (WEO)	-	1*	1	1
Community Development	5	2	-	7
Agricultural/ Livestock	4	2	2	8
Health	1	2	1	4
Education	-	2	1	3
Water	1	-	-	1
Youth Development	1	-	-	1
	12	8	5	25

\*Ward Executive Officer (WEO) concurrently serves as Ward Education Coordinator (WEC)

Participants consisted of 13 ward-level officers from two target wards of the testing and 12 district-level officers. 2 ward-level officers and 4 district-level officers were among the DFs/WFs when rolling out O&OD in 2002<sup>1</sup>. One each from those district officers and ward officers was assigned to be in charge of one of 12 villages in the target wards, meaning that one DF and one WF were in a team to facilitate review of the Plan in a village in charge.

Proceeding of Orientation Session of DFs / WFs			
Day 1	Day 2	Day 3	Day 4
<ol style="list-style-type: none"> <li>Registration</li> <li>Introduction</li> <li>Objective of the Session</li> <li>History of Participatory Planning in Tanzania</li> <li>Tanzania Vision 2025</li> <li>MKUKUTA</li> <li>Planning Concepts</li> <li>Planning &amp; Budget</li> <li>Integrated Planning</li> <li>M &amp; E</li> <li>Cross-cutting Issues</li> <li>Community Entry Protocol</li> <li>Participatory Tools</li> </ol>	<ol style="list-style-type: none"> <li>Focus Group to Prepare Draft Community Plan using TDV 2025</li> <li>Focus Group to Prepare Draft Community Plan (4 goals in High Quality Livelihood)</li> <li>Focus Group to Prepare Draft Community Plan (4 goals in High Quality Livelihood)</li> </ol>	<ol style="list-style-type: none"> <li>Draft Community Plan (4 goals in Good Governance and Rule of Law)</li> <li>Village Council to Prioritize and Prepare Three-Year Plan</li> <li>Ward Development Committee (WDC) to give advice to Plans</li> <li>Extra-ordinary Village Assembly Meeting to Approve Plan</li> </ol>	<ol style="list-style-type: none"> <li>Review and Backstop Concepts</li> <li>Review Step <ul style="list-style-type: none"> <li>Preparatory Village Council Meeting</li> <li>Extra-ordinary Village Assembly</li> <li>Focus Group to re-plan</li> <li>Prioritization and Preparation of Three-Year Plan by Village Council</li> <li>Community Comments on the Three-Year Plan</li> <li>Technical Advice by WDC</li> </ul> </li> <li>Backstop</li> </ol>
			
Atmosphere of the venue	Elaboration by NF	Group discussion	Presentation by each group

<sup>1</sup> O&OD was new to the remaining 19 officers and however a few had participated in some kind of participatory approaches such as PRA.

#### 7.5.4 Review of Community Development Plan

Review of the Village Plan was carried out at all target villages following the schedule shown in Table 7.6.

**Table 7.6 Schedule of Reviewing the Plan at Community**

Step 1	Preparatory Village Council Meeting	20-21 Feb 2007
Step 2	Sensitization on Review at Extra-ordinary Village Assembly	21-23 Feb 2007
Step 3	Re-planning the Plan by Focus Groups	22-26 Feb 2007
Step 4	Prioritization and Preparation of Three-Year Plan by Village Council	25-27 Feb 2007
Step 5	Community Consultation of the Three-Year Plan	26-28 Feb 2007
Step 6	Village Council to Compile the Three-Year Plan based on community comments	1 Mar 2007
Step 7	Technical Advice by WDC	2 Mar 2007
Step 8	Village Council to Compile the Three-Year Plan based on advice from WDC	3 Mar 2007
Step 9	Endorsement of Community Plan at Extra-ordinary Village Assembly	3-4 Mar 2007
Step 10	Preparation of Minutes; Compilation of Three-Year Plan; and Posting the Plan on the Notice Board	5 Mar 2007

##### (1) Preparatory Village Council Meeting

A preparatory Village Council meeting was held at each of all villages in the target wards in order for the Council members to be ready for the coming review process. Village Chairperson and VEO chaired the meeting, facilitated by DF and WF. Participants included 10-20 of Village Council members and influential people in the village.

The meeting covered following activities: 1) going through the existing Community Plan; 2) confirmation of progress in implementation of the Plan; 3) identification of positive and negative factors affecting implementation; 4) confirmation of other development activities; and 5) preparation of a financial statement in the past three-years. In addition, DF/WF facilitated Village Council to collect data necessary for wealth ranking in the re-planning process in the later step.

In the case of Bagamoyo DC, many villages had already misplaced their Plans after spending more than five years since they prepare the Plan in 2002. The LGA therefore needed to provide a copy of their Community Plan which was once prepared and submitted to the LGA by the villages. Above 1) and 2) were carried out based on the copy of their plan provided by the LGA.

In the meeting, attentiveness, seriousness, activeness of participants differed according to various situations of villages and Village Councils. In some villages where dependency syndrome appeared to be strong, participants were emphasizing that the reason of delay in implementation was lack of external resources when going through progress of implementation of the Plan while some village was constructively discussing on how to promote implementation with their own efforts.



Village Council Meeting at Ruvu Darajani Village

In many cases, DFs and WFs needed to intervene to a large degree where leadership of Village Chairperson was weak while in some villages, the meeting was almost dictated by the Village Chairperson bearing down opinions coming from participants.

## (2) Sensitization on Review Process at Extra-ordinary Village Assembly

An extra-ordinary village assembly was held at all villages to kick-off the review process. The purpose of the extra-ordinary village assembly was to sensitize community members to be aware of importance of the review process, and to have basic information before starting re-planning of the Community Plan.

In the assembly, Facilitators shared with and explained to participants 1) TDV2025, 2) importance of reviewing the Plan, and 3) outputs from the preparatory Village Council meeting including i) summary of the existing Community Plan, ii) progress of implementation of the Plan, and iii) financial statement in the past three years including the current year. In addition, Community Resource Person (CRP) and Focus Group members were selected from each hamlet for the coming 3 day re-planning process.



Village Assembly  
in Ruvu Darajani Village

Some villages had difficulty to maintain sufficient participation of community members in the village assembly. For instance, participation of community members was limited in Ruvu Darajani in Vigwaza Ward since the village was not sure whether or not re-planning was meaningful after reviewing the Plan 5 months ago on their own initiative and yet they had not seen any progress in implementation of the Plan. In the case of Chahua Village in Chalinze Ward, a funeral ceremony was held on the same day as the planned day for the village assembly. The village decided to postpone the assembly for one day but participants were halved due to the ongoing funeral ceremony.

## (3) Re-planning by Focus Groups

Focus Group members selected in the village assembly of each village reviewed the Plan under facilitation of the Village Executive Officer (VEO) with assistance of the WF/DF. They met together at the village office or primary school in some cases where a village office does not exist. They reviewed the Plan utilizing open space outside the office, classroom, or available space near the Village Council office.



Re-planning by Focus Groups  
in Pingo Village

In the case of Bagamoyo DC, the Three-Year Plan did not exist in many villages but Community Plans did since the O&OD methodology was still being developed while the LGA rolled out O&OD in 2002<sup>2</sup>. Due to this limitation, the review process could not start from going through the Three-Year Plan as initially planned by the Team, and instead all villages started from going through the Community Plans.

The Community Plan usually included 3-4 un-prioritized *Specific Objectives* under each of 13 goals of TDV 2025 while the Three-year Plan only includes 13 prioritized *Specific Objectives*. Going through all the un-prioritized *Specific Objectives* in the former requires relatively longer time covering 40-50 *Specific Objectives*, if simply calculated, while going through prioritized *Specific Objectives* in the latter requires shorter time. The WFs/DFs thus faced uncertainty whether they could be able to complete re-planning process using 3 days as

<sup>2</sup> In the target villages, only Chamakweza Village has the Three Year Plan matrix. In the initial stage of the O&OD rollout, the Three Year Planning matrix was not recognized as a part of the final outputs of planning process.



planned. Some villages as a result took longer than the other villages to re-plan according to the numbers of *Specific Objectives* they have in the Community Plan while some villages were only able to go through selected *Specific Objectives*.

In re-planning on the Community Planning Matrices, many villages faced lack of capacity to efficiently go through it. Therefore, the WF/DF tended to intervene in the process which was supposed to be carried out under facilitation of the VEO. The Team decided to alarm the WFs/DFs that the reviewing process should not be ruled by them but carried out with VEO's lead.

#### (4) Prioritization and Preparation of Three-Year Plan by Village Council

Based on the reviewed Community Plan, the Village Council of each target village prioritized *Specific Objectives*. Prioritization was carried out through pair-wise ranking. The first priority identified through pair-wise ranking was included in the draft Three-Year Plan under each goal of TDV 2025. Draft Three-Year Plan was posted on the notice board of most of the target villages.



Three Year Plan posted on the notice board in Vigwaza Village

#### (5) Community Consultation of the Three-Year Plan

After the draft Three-Year Plan was prepared by the Village Council, the plan was duplicated for each hamlet. Having a copy of the Plan, each hamlet held a meeting to have comments from community members. In the meeting, the Plan was explained to participants by the hamlet leader with assistance of CRPs who participated in the preparation of Community Plan and assisted the Village Council to compile the draft Three-Year Plan. The Plan was at the same time posted on the notice board in most of the target village in order to receive comments from those who might have a chance to see the Plan.



Hamlet Meeting at Idara ya Maji Hamlet of Chamkweza Village

The proceeding of the meeting was varied according to how the hamlet leader handled the meeting. It is observed that some hamlet leader were dictating the meeting while another leader was effectively facilitating participants to comment on the Plan by asking open questions such as “what do you say about the Plan prepared by the Village Council?”



Comments posted in the suggestion box of Vigwaza Village

#### (6) Village Council to Compile the Three-Year Plan Based on Community Comments

After community consultation was held at the hamlet level, comments raised in the meeting were compiled by each hamlet and submitted to the Village Council. In addition to the comments from the hamlet meeting, some villages were able to receive individual comments utilizing the suggestion box placed close to the notice board.

Compiled forms of comments from the hamlet meeting differed in appearance by hamlet but they were more or less sorted out by sector. In some cases, the comments were neatly summarized as in the case of



Summarized comments submitted from Myegeani Hamlet to Ruvo Darajani Village

Myegeani Hamlet in Ruvu Darajani Village which submitted a summary of the hamlet meeting to the Village Council including comments sorted out by sector as well as *Specific Objectives*. The summary also included collective comments agreed by the participants in the meeting.

After receiving the summarized comments from hamlets, the Village Council meeting was held by each village though was delayed in Msorwa Village and Pingo Village which failed to hold hamlet meetings. In the meeting, Village Chairperson took a lead for discussion with assistance of VEO who took through summarized comments from hamlets. Village Council eventually decided which comments should be incorporated into the draft Three-Year Plan.

#### (7) Technical Advice by WDC

WDC meeting was held in each of Chalinze Ward and Vigwaza Ward in order to discuss technical feasibility of the 2<sup>nd</sup> draft of the Three-Year Plan submitted by each Village Council after incorporation of comments from hamlets. The WDC meeting was chaired by Councilor. Village Chairperson and VEO from each village and all Ward Extension Officers, and DFs in charge of the villages in the ward participated in the meeting.

**Table 7.7 Type of Comments contributed in WDC**

Comments in Chalinze WDC		Comments in Vigwaza WDC	
By Type of Comment			
• Appropriateness of <i>Specific Objectives</i>	5	• Appropriateness of <i>Specific Objectives</i>	6
• Appropriateness of <i>Steps of Implementation</i>	3	• Need of additional activities in <i>Steps of Implementation</i> from technical point of view	4
• Appropriateness of <i>What Village Can/Cannot Do</i>	2	• Appropriateness of <i>Steps of Implementation</i>	3
• Target of achievement in <i>Specific Objectives</i>	2	• Target of achievement in <i>Specific Objectives</i>	2
• Suggestion on how to continue the review process	2	• The Way Three-Year Plan is compiled	1
• Suggestion to add a new <i>Specific Objective</i>	1	• Measurability of <i>Specific Objectives</i>	1
• Clarification/comments from technical points	1	• Suggestion to add youth issue	1
• Suggestion for Village Chairpersons to hold Village Council meeting on regular basis	1	• Clarification / comments from technical points	1
By Sector			
• Education	4	• Agriculture	5
• Agriculture	2	• Governance	3
• Governance	2	• Environment	1
• HIV/AIDS	1	• Education	1
• Vulnerable People	1	• Water	1
• Health	1	• Youth	1
• Others	6	• Health	1
		• Others	6

In the meeting, the VEO from each village presented the 2<sup>nd</sup> draft Three-Year Plan followed by comments from the Ward Extension Officers who are specialized in their field including education, health, agriculture, livestock, water, and youth development (refer to Table 7.5). Table 7.7 shows types of comments made in the WDC meetings.

#### (8) Village Council to Compile the Three Year Plan based on Technical Advice by WDC

After comments were made in the WDC meeting, comments were incorporated into the Three-Year Plan at each Village Council with support of the DF and the WF. Some villages received a number of comments while the others received only one or two comments. It appeared that comments were many if quality of the Three-Year Plan is poor and vice versa. Some villages thus are taking more time to revise the Three-Year Plan while the other needed to spend a time for a stitch of revision. The 3<sup>rd</sup> draft Three-Year Plan however was eventually prepared by all target villages before an extra-ordinary village assembly.

(9) Endorsement of Community Plan at Extra-ordinary Village Assembly

Each village held an extra-ordinary village assembly in order to present and endorse the Three-Year Plan. Some villages held the assembly on the same day as they compiled the advice from the WDC meeting since they received relatively small number of comments while the others did one day after the compilation. The number of participants varied by village. More than 70 community members participated in the assembly of some villages whereas in the worst case, only 5 people participated. In the assembly, 3<sup>rd</sup> draft Three-Year Plan was presented by VEO and participants discussed and commented on the Plan.



Extra-ordinary Village Assembly at Msorwa Village

In Chalinze and Vigwaza Ward, many villages are composed of farmers and livestock keepers. Issues raised in some places therefore were relating to land use as well as conflict between the farmer and pastoralists. Participants were actively discussing and giving comments on their Three-Year Plan at village assembly wherever observed by the Team.

(10) Preparation of Minutes; Compilation of Three-Year Plan; and Posting the Plan on the Notice Board

Results of the assembly were compiled in minutes and at the same time comments from participants in the assembly were incorporated into the final version of the Three-Year Plan by the VEO under the supervision of the Village Chairperson. Three copies of the final version of the Plan were made for submission to the LGA, a copy to the ward, and the notice board posting. The original Plan remains with the District Council.



Reporting format being filled by the VEO of Vigwaza Village

In addition to the minutes and the Three-Year Plan, VEO compiled implementation status of the Plan prepared in 2002, utilizing the reporting format that the CMT members came up with during the Sensitization session. Intention of this process is to give feedback to the CMT members who then are expected to seriously start considering about how the LGA should trace the activities at the community level as part of their responsibility.

7.5.5 Backstop by Ward

WFs and DFs met together at one place in each of Vigwaza Ward and Chalinze Ward on 5<sup>th</sup> of March in order to compile community needs appeared in the Three-Year Plan into simple formats by sector. The process was led either by WEO or the other facilitators, following steps of: 1) coming up with exhaustive categories or sub-categories by going through the Three-Year Plan; and 2) fill in the figures corresponding to

**Table 7.8 Simple Format**

Sector:						
Category						Others
Sub-category						
Village A						
Village B						
Village C						
Village D						
Village E						
Total						

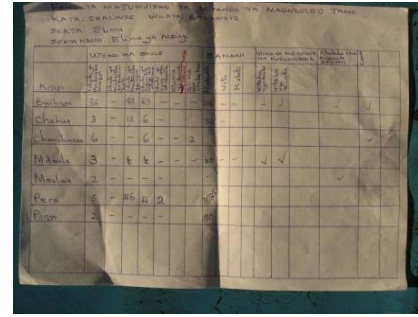
each of the categories or sub-categories village by village.

In the case of Vigwaza Ward, the ward office was utilized to carry out the process. In the Office, the WEO was leading the process in front of the other Facilitators, posting flip chart on the wall while one facilitator was recording on a sheet of paper what was agreed by the DFs/WFs on the flipchart. They were enjoying the benefits out of variety of specialized areas that each facilitator has. In the case of Chalinze Ward as well, process was more or less the same and carried in a classroom of the primary school in Pera Village.



Left: WEO is leading the other Facilitators to come up with categories of the simple format in Vigwaza Ward

Right: The simple format for health sector the Facilitators worked out



Simple format for primary education sub-sector worked out in Chalinze Ward

### 7.5.6 Feedback to LGA

Results of compilation into the simple formats were shared from National Facilitators to the CMT members on 7<sup>th</sup> of March at the same venue as the sensitization session for CMT members was held. The purpose of the meeting was to have reactions from the CMT members in terms of usability of the simple formats.



Presentation by a National Facilitator

The meeting was officiated by the Council Director and it brought together 14 Heads of Departments, officials from PMO-RALG and the Team Members. In her opening remarks, the Council Director emphasized the importance of utilizing the reviewed Community Plans in the LGA Plans. She reminded the Heads of Departments that they were key players in the process, and insisted that the information generated should be owned and used productively by the LGA.

During the meeting, CMT members were briefed about the review exercise and the NFs made a brief presentation of the compilation of the Community Plans by sector at the ward level. The CMT members appreciated the relevancy of the proposed compilation format, and pointed out that it would be much easier now for them see the community needs as prioritized by the community members themselves.

#### Major comments from the CMT Members on simple format

- It makes life easier
- It contains useful data, and will be analyzed by each department according to sector policies. Each department should take an action
- HoDs should disseminate sector standards to make the format useful

In the meeting, the CMT members were informed by District Agriculture and Livestock Development Officers (DALDO) that the officials from Agriculture Sector Line Ministries (ASLM) visited Vigwaza during the R&B testing process, where they found that the Focus



Group members were reviewing the plan. The ASLM officials were very much satisfied with the way agriculture issues were handled during re-planning. The adequacy of the O&OD process in addressing agriculture issues at the community level is significant since it supports the livelihoods of the majority of population in rural areas<sup>3</sup>.

## 7.6 Evaluation Results of Testing

This section shows evaluation results of the testing activities: i) from overall perspective based on quantified results; and 2) by activity with elaboration based on the qualitative data collected through the field study.

The evaluation results basically hinge on the qualitative data collected by each member of the Team during the field study. Each member prepared field notes during the study and raw data in the field notes of each member was interpreted by him/herself into evaluation results based on three criteria as mentioned earlier: 1) relevancy, 2) effectiveness, and 3) sustainability.

**Table 7.9 Evaluation Criteria**

Criteria	Evaluation Questions	What to Evaluate
Relevancy	Is the testing approach appropriate and feasible?	Testing methodology
Effectiveness	Is the testing approach effectively leading to outputs?	Outputs from testing activities
Sustainability	Is the testing approach continued by stakeholders in a sustainable manner?	Possibility to be sustained by the stakeholders

The following sub-sections show consolidated evaluation results based on the evaluation results from members of the Study Team.

### 7.6.1 Overall Results

From overall perspective, *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 are not necessarily produced in an effective manner and further efforts by the stakeholders are required to sustain the activities. This pattern is in fact clearly recognized in Table 7.10.

Table 7.10 is a cross-tab showing the quantified results of evaluation by activity and by criterion. The quantified results were consolidated taking the following procedure.

- 1) Each of 5 evaluators (1 PMO-RALG Official, 3 Consultants, 1 National Facilitator of the O&OD Study Team) filled a score (3 = to a large degree / 2 = to some degree / 1 = to a very limited degree) in the cross-tab based on each of his/her evaluation results from observation and interviews with stakeholders.
- 2) External values (the highest and the lowest scores) were eliminated from the scores of evaluators.
- 3) The mean value was calculated based on remaining scores of evaluators.

<sup>3</sup> This was also a 'practical response' to the concerns raised by some agriculture officials that the O&OD process is not adequately detailed in Agricultural issues.

The followings are analyses on quantified results in Table 7.10 by evaluation criterion: Relevancy, Effectiveness, and Sustainability.

**Table 7.10 Quantified Results of Evaluation on Testing Activities Based on Three Criteria**

Evaluation Criteria	Relevancy	Effectiveness	Sustainability
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
Review of Community Plan			
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 Village Council 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 the Notice Board	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

### Relevancy

Although most of the activities appear to be relevant, *Relevancy* of Step 3 (re-planning process) and Step 4 (prioritization and preparation of Three-Year Plan) is comparatively lower than the other activities as seen in Table 7.10.

Lower *Relevancy* of Step 3 is attributable to the unexpected situation that the Three-Year Plan did not exist but only Community Plan in most of the target villages while the Team was assuming that re-planning process should be started with going through the 13 prioritized *Specific Objectives* in the Three-Year Plan. Those villages instead reviewed un-prioritized *Specific Objectives* in the Community Plan, and the *Specific Objectives* were too many. In fact, 3-5 *Specific Objectives* are usually included in one objective of TDV 2025 and 13 objectives are supposed to be covered in the O&OD planning process, meaning that around 40-70 *Specific Objectives* become subject to review. Facing this situation, DFs and WFs were somehow confused in handling a cumbersome task covering so many *Specific Objectives* to review. Although the Team informed the Facilitators how to handle the situation after realizing the challenge, the way of handling the situation should have been informed during the Orientation Session of DFs/WFs. However, it was unfortunately impossible since the Team was not aware of the situation either.

On the other hand, lower *Relevancy* of Step 4 is based on the fact that in some villages, all *Specific Objectives* were pair-wise ranked by mistake regardless of the goals under TDV 2025 although they were not oriented to do so. This occurrence of confusion could have resulted from unclear message delivered during the Orientation session of DFs/WFs with insufficient emphasis on the prioritization methodology.

### *Effectiveness*

*Effectiveness* is in general lower in comparison with *Relevancy*. This pattern is understandable when considering the disparity between what is intended and what actually happens. 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. Due to transfer, retirement, or death of those facilitators participated in the past roll-out, the LGA were only able to have the limited number of experienced DFs/WFs in the testing activities. Even for the experienced DFs/WFs, it was difficult to regain the skills and knowledge after spending such a long blank period. In this regards, it was obvious that 4 days orientation session was not sufficient for them, taking into account that the DF training of the O&OD rollout usually takes 7 days including pre-visit to a community.

The fact that short duration of the orientation session affects insufficient capacity of DFs/WFs could be reinforced when comparing the column of *Effectiveness* for orientation session of NFs with that of DFs/WFs in Table 7.10<sup>4</sup>. It shows that *Effectiveness* for orientation session of NFs is 3.00 whereas that of DFs/WFs is 2.00, meaning that NFs became capable of facilitating testing activities after the orientation while DFs/WFs did not. Considering the fact that NFs were well-conversant with the O&OD concepts since they have experienced roll-out more than 7 times while most of the DFs/WFs were starting from scratch, it is obvious that orientation session needed to be longer for the DFs/WFs to internalize the concepts of the O&OD.

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 the ward level. The Team found that compilation was effectively carried out by the DFs and the WFs and quality of the outputs, simple formats by sector, was at a satisfactory level. According the DFs/WFs in the interview, they did not have any technical difficulty to compile the contents of the Three-Year Plan into the simple formats.

### *Sustainability*

*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

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<sup>4</sup> *Efficiency* in this case is to indicate whether or not participants become capable of facilitating the activities.

continue the activities; iii) low awareness and commitment of stakeholders to the activities; and iv) methodological impairment. Table 7.11 shows major factors affecting the results of evaluation on *Sustainability*.

**Table 7.11 Factors Affecting Evaluation Results of Sustainability**

Activities	Results of Sustainability	Major Factors Affecting the Results			
		1	2	3	4
Orientation of NFs	2.00	✓			
Sensitization of CMT	2.00	✓			
Orientation of DFs/WFs	2.00	✓			
<b>Review of Community Plan</b>					
Step 1 Preparatory VC Meeting	2.00	✓	✓	✓	
Step 2 Sensitization on Review at EVA	2.00	✓	✓	✓	
Step 3 Re-planning the Plan by Focus Groups	2.00	✓	✓	✓	
Step 4 Prioritization and Preparation of TYP by VC	2.00	✓	✓	✓	
Step 5 Community Consultation of the TYP	1.33	✓	✓	✓	✓
Step 6 VC to Compile the TYP based on community comments	2.00	✓	✓	✓	
Step 7 Technical Advice by WDC	2.33	✓	✓	✓	
Step 8 Village Council to Compile the TYP based on advice from WDC	2.67	✓			
Step 9 Endorsement of Community Plan at EVA	2.67	✓			
Step 10 Preparation of Minutes; Compilation of TYP; and Posting the Plan on the Notice Board	2.00	✓	✓	✓	
Backstop at Ward	2.50	✓			

- 1 Uncertainty of financial sustainability to continue the activities
- 2 Insufficient capacity of some stakeholders to continue the activities
- 3 Low awareness and commitment of some stakeholders to the activities
- 4 Methodological impairment

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

As indicated in Table 7.11, i) uncertainty of financial sustainability is affecting evaluation results of sustainability on all the testing activities. It is particularly uncertain whether or not the LGA is able to assure enough allocation of the budget to R&B activities in a sustainable manner since financial resources of the LGA is heavily dependent on the allocation from the Central Government<sup>5</sup>. This aspect could be sustainable if both the current Council Director and future Council Directors continuously commit to R&B and thus ample budget is allocated for R&B in a continuous manner and if the LGA fully internalizes the R&B activities as part of routine responsibilities and thus no more cost incurred for Daily Subsistence Allowance (DSA) for Ward Facilitators who facilitate the activities in their duty station.

On the other hand, “ii) insufficient capacity” and “iii) low awareness and commitment of stakeholders” are particularly affecting the community level activities i.e. Review of Community Plan. Insufficient capacity of DFs/WFs is among others the major factor affecting evaluation of *Sustainability*, since roles of DFs/WFs are significant as catalysts to enhance capacity, awareness, and commitment of Village Chairpersons and VEOs who mobilize communities. As described earlier, insufficient capacity of DFs/WFs was partially due to relatively a short period spent for orientation of DFs/WFs in which they could not sufficiently internalize skills and knowledge about the O&OD planning methodology.

<sup>5</sup> In the Sensitization session of CMT, the discussion about financial feasibility of the R&B activities was raised by the Head of Departments (HoDs). There was a strong opinion that council might fail to finance the process if the days involved in the process were too many.

In addition, it is worth elaborating “iv) methodological impairment.” The methodological impairment in this case is relating to appropriateness of whether or not community consultation through hamlet meeting should be included in the methodology. During the testing activities, the Team found that wherever the hamlet meetings were held for community consultation in Step 5, participation level in the village assembly in Step 9 was very low, and vice versa. According to some VEOs, many of community members did not feel importance of participating in the village assembly since they had already given comments on the draft Three-Year Plan in the hamlet meeting.

## 7.6.2 Results by Activities

Following sub-sections will describe capsulated results of evaluation by activity, adding brief explanations to each of quantified results under each of three evaluation criteria.

### (1) Orientation of National Facilitators

	Relevancy	Effectiveness	Sustainability
Orientation of NFs	3.00	3.00	2.00

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

- Orientation of National Facilitators (NFs) was facilitated by PMO-RALG officials covering necessary topics for NFs to internalize in order to facilitate the LGA level orientation. It was appropriate to have PMO-RALG officials as facilitators for the orientation since some topics are related to government policies and administrative matters such as MKUKUTA and budgeting.
- The orientation was effective to a large extent as evidenced in the performance of NFs in the sensitization session of CMT members and orientation of DFs/WFs. NFs were able to effectively deliver explanation for newly acquired topics together with the O&OD related topics that they had been already conversant with.
- Orientation could be sustainable, provided that the budget is secured by PMO-RALG, and those who facilitate NFs are equipped with technical competency and experience. However, if the orientation is to cover broader policy issues in order for NFs to be more confident with facilitation at all levels in a multi-sectoral manner, resource persons of various topics/sectors might be invited as facilitators.

### (2) Sensitization of Council Management Team

	Relevancy	Effectiveness	Sustainability
Sensitization of CMT members	3.00	2.00	2.00

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

- Sensitization session was held in an appropriate manner in respect of coverage of the topics, proceedings followed, and delivery of explanation. Although the session was appropriately carried out to a satisfactory extent, it might have been more effective if a linkage of the Community Plan and Three-Year Plan with TDV 2025 could have been articulated in the early stage of the session and thus the CMT members would have been able to capture the reason why NFs needed to thoroughly explain about TDV 2025 taking more than one hour.
- The session was effective in the sense that the Council Director effectively showed her leadership and commitment to the R&B activities, and CMT members captured

comprehensively the concepts of O&OD and R&B. However, it did not necessarily mean that all of the CMT members were well sensitized to be ready for committing themselves to the R&B activities under the initiative of the LGA. It was in fact observed during the re-planning process at the community level that coordination of the LGA was not sufficient.

- Sustainability of the session, if held every once in few years or even annually, largely hinges on fund availability, commitment of Council Director and competency of NFs. Among others, an issue of selecting appropriate NFs could have been considered. Competency of NF is exerted in an appropriate setting where NF feels comfortable to facilitate. In this regard, NF could have been invited from different LGAs for the session since NFs are usually district supporting officers who are sub-ordinates of CMT members. In order to fully sensitize CMT members to make R&B sustainable, such a hierarchical factor should be eliminated.

### (3) Orientation of District Facilitators/Ward Facilitators

	Relevancy	Effectiveness	Sustainability
Orientation of DFs/WFs	2.67	2.00	2.00

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

- Orientation of DFs/WFs was appropriately facilitated by NFs with some clarification given by PMO-RALG officials, covering all essential topics for R&B activities<sup>6</sup>. Orienting both DFs and WFs conjointly was also appropriate since DFs and WFs are complementary to each other: DFs are more familiar with central issues while WFs are more familiar with situations of communities. The session in other words realized a reciprocal learning process through discussion.
- The orientation was effective in terms of making DFs/WFs aware of the concepts of O&OD as well as R&B. However, it was not significant in making DFs/WFs internalize all concepts of O&OD. It was in fact difficult for many DFs/WFs to internalize particularly how to cope with Community Planning Matrices. A low level of internalization was evidenced in the re-planning process at the community level. Many DFs/WFs were not capable enough of assuring the quality of the Three-Year Plan prepared by the villages. In this regard, the length of the session could have been longer for the LGA in such a case as of Bagamoyo DC with a long blank period after rolling out.
- Sustainability of the Orientation session cannot be rated highly since uncertainty of maintaining sufficient budget allocation by the LGA cannot be cast aside. In the case of Bagamoyo DC, the cost of the session was covered by the Capacity Building Grant and however it is uncertain whether the Grant could be used for the same purpose and with the same amount next year<sup>7</sup>.

<sup>6</sup> The existing O&OD handbook and draft R&B guidelines prepared by the O&OD Study Team were utilized in the session.

<sup>7</sup> Costs of the training materials and DSA for the NFs were covered by PMO-RALG while other costs (including DSA and transportation for the DFs/WFs, venue, refreshment, and stationery) were covered by the Council. Therefore, it was the greatest concern of the LGA during the process whether the costs can be sufficiently covered by the Council. The cost was covered to large degree due to the Capacity Building Grant (CBG) of Local Capital Development Grant in this testing but it is uncertain whether the Council can utilize the CBG in the same manner or not.

(4) Review of Community Development Plan

(4.1) Preparatory Village Council Meeting

	Relevancy	Effectiveness	Sustainability
Step 1 Preparatory VC Meeting	3.00	2.00	2.00

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

- Preparatory Village Council meeting was significant in order for the Village Council to be aware of the past experience of O&OD rollout and the importance of the re-planning process at the same time. After spending long time in such a case as of Bagamoyo DC, the Plan prepared in the O&OD rollout is not recognized well in the community or even Village Council members have already forgotten the existence of the Plan. Thus holding the meeting was critical in making them known the existence of the Plan at the first place. The Village Council members then recognized that the Plan was unrealistic in many cases after going through the existing Plan since they found out the gap between what was planned and what actually had done.
- The meeting could have been more effective if all the Village Councils were ready to launch the re-planning process with official information provided in a well-advance manner by the LGA. Some villages were in fact aware of neither the official information of launching re-planning process nor the purpose of calling for the meeting even on the day the process was supposed to be started. Some villages decided to delay the launch of the process and the others just decided to start the process on the spot on the day the DF and the WF informed. However, many of the Village Councils, though not all, were able to prepare a summary of progress in implementation of the Plan and a financial statement in the past three years, which were ultimately posted on the notice board for public view.
- The preparatory village meeting could not be sustainable if the Village Council does not understand the importance of the re-planning process. Some Village Councils appeared to perceive that the re-planning process was a transient exercise instead of continuous process. Therefore, it could be clearly understood by the Village Council that the Three-Year Plan is a living document refined through continuous process since continuous practice of re-planning leads to more realistic and feasible Plan as review is repeated every year.

(4.2) Sensitization on Review Process at Extra-ordinary Village Assembly

	Relevancy	Effectiveness	Sustainability
Step 2 Sensitization on Review at EVA	2.67	2.00	2.00

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

- The extra-ordinary village assembly was of considerable importance for the Village Council to share what was gone through in the preparatory meeting and to make community members aware of the coming re-planning process. However, the time that community members could share for the assembly was limited in spite of many substantial topics to be covered<sup>8</sup>. Limitation of time could be due to physical reasons. Physical reasons include time

<sup>8</sup> Topics to be covered including:

1. TDV2025
2. Importance of reviewing the Plan
3. Sharing outputs from preparatory Village Council

necessary for farming activities and length of time that community members can concentrate. It appeared that the meeting should not last more than half a day in order to ease the limitation, and in this case each topic should be compacted. When the meeting cannot cover all the topics, supplemental information could be displayed on the notice board.

- Effectiveness of the village assembly was evaluated to observe whether or not the message delivered by the Village Council was sufficiently perceived by community members and whether or not CRPs and Focus Group members were selected in a democratic manner. In this light, not all villages did successfully accomplish those aspects. Some villages faced low participation of community members in the assembly and some omitted some topics due to time constraint. However, in the other villages, it was observed that community members were actively participating in the discussion, and selection of CRPs and Focus Group members was carried out in a democratic way.
- Sustainability depends on how the village assembly is going to be perceived by the Village Council and the community. To be specific, the question is “is the assembly going to be held on an ad-hoc basis or a routine basis?” In the current situation, re-planning is not a major concern of the community and however it is expected to be perceived as a prioritized issue by the community and the Village Council include it as part of agenda in the quarterly statutory assembly.

#### (4.3) Re-planning by Focus Groups

	Relevancy	Effectiveness	Sustainability
Step 3 Re-planning the Plan by Focus Groups	2.33	2.00	2.00

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

- There is no doubt that re-planning process is necessary since the process is one of the most essential activities in the Review process. Some confusion however was observed in the process due to absence of the Three-Year Plan, as elaborated previously. The Plan matrices in fact did not exist in the target villages except for one village since the O&OD planning methodology was still being developed when the LGA rolled out in 2002. Because of the situation, target villages needed to start from reviewing 40-70 of un-prioritized *Specific Objectives* in the Community Plan. As a result, the re-planning process took longer than planned, and many villages had only a choice of omitting some *Specific Objectives* for review due to time constraint.
- The process was not effective in the respect that quality of the output or reviewed Community Plan was not assured to be at a satisfactory level. Inappropriate *Specific Objectives*, illogical flow of the contents, confusion between *Specific Objectives* and Steps of Implementation, and confusion between Obstacles and Causes were common challenges that most of the village should have overcome. The major cause was incompetency of DFs/WFs in facilitating community to prepare sound Community Plans. In some cases, interests/preference of the Facilitator was directly reflected in the contents of the Matrix, meaning that there was a facilitator’s manipulation when facilitating community to come up

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- i) summary of existing Community Plan
  - ii) progress of implementation of the plan
  - iii) financial statement in the past three years including current year
4. Selection of Community Resource Person and Focus Group members



with the contents.

- Sustainability of the re-planning process should be considered from two aspects: process itself and quality of the Plan. Those two aspects appeared to have not been much achieved by the target villages. Re-planning process could be sustainable when Village Councils and the community recognize significance in implementing the Plan, and thus the Plan become core means to realize the betterment of community life. This is largely dependent on how much the plan is implemented with funds either from the community or outside the community and how extensive the effectiveness of the plan is recognized by the community.
- On the other hand, the Plan could not be sustainably utilized if the quality is not assured. Improving quality of the Plan however takes time since it depends how much competency the community has and how closely those skilled facilitators can work with. The skilled facilitators in this case could include DFs/WFs and at the same time CRPs might function as community facilitators.

#### (4.4) Prioritization and Preparation of Three Year Plan by Village Council

	Relevancy	Effectiveness	Sustainability
Step 4 Prioritization and Preparation of TYP by VC	2.33	2.33	2.00

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

- Although prioritization and preparation of the Three-Year Plan dose not involve a complicated process, some confusion was observed in the prioritization process where all *Specific Objectives* were pair-wise ranked by mistake across the objectives under TDV2025. It might be effective to prioritize in such a way but consistency of the methodology among villages is always needed, taking into account that all Community Plans are eventually consolidated into the LGA Plan. In the orientation of DFs/WFs, a clearer message on how to prioritize *Specific Objectives* needed to be delivered.
- The prioritization and preparation process was effective in the respect that all villages were able to prepare a draft Three-Year Plan. The quality of the Three-Year Plan however was not necessarily adequate since the contents of the Plan were fully based on the Community Plan i.e. the step that most of the villages had difficulty to work out as described earlier. The draft Three-Year Plan was posted on the notice board in most of the villages. It was observed that the posted draft was seen by many community members when they happened to be around the notice board. Where a suggestion box was placed closely to the notice board, some comments on the draft Three-Year Plan were seen in the box.
- The prioritization and preparation of the Three-Year Plan could be sustainable in terms of the procedure itself since the difficult technique is not required for the process. In fact, the prioritization process was rather seen as an enjoyable process for the Village Council members wherever observed. However, whether or not the contents of the Three-Year Plan are durable for implementation still remains as a critical issue apart from how effectively and sustainably prioritization is carried out.

## (4.5) Community Consultation of the Three-Year Plan

	Relevancy	Effectiveness	Sustainability
Step 5 Community Consultation of the Three-Year Plan	2.67	2.00	1.33

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

- Community consultation process was mainly carried out through hamlet meetings in order for the Village Council to have comments from community members on the draft Three-Year Plan. It was appropriate to organize hamlet meetings since community members had a means to deliver their voices to the Village Council in such an informal occasion where they feel easier to speak out unlike the formal occasion like a village assembly. Consideration however should be made in regard of a functional defect when having both hamlet meeting and the village assembly. This aspect will be further discussed in the later section of (9) *Endorsement of Community Plan at Extra-ordinary Village Assembly*.
- The hamlet meeting was effective in the sense that community members were actively participating in the discussion. A suggestion box placed in some villages was also effective to provide feedback to the Village Council for those who were not comfortable speaking out in the public. However, comments made by community members were inclined to be an expression of personal preference rather than a constructive idea of refining the draft Three-Year Plan. The purport of the community consultation could have been clearly explained or even posted on the notice board.
- Holding hamlet meetings or other forms of community consultation would not be sustainable unless the community members understand the meaning of having a community consultation. If the consultation is understood just as an opportunity to provide whatever community members want to suggest to the Village Council, the Three-Year Plan would not be owned by the community ultimately. Sense of owning the Three-Year Plan could only be promoted when they become able to deepen their thinking to make the Three-Year Plan usable for themselves in realistic terms.

## (4.6) Village Council to Compile the Three-Year Plan Based on Community Comments

	Relevancy	Effectiveness	Sustainability
Step 6 VC to Compile the TYP based on community comments	3.00	2.00	2.00

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

- Community comments were incorporated into the Three-Year Plan by the Village Council of all target villages. It was not a burdensome task for most of the villages while some villages needed to synthesize the comments for scrutiny, compiling them by sector in a form. It eased the Village Council to incorporate the comments in some cases where a hamlet sorted out its collective comments by sector before submitting to the Village Council.
- The compilation was effectively carried out to a certain extent. However, to make activity more effective, the results of the scrutinized comments by the Village Council could have been explained in a written form and posted on the notice board. It was the fact that not all comments were incorporated into the Three-Year Plan since some comments were purely based on personal interests or personal wish. It was at the same time the responsibility of the Village Council for a transparency purpose to explain the reason why their comments were not taken.

- Sustainability cannot be assured if the Village Council does not proactively practice communicating with the community in a consistent manner. The communication between the Village Council and the community should be always a two-ways practice not only receiving comments from the community but also more importantly providing a feedback to the community.

(4.7) Technical Advice by Ward Development Committee

	Relevancy	Effectiveness	Sustainability
Step 7 Technical Advice by WDC	3.00	2.33	2.33

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

- The WDC meeting was held simultaneously both in Vigwaza Ward and Chalinze Ward. Each Village Council presented to and received comments from the participants of the WDC meeting. The same procedure for the WDC meeting was taken as in the O&OD roll-out and no particular area for improvement in the procedure was detected.
- It could have been more effective if a little time was taken before the WDC meeting in order for the Ward Extension Officers to go through all Three-year Plans. It would help those officers to be aware of the areas which needed to be improved and to have time to prepare technical inputs beforehand. It could even allow them to consult with district subject matter specialists or zonal technicians when the area of improvement required expertise that they could not sufficiently cover.
- In addition to the above aspect, criteria to scrutinize the Three-Year Plan could have been set in order for Ward Extension Officers to be able to effectively make comments in a comprehensive manner. In fact, in the WDC held at the target Wards, most of the comments were made on *Specific Objectives* and *Steps of Implementation*. Appropriateness of scheduling within a three year frame and columns of “*what they can do*” and “*what they can not do*” was not sufficiently discussed.
- Sustainability of the WDC meeting largely hinges on technical competency of Ward Extension Officers. Technical competency is not only the skill and knowledge on participatory planning but sector and sub-sector expertise which become a basis of making technically valid comments. In the meetings, almost no comment was made from sector or sub-sector point of view from Ward Extension Officer. It is however important to refine the contents of the Three-Year Plan from technical aspects in order to reinforce technical feasibility and thus turn the Plan into actual implementation.

(4.8) Village Council to Compile the Three Year Plan based on Technical Advice by WDC

	Relevancy	Effectiveness	Sustainability
Step 8 Village Council to Compile the TYP based on advice from WDC	3.00	2.33	2.33

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

- After receiving advice, each Village Council consolidated the advice from the WDC into the Three-Year Plan. As in the step of incorporating community comments into the Plan, it was not a burdensome task for the Village Councils. Most of the comments in fact did not require major changes in the Plan but those were to suggest fine-tuning expressions in

*Specific Objectives* or *Steps of Implementation*, to revise the target of achievement in *Specific Objective*, and to include or exclude inappropriate items in the *Steps of Implementation*.

- Although compilation of the comments was relatively an easy task and all the villages were able to compile draft Three-Year Plan before the village assembly, the Plans of two villages still had serious defects particularly in the *Specific Objective* part even after compiling the WDC comments. The NFs therefore needed to visit the villages and assist the Village Councils to further fine-tune the Plan before endorsement of the Plan at the village assembly.
- Incorporation of technical advice does not require special skills. However, assistance from Facilitators still might be necessary even after receiving technical advice from the WDC if WDC members are not competent enough to find out serious defects in the draft Three-Year Plan.

#### (4.9) Endorsement of Three-Year Plan at Extra-ordinary Village Assembly

	Relevancy	Effectiveness	Sustainability
Step 9 Endorsement of Three-Year Plan at EVA	2.67	2.00	2.67

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

- The assembly is absolutely necessary in the light that the assembly was a formal occasion to endorse the Three-Year Plan as an official document of the village. In this respect, there is no need to discuss about appropriateness of holding the assembly. However, it was observed in some places that the WFs and the DFs were taking a chair next to the Village Chairperson in the assembly, meaning that the assembly was not fully operated under the Village Chairperson. It appeared that some Facilitators were not able to understand till the end that the re-planning process should be owned by the community.
- In spite of magnitude of the assembly, the participation level in the extra-ordinary village assembly in some villages was very low. In one village, the assembly did not come into effect having only 5 participants. The main reason of low participation was due to the perception of community members that the purpose of the hamlet meeting was similar to that of the assembly and thus they did not feel any importance to be part of the assembly. According to the VEO in one village, “people do not see the reason of participating in the assembly since they have already given comments on the Plan in the hamlet meeting.” In contrast, another village was able to have relatively satisfactory number of participants since the hamlet meeting was not held in the village.
- Sustainability of the village assembly hinges on the how much the re-planning process is owned by the community. In other words, when re-planning process is internalized in the community as routine activity, the village assembly automatically becomes the statutory village assembly not on an extra-ordinary basis.

(4.10) Preparation of Minutes; Compilation of Three Year Plan; and Posting the Plan on the Notice Board

		Relevancy	Effectiveness	Sustainability
Step 10	Preparation of Minutes; Compilation of TYP; and Posting the Plan on the Notice Board	3.00	2.00	2.00

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

- Maintaining transparency and accountability is fundamental for the Village Council to reinforce or construct mutual trust with community members. The significance of this step is obvious since it promotes transparency and accountability through dissemination of the minutes of the village assembly and the compiled Three-Year Plan on the notice board. Community members are able to see what was discussed in the assembly on the minutes and the final version of the Three-Year Plan prepared based on the discussion.
- In contrast, effectiveness was limited since participation rate of the village assembly was very low in some villages. Those who participated in the assembly could be mediators to disseminate information stimulating interests of those who did/could not participate. There will be more chance to see the Three-Year Plan for those who did/could not participate in the assembly if those who participated disseminate to the others.
- In order to promote dissemination of the final version of the Three-Year Plan, it might be even effective to hold a hamlet meeting for the purpose of sharing the Plan with community members and make them aware of the contents of the Plan.

(5) Backstop by Ward

		Relevancy	Effectiveness	Sustainability
	Backstop at Ward	3.00	3.00	2.50

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

- Utilization of the simple format is appropriate to a great extent. The format was simple enough in the use of compiling the contents of the Three-Year Plans. In the interview with the Facilitators, it was confirmed that all the facilitators felt no problem at all with consolidating the format.
- It was observed that the compilation process was effectively carried out without any confusion. Once the subcategory is identified by the DFs/WFs, the blanks in the format were almost automatically filled in by the WFs/DFs who picked up corresponding figures included in the Three-Year Plan.
- The simple format could be sustainably used by the LGA when consolidating the MTEF format if two aspects are carefully analyzed 1) whether the community needs appeared on the simple format should be covered by the LGA according to sector policies, and 2) how the sub-categories can be translated into budgetary items of the MTEF.

## 7.7 Implication for Refinement of Tentative Proposals

Tentative proposals were prepared in the earlier stage of the Study, based on the studies on status-quo of i) planning and budgeting system, ii) O&OD roll-out, and iii) post-O&OD roll-out. Followed by the drafting of tentative proposals, the Review and Backstop activities were also designed and carried out in a provisional but forethoughtful manner in accordance with the tentative proposals. To that end, the former section evaluates feasibility and appropriateness of the Review and Backstop activities to evolve implications for identifying the area to refine in the tentative proposals.

This section will therefore establish the basis for final proposals based on the evaluation results. To establish the basis, the following sub-sections will discuss how each of the corresponding categories in the Tentative Proposals (Table 7.12) should be refined.

**Table 7.12 Sections of Refinement in the Tentative Proposals**

S/N	Pillars of Strategic Areas	S/N		S/N	Specific Goals
1	Improving O&OD Roll-out Process	This area is covered in the refined O&OD roll-out process			
2	Establishing the 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 the 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
3.1.2	Raising incentives of community to implement and review Community Plans				

### 7.7.1 Implication for Refinement of Pillars of Strategic Areas and Strategic Goals in Tentative Proposals

#### *Pillars of Strategic Areas*

The Pillars of Strategic Areas should be remained as the tentative proposal for the following reasons. First, difference of internal and external environment should be clearly recognized. Internal environment includes *Improving O&OD Roll-out Process* and *Establishing R&B Mechanism* while external environment includes *Promoting Enabling Environment for Effective O&OD Roll-out and R&B*. Internal environment is to be directly improved though the establishment and adaptation of the methodology of R&B whereas external environment is to be indirectly improved through establishment and adoption of the methodology which conduces to enhancement of stakeholders' capacity and establishment of an operation system. As a matter of fact, this relation between internal and external environment was confirmed in the R&B testing activities. For instance, reason why sustainability in the evaluation was not highly rated for community level activities was due to insufficient level of village governance and commitment of communities which could be improved through application of the R&B methodology, contribution from improved facilitation of DFs/WFs in a continuous manner, and established operating system of R&B to support them.

Second, for the internal environment, division of O&OD roll-out and R&B should be clearly recognized. This is necessary not only because of the difference in the activities of O&OD roll-out and R&B and their chronological relation but also existence of the LGA with and without experience of O&OD roll-out. Those which have already rolled out O&OD need to cope with *Establishing R&B Mechanism* whereas those which have not rolled out O&OD need to face up to the strategic goals both under *Improving O&OD Roll-out Process* and *Establishing R&B Mechanism*. In this regard, the divisions of O&OD roll-out and R&B is appropriate for the sake of such convenience.

### *Strategic Goals*

Those Strategic Goals of *Building Capacity of Facilitators, Incorporating Community Needs into LGA Plan, and Promoting Social Preparation* should also remain the same. Those are major prioritized areas of concerns in this Study placing emphasis on establishment of R&B. The Team in fact found the significance of maintaining those three areas.

With regard to *Building Capacity of Facilitators*, the Team was able to confirm in the testing activities that the capacity of the facilitators extensively relates to effectiveness and sustainability of the review activities at the community level. At the same time, the Team found that facilitators could be not only NFs, DFs, and WFs, but also in a broad term the Council Director and CMT members who facilitate DFs and WFs, and Village Chairperson, VEO and CRPs who facilitate community members. Hence, those facilitators in a broad term should be appropriately sensitized and oriented at the different levels.

To promote the aspect of *Incorporating Community Needs into LGA Plan*, a simple format was experimentally adopted in the testing activities to see the feasibility and appropriateness. It was confirmed that utilizing a simple format contribute to a large extent when the LGA officers compile the community needs into the LGA Plan. The Team found the great potential of adopting a simple format even for the other LGAs and reconfirmed at the same time that *Incorporating Community Needs into LGA Plan* should be treated as one of the core components in the final proposal knowing the potential of a simple format.

As part of the pillar of strategic area, *Establishing R&B Mechanism, Establishing and Disseminating Review and Backstop Guidelines* should be added as a new strategic goal. In the testing activities, tentative R&B Guidelines were adopted and through the adoption, the Team was able to identify the areas of improvement in the Guidelines. The Guidelines are significant as a tool to disseminate concepts and methodologies of adopting R&B mechanism at each LGA. The Guidelines thus should be disseminated at all levels in an appropriate timing once it is adopted as national Guidelines.

As for *Promoting Social Preparation*, the Team found in the testing activities that there is only a choice for outsiders to be top-down as long as utilizing administrative structure for the installment of new concepts such as the O&OD planning methodology as well as R&B activities. However, what matters is how much that top-down installment can accommodate democratic and participatory sense of stakeholders. Democratic and participatory sense is vital for the stakeholders to turn the top-down installment of new concepts into their own concepts based on local definition. In order for stakeholders to enable this paradigm shift, *Promotion of Social Preparation* is of considerable significance. Social preparation is in other words self-awareness of own potential, sense of accepting new concepts, and readiness to make a collective action, which enables the stakeholders to own whatever the concepts

accepted and internalized by them.

### 7.7.2 Implication for Refinement of Tentative Proposals by Strategic Category

Followings are implications for refinement of the tentative proposals by Strategic Category. The implication is categorized under i) restructuring/reconfiguration of the contents, ii) addition of new aspects and iii) elaboration of existing expressions.

#### (1) Implications for “Sensitizing stakeholders on importance of R&B” (Building Capacity of Facilitators)

Sensitizing stakeholders on importance of R&B is of considerable importance. In order to sensitize stakeholders, sensitization workshop should be held involving stakeholders at all levels including LGAs, and communities. In the workshop, role of stakeholders in the R&B stage should be clarified. Through the workshop, DFs and WFs particularly should be aware of their role in facilitating communities to implement and review their Community Plans according to changing needs of the communities from time to time, and at the same time they should have an idea of how they can contribute to consolidation of Community Plans into LGA Plan.

(From the tentative proposal)

#### *Addition of New Aspects*

- 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&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.
- Leadership of the Council Director and 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 Council Director and CMT members, commitment of DFs and WFs could not be elicited.
- 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&B as well. Without sensitizing NFs, the sensitization of CMT and 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 a different LGA in order for NFs to comfortably facilitate CMT members<sup>9</sup>.

#### *Elaboration of Existing Expression*

- 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 orientation of NFs, sensitization of CMT, orientation of DFs/WFs, preparatory Village Council meeting (Step 1), and sensitization on review at extra-ordinary village assembly (Step 2). Brief description of those steps could be incorporated as part of the paragraph.

<sup>9</sup> NFs are usually district officers and sub-ordinates of the CMT members, and thus if NFs are selected from the same Council, NFs need to facilitate officers with hierarchically higher positions.



(2) Implications for “Strengthening monitoring and facilitation capacity of DFs, WFs, and CRPs” (Building Capacity of Facilitators)

Monitoring and facilitation capacity of DFs, WFs, and CRPs should be strengthened. Technical capacity of DFs and WFs should be strengthened through re-orientation training, in which those Facilitators may recapture some basic concepts necessary for the O&OD planning process including TDV2025, participatory tools to collect community data, Community Planning Matrix, prioritization of *Specific Objectives* and Three-Year Plan and at the same time develop skills of how to monitor and facilitate communities to implement and review the Plan and how to incorporate community needs into the LGA Plan.

After the re-orientation training, DFs and WFs may go down to the community level and facilitate review process of its Community Plan and Three-Year Plan. CRPs should be closely working with WFs in reviewing the Plan and those Resource Persons become cable of facilitating review of the Plan through on-the-job training. Once the Plans are reviewed, ward-level officer may compile them and submit to the LGA who then compiles community needs into the LGA Plan.

(From the tentative proposal)

*Restructuring/Reconfiguration of the Contents*

- 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 CRP,” could be placed under *Building Capacity of Facilitator*. As part of the latter specific goal, CRPs should be particularly recognized as core function to be capacitated.

*Addition of New Aspects*

- It should be emphasized that the situation of the LGA differs according to the budget available, the blank period after the roll-out, and the number of experienced DFs/WFs. Therefore, the number of days taken for review process depends on the LGA. Those LGAs which rolled out O&OD in the earlier stage should pay a particular attention to how to make participants internalize Community Plan.
- The approach taken for capacity building of stakeholders in R&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 orientation session from the second year.
- 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 the community in a continuous manner since the R&B process is supposed to be owned by the LGA and the community eventually. Approach from PMO-RALG might be necessary in the beginning when introducing R&B concepts, and however the LGA should not expect continuous supports for establishment of R&B.
- Emphasis should also be placed on establishment of mutual trust among WFs, Village Councils, CRPs and communities. In the testing activity, it was uncovered that in some villages WFs were not trusted by the Village Council at all since he/she had never visited the Village in the past. In order for WFs to be able to effectively facilitate the Village Council and CRPs, *Rapport* building should be the first thing to be carried out.
- Participatory monitoring and evaluation (PM&E) by community should be included as part of facilitation and monitoring by communities. PM&E could be introduced in the orientation of NFs and DFs/WFs who then orient the Village Council and CRPs to facilitate communities to practice.

*Elaboration of Existing Expression*

- 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 National Facilitator, ii) orientation of DFs/WFs, and iii) review process of Community Plans which could be based on the testing activities.
- (3) Implications for “Establishing database system to compile Community Plans into the LGA Plan” (Incorporating Community Needs into LGA Plan)

Database system to compile the contents of Community Plans should be established in the future in order for LGA officers to be able to efficiently reflect community needs in the LGA Plan. In the current situation however, it is not realistic for each community to have at least one computer to which necessary data in Community Plans for the LGA Plan could be inputted. Therefore, a simple form to compile the necessary data should be prepared. The simple form could be manually filled by WEOs as part of the responsibility of reporting role and submitted to the LGA to efficiently compile community needs into the LGA Plan.

When the physical environment is improved and each community is able to compile information using a computer in the future, data base system should be established in accordance with the existing planning and budgeting system, or existing data base system should be expanded accommodating Community Plans.

(From the tentative proposal)

*Addition of New Aspects*

- “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 review should be emphasized in order to explore possibility of utilizing existing database system to compile Community Plans into the LGA plan. In the review, existing database systems first should be gone over thoroughly from technical point of view and then the possibility of integrating information of the simple format in the Three-Year Plan should be examined.

*Elaboration of Existing Expression*

- Functional aspect of the simple format should be briefly explained. Functional aspect particularly means what items are appeared in the format, how Three-Year Plan is integrated into the format and how the LGA should treat the formats.
- (4) Implications for “Strengthening capacity of Ward to compile Community Plans” (Incorporating Community Needs into LGA Plan)

Capacity of wards to compile Community Plans is important to strengthen reporting role of ward-level officers to the LGA level. In the re-orientation training proposed above, how to compile Community Plans should be also clearly indicated. Through compilation of community needs, ward-level officers should be aware of the gap between existing activities monitored by them and community needs compiled from Community Plans, and thereby become aware of how important is their reporting role as part of the LGA employee being closer to the community level.

As proposed above a simple format should be manually prepared by WEOs with assistance of other extension officers including Community Development Officers, Agricultural Extension Officers, Health Officer and Ward Education Coordinator. The simple format could be at the same time a very useful input for Ward Development Committee when it discusses allocation of Capital Development Grant based on the ceiling of allocation or Indicative Planning Figure decided by the LGA.

(From the tentative proposal)

*Restructuring/Reconfiguration of the Contents*

- This specific goal should be integrated with “Strengthening function of LGA to compile Community Plan” since the role of the ward should be within the LGA administrative structure.

*Elaboration of Existing Expression*

- Although the restructuring of the specific goals are suggested above, strengthening capacity of WEOs and Ward Extension Officers for various sectors needs to be emphasized. The reason for the necessity of strengthening capacity of Ward-level officers is that they are front-line workers of the LGA who are supposed to be able to directly facilitate the Village Council knowing better about community issues. In the current situation however, they are not fully functioning to this end.

(5) Implications for “Strengthening function of LGA to compile Community Plans”  
(Incorporating Community Needs into LGA Plan)

The function of LGA to compile community needs should be strengthened. It is not difficult for the LGA to physically compile community needs if simple formats are submitted by wards. The compiled information could be useful inputs either to the comprehensive LGA Plan or to sector plans, and at the same time it could be part of basis to estimate the LGA budget. In the re-orientation Training, a simple format should be introduced to LGA officers and ward officers, and how and in what timing to be prepared should be indicated.

(From the tentative proposal)

*Restructuring/Reconfiguration of the Contents*

- As recommended above, the specific goal “Strengthening function of LGA to compile Community Plan” should be integrated with the one above.

*Elaboration of Existing Expression*

- 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 review should be carried out at the first place as explained.

## (6) Implications for “Improving governance” (Promoting Social Preparation)

Governance at different levels should be improved since it is among others fundamental to conduce to social preparedness for the O&OD planning process. Governance in this case includes aspects of community leadership, transparency and accountability, and networking among different levels which are inter-related.

Community leadership somehow depends on personality of leaders as well as how much community people trust them. On the other hand, capacity of leaders is also important to create followers in the community. In this regard, community leadership could be promoted particularly through capacity building of Village Chairperson and VEO as well as MEO or *Mtaa* leaders. For instance, when reviewing Community Plans, Ward Facilitators should closely work with those community leaders together with CRPs on-the-job basis, and thus they can little by little improve capacity of how to handle review process of their Plan.

Transparency and accountability issues are also of primary importance to communities since they are related to trust in community leadership. In the case of rural LGAs for instance, it was observed during the field studies, when transparency and accountability of village government are high, it enhances trust of community members in Village Chairperson, and vice versa. In preparing or reviewing the Plan both in the roll-out and R&B stages, revenue and expenditure of the village government should be fully exposed to communities, and at the same time it should be displayed in public on routine basis. To promote this aspect, WFs should monitor communities with high regard for transparency and accountability status.

Networking among all levels is also of significance to promote governance among all levels. In the vertical relation, DFs and WFs should frequently visit community to share useful and necessary information for them such as the Indicative Planning Figure of the Capacity Development Grant. WFs on the other hand should report the status and progress of Plans at least quarterly as stipulated by administrative regulations and preferably more. In the horizontal relation, information sharing between Village Council or the *Mtaa* leaders and community members are particularly weak as par transparency and accountability issues are discussed above. This aspect should be improved to enhance leadership of Village Council and *Mtaa* leaders since leadership is vital to promote concerted efforts of communities to tackle various issues. Networking among communities should also be promoted to enjoy a 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 Village Council and *Mtaa* leaders. Capacity building of WFs in this regard should be highly considered.

(From the tentative proposal)

*Restructuring/Reconfiguration of the Contents*

- “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.
- 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. Therefore, the logic behind improvement of governance in relation with social preparation could be clearly seen in the way that good governance enables the community members to trust each other and conduces to collective action taken. On the other hand, the other goal should be to strengthen the networking among all levels. A separate goal of strengthening networking could clarify the linkage with social preparation. For instance, community members promote their self-awareness by knowing situation outside community.

*Addition of New Aspects*

- Brief description of social preparation should be included somewhere within or outside the text wherewith the relation of the specific goals with social preparation could be seen.
- A means to promote transparency and accountability such as 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 notice board is supposed to be elected at each village as stipulated by law.

*Elaboration of Existing Expression*

- Some key words of social preparation such as “self-awareness,” “readiness of collective action,” and “acceptance of changes,” should be enchased.

(7) Implications for “Raising incentives of community to implement and review Community Plans” (Promoting Social Preparation)

Together with good governance, incentives of community should be raised in order to promote social preparedness to maximize effectiveness of the O&OD planning process. The incentives of community should be raised from two approaches.

First, access to information on external funding should be promoted in communities. Incentive for communities to review their Plan is expected to be enhanced with sufficient and concrete information of available funds for community betterment. To promote the access, DFs and WFs should first compile information regarding external funding available for community and then frequently share the information to communities through Village Council or *Mtaa* leaders.

Second, sense of community ownership of the Plan should be promoted. Community ownership of the Plan leads to sense of achievement which is enhanced through accumulation of successful experience in utilizing the Plan. To promote the sense of ownership, experience of the other successful communities should be introduced to the others to raise motivation for more serious utilization of the Community Plan with a positive outlook.

(From the tentative proposal)

*Elaboration of Existing Expression*

- Connection between incentives of communities with social preparation should be elaborated. Incentives of communities could promote social preparation in such a way that access to information on external resources triggers the communities to make a collective action by accepting new concepts in order to improve community life.
- It however should 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 Plans are influenced with expectation of receiving the external funds. Therefore, the timing and way of disseminating such information of external resources should be carefully handled by the Village Council and at the same time Ward Facilitators should adequately explain such a risk to the Village Council.

## CHAPTER 8

### PROPOSALS AND ACTION PLANS FOR IMPROVEMENTS OF O&OD PLANNING PROCESS

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The O&OD Study Team will present the final proposals for improvements of O&OD Planning Process in this Chapter as an outcome of the Study on Improvements of Opportunities and Obstacles to Development (O&OD) Planning Process. The following section recaptures the results of the testing activities on O&OD roll-out and Review and Backstop (R&B), confirms values of the O&OD Planning Process, and finally presents the proposals and action plans resting on the results and the values.

#### **8.1 Review on Result of R&B Testing and O&OD Roll-out Testing Activities**

The R&B testing and the O&OD roll-out testing activities were carried out from February to June 2007 based on the tentative proposals prepared in November 2006. The results of those testing activities encompass various implications in a comprehensive manner covering not only the O&OD planning methodological aspects, inclusive of R&B and O&OD, but also enabling factors especially social preparation aspects. Followings are summaries of the implications from the O&OD roll-out and embedded the R&B testing activities.

##### *Major Implication from O&OD Roll-out Testing*

The O&OD roll-out testing provided salutary implications for improvements of the roll-out process mainly in the light of three areas. First, measures taken to improve social preparation aspects were confirmed effective. Social preparation in this context means communities' awareness of significance in the O&OD, their readiness to initiate the O&OD process, and their preparedness to take an action for the process in a collective manner. In the testing, such social preparation process started from the Awareness Raising Workshop where Councilors and HoDs were sensitized to be socially prepared to start the O&OD planning process. One day pre-visit of District Facilitators (DFs) / Ward Facilitators (WFs) to Village Councils was also conducted few days before onset of the Community Planning Process (CPP). During the pre-visit, DFs/WFs facilitated the Village Council members not only to be aware of their roles in O&OD but also to preliminarily prioritize relevant objectives of TDV 2025 to be taken into account in their CPP. The Village Council members were thereby able to enhance to a substantial degree readiness for taking an initiative in the process. Being aware of their roles in the O&OD roll-out, they were in fact able to proactively map out and realize their strategy on the first and second day of the CPP for sensitizing communities. As a result, on the third day in the CPP, the number of participants or the participation rate in the village assembly hit a new record, since the initiation of the O&OD in 2002, of over 600 participants or more than 50 percents of the eligible community members in many target villages. Consequently, the processes of the fourth day and onward in the CPP were ironed out by active participation of community members.

Second, the new prioritization process proved feasible. In the conventional O&OD process, communities used to prioritize *Specific Objectives* for each of major objectives of TDV2025, which resulted in co-existence of more than 13 prioritized *Specific Objectives*. In the new prioritization process in contrast, communities are able to identify the *Specific Objectives* of high priority in a well-focused manner, involving two steps: 1) selection of relevant objectives

of TDV2025 by the community and 2) prioritization of *Specific Objectives* across all the selected objectives of TDV2025. It was assumed before the testing that the new prioritization process would be too cumbersome for communities to handle. However, as a matter of fact the communities were able to handle the prioritization process smoothly. Application of this approach enables communities to concentrate on their focus of implementation on the prioritized activities while the conventional process allows communities to have broad focus not specifying the most prioritized activities.

Third, limited capacities of the LGA in terms of human resources are reconfirmed. Capacity in this case particular means capacity of LGAs to accommodate sufficient number of officials to become DFs and WFs. Although five ward-level officers were supposed to be assigned in stead of three officers in the conventional process based on the tentative proposals, some LGAs were not able to assign five officers due to shortage of available officers at the ward level. Facing the shortage of ward-level officers, those LGAs accommodated the required number by assigning Village Executive Officers (VEO) or Mtaa Executive Officers (MEO) instead. This has an implication that the number and affiliation of WFs should be flexibly adjusted according to the different situation of the LGAs.

#### *Major Implications from the R&B Testing*

The results of R&B testing indicate significance of essential qualification for establishment of R&B mechanism. First of all, importance of improving quality of facilitation has been confirmed to a substantial extent. Through the testing activities in Bagamoyo DC, the target LGA for R&B testing, it was proved that competency of LGA and ward officers as DFs and WFs had a great influence over the performance of Village Council and community members, and thus quality of reviewed Community Plans. The quality of facilitation does not only affect performance and quality of the Plans in the review process but also continuation of the review process, implementation of the Plan, and monitoring and evaluation by community members. In this respect, continuous efforts of improving functions of LGA and ward officers in facilitating community activities should be of primary consequence.

Second, viability of incorporating community needs into the LGA Plan is also verified. The testing activities tentatively adopted utilization of a simple format to prepare a summary of activities by sector at the ward level where contents of the Community Plan were carefully and systematically taken into the simple format by WFs and DFs. During observation, no technical difficulty was detected and those facilitators were even confident in consolidating the simple format. The simple formats were then taken to the Council Management Team (CMT) members for discussion of usability. The CMT recognized the potential of the simple format during the discussion, in which the most of the members positively stressed convenience and high usability of the format in consolidating the LGA Plan.

Third, it was confirmed that social preparation was among others the most significant qualification to establish R&B mechanism. Social preparation in general terms is as touched upon earlier, to enhance social preparedness in the light of *self-awareness*, *readiness of accepting new ideas*, and *sense of collective action* in any social contexts. It is the basis of enhancing community potential for planning, implementing the Plan, and monitoring and evaluating the Plan on its own initiative. During the testing activities, it was observed that the Village Councils as well as community members were not aware of their achievements and potentials, not ready for reviewing the Plan, and thus not ready to make any collective action for community activities. Such social preparation aspects were however enhanced to some

extent though it is little, through the preparatory meeting at Village Council and the village assembly meetings in the first and second days of the review process at communities. Although it was only to a limited degree, continuous efforts of communities and facilitation of DFs and WFs would certainly enable further enhancement of self-awareness, readiness of accepting new ideas, and sense of a collective action of community members.

## 8.2 Values of O&OD Process

The results of the Study including the field studies on the current status and the testing activities for O&OD roll-out and R&B elucidate intrinsic values of the O&OD process. The intrinsic values in other words are potentialities of the O&OD process in bringing positive changes to improve the livelihood of communities. 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 the 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 Village Councils/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 Village Council/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 Village Council had been establishing mutual trust with the community members, who were actively participating in implementation of their activities under the leadership of the Village Council. 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>1</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

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<sup>1</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.



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 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 the 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 the 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 the LLGA level.

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

#### **8.3.1 Salient Features of Proposals**

The salient feature of the proposals for improvements of O&OD planning process is emphasis on three aspects including 1) social preparation at all levels, 2) collaboration among all

stakeholders and 3) strengthening of ward's roles. The proposals subsume the essence of those aspects in an explicit and implicit manner. The followings highlight how those three aspects are embedded in the proposals.

***Social preparation at all levels*** means preparedness of all the stakeholders to accept the O&OD and R&B processes to be the central means to promote: 1) Decentralization by Devolution through collaborative efforts made by different Ministries; 2) harmonization 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 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 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, Village Councils, *Mtaa* leaders, and communities.

***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 same goal. To achieve the goal of maximizing effectiveness of O&OD roll-out and R&B, collaborative efforts are the necessary qualification of 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 (Village Council 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 in order to promote harmonization among different initiatives based on their areas of concern.

***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-level 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 irregular visits of those ward officers to communities and thus lack of mutual trust between them. Another challenge is capacity of ward-level officers to effectively facilitate community leaders and community members. The Study therefore proposes that ward-level 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 down to communities.

### 8.3.2 Structure of Proposals

#### (1) Three Pillars of Proposals

Proposals for improvements of Opportunities and Obstacles to Development Planning Process consist of three pillars: i) Promoting Enabling Environment for Effective O&OD Roll-out and R&B, ii) Improving O&OD Roll-out; iii) Establishing the Review and Backstop Mechanism.

Three pillars are aiming to improve external and internal environments of O&OD participatory planning process. External environment includes factors to enable improved O&OD roll-out methodologies and established R&B mechanism while internal environment include areas to bolster or develop for improvement of O&OD roll-out methodologies and establishment of R&B mechanism. Thus, external environment associates with *Promoting Enabling Environment for Effective O&OD Roll-out and R&B* while internal environment corresponds to *Improving O&OD Roll-out Process* and *Establishing R&B Mechanism*.

*Promoting Enabling Environment for Effective O&OD Roll-out and R&B* is targeted both to those LGAs which have and have not rolled out O&OD. On the other hand, the two pillars to improve the internal environment have different targets. *Improving O&OD Roll-out Process* is targeted to those LGAs which have not rolled out O&OD while *Establishing R&B Mechanism* is targeted both to those which have and have not rolled out O&OD.

**Table 8.1 Targets of Proposals**

Pillars	LGAs which have rolled O&OD	which not out	LGAs which have rolled out O&OD
Promoting Enabling Environment for Effective O&OD Roll-out and R&B	✓		✓
Improving O&OD Roll-out	✓		-
Establishing the R&B Mechanism	✓		✓

(2) Seven Strategic Goals under Pillars

Under three pillars are seven Strategic Goals including different aspects to improve the O&OD participatory planning. Those seven Strategic Goals are inductively generalized after the studies on status of and testing and piloting activities for O&OD roll-out and R&B. Justification of including those Strategic Goals is found in the Chapter 2-7 and however brief explanation is herewith added by Strategic Goal as follows.

*1.1 Promoting Social Preparedness at Community (Promoting Enabling Environment for Effective O&OD Roll-out and R&B)*

Social preparedness embraces latent values of self-awareness, readiness of accepting new ideas, and readiness of making a collective action in any social context. Those values are fundamental for communities to enhance ownership of their Community Plan. To achieve those values, *social preparation* is of primary magnitude. *Social preparation* is like social preparedness but the former is dynamic while the latter is static, meaning that *social preparation* is a process of making communities aware of itself, ready for accepting a new concept, and ready to make a collective action while social preparedness is the state of communities in those values. In this respect, whatever the new process is going to be in place, communities should be sensitized beforehand to be ready to cope with the new process within their capacity. Accumulation of experience in *social preparation* as a consequence will enhance social preparedness of communities in a holistic manner.

*1.2 Promoting Policy Environment (Promoting Enabling Environment for Effective O&OD Roll-out and R&B)*

Policy support is the cornerstone to promote O&OD roll-out and R&B stage as long as those concepts are initiated by the Government. In the current situation however, Community Plans prepared through O&OD planning process are not sufficiently considered by the LGA as well as the Central Government for its budget allocation. As a matter of fact, this has to do with

some of the current situations in policy environment. First, LGA's budget is still to a large extent based on the vested interests of each sector department which is largely influenced by sector budget allocation from the Central Government. Therefore, decision of budget allocation within sector at the LGA level is rather based on sector department concerns but community needs. Second, harmonization among sectors and sub-sectors to optimize the LGA Plan to be community-needs-oriented is thus needed at all level. However, sector coordination has become a mere *façade* in the current situation. In order to make break through of the situation, all levels of officials should be sensitized on the importance of assimilating community needs into LGAs Plans through the O&OD planning process. Sensitization should be initiated from high rank officials in the Central Government.

### *2.1 Assuring Quality of Facilitation (Improving O&OD Roll-out Process)*

Facilitation is a key factor to assure the quality of Community Plans which is one of the fundamental values in promoting implementation of the Plan. Facilitation is carried out in the context of the O&OD roll-out by LGA and ward officers as DFs and WFs, and CRPs. To optimize the quality of facilitation therefore, those facilitators should be carefully selected and arranged by LGAs as well as by communities. In the LGA, emphasis should be placed on arrangement of DFs and WFs rather than selection due to limitation of available LGA officers. In communities on the other hand, both selection and arrangement should be carefully made.

### *2.2 Improving Roll-out Methodology (Improving O&OD Roll-out Process)*

The O&OD roll-out process has been continuously discussed and improved under the initiative of PMO-RALG since its initiation in 2002. Thanks to those initial improvements, this Study has been able to focus on areas which still have a room to improve. Those areas are principally to add some values on the sustainability aspects to the existing O&OD roll-out process. To add values on sustainability, new concepts and approaches in the existing process should be embedded. Those new concepts and approaches include *social preparation*, introduction of R&B, and a new approach for community prioritization. Those aspects would be to a considerable degree conducive to improve sustainability of the process.

### *3.1 Establishing and Disseminating Review and Backstop Guidelines (Establishing R&B Mechanism)*

In order to establish R&B mechanism, an appropriate guidance anchored in R&B mechanism documents from the Central Government should be provided at all levels. Without an appropriate guidance which entails an effective facilitation, R&B concepts cannot be apprehended in a concrete manner at all levels and no tangible achievement can be made so as to establish R&B mechanism. In order to make all stakeholders know the concepts of R&B, the documents should be targeted to be used by all stakeholders including policy makers at the Central and the LGA levels, facilitators at all levels, Village Council, CRPs, and community members.

### *3.2 Building Capacity of Facilitators (Establishing R&B Mechanism)*

The role of facilitators is notably of primary importance since it affects to an extensive degree quality and sense of community ownership of the Plan. However, capacity of facilitators in particular DFs and WFs is not necessarily sufficient both to assure the quality of the Plan and to promote community ownership of the Plan in the current situation. In particular, if O&OD

was rolled out in a LGA in the early stage (such as in 2002 or 2003), then the LGA has a high possibility of lacking trained DFs and WFs due to transfer to a different LGA and retirement. In this case, capacity of DFs and WFs should be built in an intensive manner in the R&B stage as in the roll-out stage since many of the DFs and WFs will be exposed to both O&OD and R&B concepts for the first time.

**3.3 Incorporating Community Needs into LGA Plan (Establishing R&B Mechanism)**

A LGA Plan is supposed be agglomeration of community needs which match with the national policy. In the current status, however, arbitrariness of LGAs in reflecting community needs in a LGA Plan can not be cast aside. This is attributable to some reasons. First, mechanism of incorporating community needs into a LGA Plan is not in place. Second, vested interests of sector departments in the LGA as well as the Central Government have an influence over the design of LGA Plans. Third, quality of Community Plans is not durable enough to be part of the LGA Plan. To minimize the drawback arisen from the first and second reasons, usage of a simple format was confirmed effective during the O&OD roll-out and R&B testing activities. In addition, further discussion from technical point of view should be made on how to compile community needs utilizing the existing data base system.

(3) Specific Goals under Strategic Goals

Specific Goals under Strategic Goals were tentatively set out after field studies on status of O&OD roll-out and post roll-out in the earlier stage of the Study and fine-tuned after O&OD roll-out and Review and Backstop testing activities. Table 1 shows relation among 7 Strategic Goals and 18 Specific Goals under 3 pillars of Strategic Areas. Following sub-section further elaborates those Specific Goals as core components of the proposals.

**Table 8.2 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 R&B	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 Policy Environment	1.2.1 Optimizing institutional set-up for O&OD roll-out and R&B
		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 Community Resource Persons
	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 the Review and Backstop Mechanism	3.1 Establishing and Disseminating R&B Mechanism	3.1.1 Establishing Review and Backstop mechanism documents
		3.1.2 Disseminating Review and Backstop 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 DF and WF
		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		

### 8.3.3 Proposals by Specific Goals

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

##### 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 implement and review Community Plan

##### 1.1.1 Improving governance

Governance at the community level should be improved since it is among others fundamental to conduce to social preparedness for the O&OD planning process. Governance in this case includes aspects of community leadership and transparency and accountability.

Community leadership is an inalienable factor for the promotion of self-awareness, readiness of accepting new ideas, and sense of collective actions in communities. Community leadership could be promoted particularly through capacity building of Village Council members, VEOs, MEOs, *Mtaa* leaders and CRPs who play the central role of facilitating community activities in reviewing, implementing, monitoring and evaluating the Plan.

In order to promote the community leadership through capacity building, WFs 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 Plan, those leaders enhance mutual trust with other community members, with their confidence fortified by strengthened capacity in facilitation.

Transparency and accountability issues are also of primary importance to communities since it enhances mutual trust between community leaders and other community members and thus nourishes sense of collective actions. In preparing or reviewing the Plan both in the roll-out and R&B stages, revenue and expenditure, an existing Community Plan, and other valuable information for community members should be fully exposed, and at the same time it should be displayed in a public place on a routine basis.

To promote this aspect, 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 the progress of plan implementation. 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 and a suggestion box at least in each community.

##### 1.1.2 Strengthening networking at all level

Networking among all levels is important to promote social preparedness at a community in

the way that it enhances self-awareness and readiness to accept new concepts through exposition to comparative values outside the community.

In the vertical networking, DFs should frequently visit wards, and WFs should frequently visit communities to construct mutual trust at the first place. Without the mutual trust constructed between WFs and communities, WFs 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 plan implementation 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 to be able to provide appropriate responses to the status. In this context, WFs as front line officers of the LGA should function to promote community development through implementation of Community Plans and as catalysts at the same time to promote reporting role of communities to the LGA.

In the horizontal relation, mutual trust between Village Council 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 Village Council and *Mtaa* leaders. Capacity building of WFs in this regard should be highly considered.

### *1.1.3 Raising incentives of community to leverage Community Plans*

To promote social preparedness at communities, incentives of communities to utilize Community Plan should be raised. Through optimum utilization of the Plan in the process of implementation, review, monitoring and evaluation, community members would be aware of their achievement and capacity to overcome their challenges, enhance readiness of accepting new ideas to reinforce their capacity, and foster sense of collective actions to further tackle with their challenges. To attain this, the incentives of communities should be raised particularly from two perspectives.

First, 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 of available resources for community development. To promote the access, DFs and WFs should first compile information regarding external resources available and then share the information with communities through Village Councils or *Mtaa* leaders. However, the timing and way of disseminating such information of external resources should be carefully handled by DFs and WFs. When disseminating the information, WFs should adequately explain a risk to Village Councils 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.

Second, ownership of the Plan should be promoted to raise the incentive to fully leverage the 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. In this case, it is ideal to select successful cases from the community in socially, culturally, economically, and agro-ecologically similar conditions since community members may be discouraged when exposed to the better enabling environment in producing successful cases.

## 1.2 Promoting Policy Environment

- 1.2.1 *Optimizing institutional set-up for O&OD Roll-out and R&B*
- 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 Plans*

### 1.2.1 *Optimizing institutional set-up for O&OD Roll-out and Review and Backstop*

To promote policy environment for effective O&OD roll-out and R&B, institutional set-up should be optimized in setting up inter-ministerial and inter-departmental collaborations. Inter-ministerial and inter-departmental collaborations should be made particularly to promote Decentralization by Devolution (D by D), within which O&OD roll-out process and R&B mechanism are supposed to be embedded as an engine. In the current situation however, one of the bottlenecks in policy environment to promote D by D is as generally recognized insufficient inter-ministerial and inter-departmental harmonization due to lack of communication, coordination and thus collaboration to gear up for D by D.

To promote this aspect, institutional set-up for two levels should be considered: decision making and operational levels. 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 the Budgeting Guidelines and budget allocations, consisting of Ministry of Finance and Planning (MOFP), Prime Minister's Office (PMO), PMO-RALG, President's Office-Public Service and Management (PO-PSM), together with President's Office (PO) and Vice President Office (VPO). 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.

For operational level on the other hands, institutional set-up should be considered at each level. First, the O&OD Unit should be established within PMO-RALG. O&OD Unit should bridge different Divisions within PMO-RALG to realize collaborative efforts for promotion of 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. 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 DPP at each ministry, the Management Support Service within the Regional Secretariat at the regional level, and the



Planning Department at the 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 the 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.

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

In order to promote policy environment for effective O&OD roll-out and R&B, social preparation of policy makers are fundamental. “Social preparation” in this context is awareness of challenges in the current policy environment, readiness of accepting O&OD roll-out and R&B concepts to overcome the challenges and pro-activeness toward concerted efforts to promote O&OD roll-out and R&B activities. “Policy makers” on the other hand are administrative leaders or cadres in the Central Government such as Permanent Secretaries of all Ministries, Regional Administrative Secretaries, and Directors. In this light, social preparation of policy makers is extremely important to entrench the O&OD in the current policy environment wherein many policy makers have not had any chance to understand by rule and line the concept of O&OD roll-out process and R&B.

To raise awareness of policy makers to be socially prepared, workshops should be held in an appropriate setting. In the workshops, at least some essential topics should be covered such as: i) 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 Community Plans and the LGA Plan and budget v) harmonization 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 O&OD 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 harmonization of various initiatives with O&OD.

### *1.2.3 Harmonizing other initiatives with O&OD*

To promote policy environment to optimize effectiveness of O&OD planning process, it is important to harmonize other initiatives with the O&OD. Harmonization in this case is to strengthen a linkage of a Community Plan with various initiatives at the community level, making use of strengths in each initiative. As discussed earlier in Chapter 2, the other initiatives at the community level beside the O&OD planning process are categorized into i) sector focused initiatives and ii) project focused initiatives. The former produces a plan covering prioritized activities in a particular sector or sub-sector while the latter produces a plan for a specific project or program.

Those two types of the initiatives could be in harmony with the O&OD planning process when they are to supplement technical aspects and promote implementation of Community Plans. To promote the harmonization, following aspects particularly should be strengthened.

First, priority in communities set in the O&OD planning process should be followed by the

other initiatives as much as possible since Community Plans are the only plans elaborating community needs in a comprehensive manner through the intensive participatory planning process applied nationwide. However, there might be an infeasible *Specific Objectives, Steps of Implementation, and Implementation by Year (what village can do and what village can not do)* included in Community Plan. In this case, those infeasible parts could be revised in consultation with communities in a Village Assembly in case of rural LGAs.

Second, 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 areas of concern. 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 assistances to prepare a proposal and oversee implementation. To promote those aspects, extensive supports of LGA and ward officers are needed.

Third, it is among others vital to have common recognition and understandings among stakeholders of how to optimize O&OD planning process in harmony with other initiatives. Stakeholder workshop should be held not only at the national level but also at the LGA level in order to sufficiently share information on what initiatives are going on at the community level and how those initiatives could be in harmony with the O&OD planning process

#### *1.2.4 Strengthening funds flow to Community Plans*

Fund flow to Community Plans should be strengthened to promote policy environment of optimizing effectiveness of the O&OD planning process. To strengthen fund flow to community Plans, two directions of efforts should be made: LGA's efforts to allocate funds based on community needs and community effort's to receive funds.

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, the Community Plans should be efficiently incorporated into the LGA plan and budgets. 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 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 School Plan and Village Agricultural Development Plan.

On the other hand, community efforts should also be made to acquire available external resources for communities. As proposed above, LGA and ward officers should first sufficiently share the information regarding external funding available for communities through Village Councils 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 through giving a hand to work out a proposal to receive external funds.

## 2 *Improving O&OD Roll-out Process*

### 2.1 *Assuring Quality of Facilitation*

- 2.1.1 *Optimizing arrangement of Facilitator.*
- 2.1.2 *Promoting role of Community Resource Persons*

#### 2.1.1 *Optimizing arrangement of Facilitators*

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. Because of their administrative function, the facilitation role of the ward is among others significant to promote community initiatives along with the O&OD concepts. To optimize arrangement of WFs, following areas should be particularly promoted.

First, more ward officers should be assigned to be WFs to facilitate CPP in order to widen sector coverage of WFs. In the conventional O&OD roll-out process, three ward officers are assigned as WFs for one ward, including WEO and other two extension officers, meaning that sector coverage is only two at most. To improve the situation, a facilitation team, lead by WEO, should be formed including five ward officers including two more ward extension officers. The team should facilitate the CPP and the R&B stage in a collaborative and continuous manner. Although the LGA may not see in a significant manner the effectiveness of increase in sector coverage when rolling out, increase in the sector coverage of WFs will contribute to a large extent when the team is facilitating and monitoring the implementation of Community Plan, where expertise in sectors or sub-sectors are required.

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 in order to avoid lowering quality of services they are delivering.

Third, when a LGA does not have enough number of ward officers for WFs, another opportunity is to make use of resources available in the community. In other words, Village Executive Officers (VEOs) and Mtaa Executive Officers (MEOs) can be also part of the facilitator team. They should be carefully selected in consultation of WEOs in their duty station since he/she knows who is the most appropriate VEO or MEO to carry out the tasks as a WF.

### *2.1.2 Promoting role of Community Resource Persons*

Roles of CRPs should be promoted since they are in the key position of communities to strengthen community initiatives as facilitators and at the same time catalysts to bridge LGAs and communities being as part of community members. Their role should be emphasized not only in the roll-out stage but also in the R&B stage.

In the current situation however, CRPs are not appropriately functioning during the CPP as seen that they are rather part of participants in the process in stead of facilitating the process. Due to a vague definition of their role which makes CRPs unaware of their significant position, it is inevitable that they do not only play a significant part in facilitating the CPP of the O&OD roll-out stage but also in facilitating implementation, review and monitoring and evaluation of the Community Plan in the R&B stage.

To promote role of CRPs, a 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 Village Council members/*Mtaa* leaders who inform roles of CRPs to community members in clearly understandable terms at the village assembly/the *Mtaa* meeting and at the same time on the notice board. The Village Council 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.

## *2.2 Improving Roll-out Methodology*

*2.2.1 Increasing effectiveness of Orientation, Workshop, Training*

*2.2.2 Increasing effectiveness of Community Planning Process*

### *2.2.1 Increasing effectiveness of Orientation, Workshop, and Training*

NFs orientation, Awareness Raising Workshop (ARW), and DF/WF Training dominate effectiveness of the Community Planning Process and even the Review and Backstop stage after the roll-out since those inoculate initial values to those who promote community initiatives including NFs, councilors, CMT members and DFs/WFs. In order to increase the effectiveness, following measures particularly should be taken.

#### *Sensitizing stakeholders on Review and Backstops*

Significance of Review and Backstop should be emphasized from the roll-out stage in order for all stakeholders to be able to see beyond the ongoing roll-out activities. It is essential to

elaborate the linkage between the O&OD roll-out process and R&B stages to make the stakeholders understood that the roll-out is not a transient exercise but a continuous process. The concept should be introduced at all the opportunities through NF Orientation, ARW, and DF/WF Training. NFs 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' role

Roles of Councilor should be clearly indicated during ARW 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 O&OD planning process. Councilors in fact could play a significant role as part of O&OD roll-out since they have influence to a large degree on mobilizing ward-level officers, Ward Development Committee (WDC) members as well as communities. In the wake of the importance on R&B after sensitized in the ARW as described earlier, Councilors also should pre-sensitize communities to be aware of importance of the post O&OD roll-out stage, stressing that O&OD is only a methodology to enable communities to be empowered and sustainable when the communities effectively utilizes the Community Plans after the O&OD roll-out.

#### Introducing a new prioritization approach

The new prioritization approach should be introduced in NF Orientation and DF/WF Training. In the conventional O&OD roll-out, each of the 13 major objectives of TDV2025 was followed when communities identify *Specific Objectives*. The *Specific Objectives* are then prioritized within each of the objectives of TDV2025. As a result, 13 *Specific Objectives* of top priority are identified. On the other hand, the new prioritization process involves the three stages: 1) selection of relevant objectives out of TDV2025; 2) identification of *Specific Objectives* according to the selected objectives of TDV2025; and 3) prioritization of *Specific Objectives* across the selected objectives of TDV2025. 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. The process should be introduced in the NF Orientation, and NFs then facilitate DFs/WFs to operate the pre-visit. One day pre-visit is currently included during the process of the DFs/WF Training 3-4 days before initiating the CPP. However, it is not effectively pre-sensitizing communities, only providing a brief introduction to Village Council members/*Mtaa* leaders. To effectively sensitize the Village Council members/*Mtaa* leaders to be ready for accepting the coming CPP, some modification is necessary in the pre-visit. First, the DFs/WFs should facilitate the Village Council members/*Mtaa* leaders to start discussing on how to sensitize community members. Second, 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, Village Council members/*Mtaa* leaders are able to foster their sense of ownership.

## 2.2.2 Increasing effectiveness of Community Planning Process

To increase effectiveness of CPP, two areas should be particularly considered: whether communities are aware of and ready for accepting the O&OD roll-out; and whether community needs are efficiently reflected in the Community Plan. The following measure should be adopted to accommodate the areas.

### Social Preparation

Social preparation components should be included in 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 out in a collective manner. To promote this aspect, two more days should be added at the beginning of the conventional CPP. Those two days are continuation from the pre-visit in the sense that pre-visit is also part of social preparation where the Village Council members/*Mtaa* leaders foster their sense of ownership. Based on the sense of ownership fostered during pre-visit, the first day should be used by the Village Council members/*Mtaa* leaders to discuss what strategy should be taken in order to sensitize community members. The second day should be used to sensitize community members based on the strategy or ideas that the Village Council members/*Mtaa* leaders come up with on the first day. When community members meet in the village assembly or the *Zone/Mtaa* meeting on the third day, it is able to ensure to a certain degree their readiness to accept the O&OD roll-out process.

### Application of new prioritization approach

A new prioritization process should be adopted in the CPP as proposed earlier in the section of *introducing new prioritization approach*. Based on the new approach, community members come up with *Specific Objectives* for each of the relevant objectives of TDV2025 already selected by the Village Council members/*Mtaa* leaders during the pre-visit. Those *Specific Objectives* are then prioritized by the Village Council members/*Mtaa* leaders across the objectives of TDV2025. The Village Council members/*Mtaa* leaders should include only the first 10 *Specific Objectives* in the Three-Year Plan at most. Currently, only 13 of the most prioritized *Specific Objectives* under each of the 13 major objectives of TDV2025 is included in the Plan. In this case, some *Specific Objectives* of second priority under certain objectives of TDV2025 are ignored even if they are of higher priority as a whole than the top priority *Specific Objectives* under the other objectives.

## 3 Establishing the Review and Backstop Mechanism

### 3.1 Establishing and Disseminating R&B Mechanism

#### 3.1.1 Establishing Review and Backstop mechanism documents

#### 3.1.2 Disseminating Review and Backstop mechanism documents

#### 3.1.1 Establishing Review and Backstop mechanism documents

Review and Backstop mechanism documents should be established at the first place in order to conduce to full awareness of importance in R&B and practical sense in operating its process at administrative and political levels as well as the citizen level. In this regard, users of the mechanism documents should be assumed for anybody including administrators, politician and community members. However, since it is assumed that the documents will be extensively utilized particularly by the facilitators including NFs, DFs, and WFs, practical

approaches taken during the R&B process should be clearly indicated in the text.

In the documents, the review part and the backstop part could compose separate chapters, defining “review” and “backstop” and elaborating why, who, when, and how to review and backstop. As part of how to review and backstop, steps of review process at the community level and those of sensitization and orientation in R&B at the LGA level could be included and those are to be major components in the documents.

In addition, a separate chapter for Participatory Monitoring and Evaluation (PM&E) at communities could be included in the documents. It is appropriate to have a separate chapter for PM&E in order to make readers understand that approach to be taken for review process is different from that for PM&E. To be more specific, time span of review process of the Plan at communities could be intensively carried out in a certain period in a year whereas that of PM&E should be facilitated and carried out throughout a year.

However, R&B and PM&E are inseparable concepts and in conjunction with one another in the sense that the review is carried out fully taking into consideration the result of PM&E. In this regard, the consecutiveness of those two concepts should be at the same time clearly indicated in the documents.

Once the R&B mechanism document is ready, it should be included as part of the O&OD Handbook not as a separate handbook. The reason is that the Handbook will accommodate utilization both by LGAs which rolled out and which will roll out the O&OD. The former will be able to recall the O&OD roll-out process during the R&B activities, and the latter will be able to see the consecutiveness between the roll-out and R&B in advance even from the roll-out stage.

### *3.1.2 Disseminating Review and Backstop mechanism documents*

Once the document is prepared, it should be included in the annex part of the O&OD Handbook and a popular version of O&OD Handbook inclusive of R&B aspect should also be prepared particularly targeting community members. 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 LGAs and/or facilitated by PMO-RALG. Electronic version also should 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 even O&OD itself has not necessarily been recognized to a sufficient extent by the public.

## *3.2 Building Capacity of Facilitators*

- 3.2.1 Sensitizing stakeholders on importance of R&B*
- 3.2.2 Strengthening facilitation, M&E capacity of DF, and WF*
- 3.2.3 Strengthening facilitation, M&E capacity of community*

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

Sensitizing stakeholders on importance of R&B are of considerable importance since the concept of R&B has not even been substantiated. Sensitizing community members is of paramount importance since they are the main actors of implementing, reviewing, monitoring and evaluating the Community Plan. Sensitization of community leaders and facilitators thus is absolutely imperative taking into account that the stance taken by community leaders has an influence over the community members in no small measure, and performance of facilitators also tends to be emulated by those who are facilitated or supported including community leaders. Sensitization of administrative leaders is at the same time significant to create enabling environment of establishing R&B mechanism which promotes community initiatives to be implemented on the basis of the Community Plans and substantiates incorporation of the Community Plans into the LGA Plan to be efficaciously budgeted for betterment of communities.

In order to sensitize stakeholders, a sensitization workshop 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 as shown in Table 8.3. In those opportunities for the sensitization, the concepts of R&B and role 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 a 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.

**Table 8.3 Sensitization of Stakeholders on Review and Backstop**

	Who are sensitized	Opportunities set-up	Expected role
Central Government	<ul style="list-style-type: none"> <li>Government Officials</li> </ul>	<ul style="list-style-type: none"> <li>Sensitization Workshop</li> </ul>	<ul style="list-style-type: none"> <li>Having an influence over decision making in preference of O&amp;OD</li> </ul>
	<ul style="list-style-type: none"> <li>National Facilitators</li> </ul>	<ul style="list-style-type: none"> <li>Orientation session for NFs</li> </ul>	<ul style="list-style-type: none"> <li>Appropriately facilitating and backstopping DFs and WFs</li> </ul>
LGA	<ul style="list-style-type: none"> <li>Council Management Team members</li> </ul>	<ul style="list-style-type: none"> <li>Sensitization Workshop</li> </ul>	<ul style="list-style-type: none"> <li>Promoting multi-sectoral approach of LGA based on community needs without clinging to their vested interests in the sector</li> </ul>
	<ul style="list-style-type: none"> <li>DFs</li> <li>WFs</li> </ul>	<ul style="list-style-type: none"> <li>Orientation session for DFs and WFs</li> </ul>	<ul style="list-style-type: none"> <li>Appropriately facilitating and backstopping communities</li> </ul>
Community	<ul style="list-style-type: none"> <li>Village Council members (Rural LGAs) / <i>Mtaa</i> leaders (Urban LGAs)</li> <li>Local leaders</li> <li>CRPs</li> </ul>	<ul style="list-style-type: none"> <li>Village Council meeting (Rural LGAs)</li> <li>WDC meeting (Urban LGAs)</li> </ul>	<ul style="list-style-type: none"> <li>Effectively mobilizing communities</li> <li>Appropriately facilitating community members to implement, review, monitor, and evaluate the Plan on their own initiative</li> </ul>
	<ul style="list-style-type: none"> <li>Community members</li> </ul>	<ul style="list-style-type: none"> <li>Village assembly meeting (Rural LGAs)</li> <li>Zonal / <i>Mtaa</i> meeting (Urban LGAs)</li> </ul>	<ul style="list-style-type: none"> <li>Being aware of themselves, ready to accept a new concepts, and ready to make a collective action</li> <li>Implement, review, monitor, and evaluate the Plan on their own initiative</li> </ul>



### 3.2.2 Strengthening facilitation and M&E capacity of DF and WF

Capacity of LGA and ward officers as DFs and WFs should be strengthened in two arenas: facilitation capacity and monitoring and evaluation (M&E) capacity.

#### (Facilitation Capacity)

Facilitation capacity of DFs and WFs is to promote leadership of the Village Council (in rural LGAs)/ the WDC (in urban LGAs) to actualize implementation, review, monitoring and evaluation of the Community Plan under the initiative of community members, and to backstop the Village Council members/*Mtaa* leaders to assure quality of those activities whenever necessary.

**Table 8.4 Facilitation and M&E Capacities**

	Capacity to:
Facilitation capacity	<ul style="list-style-type: none"> <li>Facilitate Village Council members/<i>Mtaa</i> leaders to facilitate implementation, review of Community Plan</li> <li>Facilitate Village Council members/<i>Mtaa</i> leaders to facilitate participatory monitoring and evaluation by communities</li> <li>Assure quality of implementation, review, monitoring and evaluation of Community Plan</li> </ul>
M&E capacity	<ul style="list-style-type: none"> <li>Monitor progress of implementing Community Plan</li> <li>Provide technical advise to Village Council members/<i>Mtaa</i> leaders and/or communities for the implementation</li> <li>Evaluate the governmental intervention of implementing Community Plan</li> <li>Improve governmental intervention based on the results of evaluation</li> </ul>

In order to improve the facilitation capacity of DFs and WFs, NFs first should be oriented at the national level and then an orientation session for DFs and WFs should be set up at the LGA level. Facilitated by NFs in the session, DFs and WFs will recapture basic concepts necessary for the O&OD planning process including TDV2025, participatory tools to collect community data, Community Plan, prioritization of *Specific Objectives* and Three-Year Plan and at the same time develop skills of how to facilitate and promote the R&B activities. After the session, DFs and WFs facilitate the Village Council members/*Mtaa* leaders and CRPs to take initiative of reviewing their Community Plan. Once the plans are reviewed, DFs and WFs may compile them and submit to the LGA who then compiles community needs into the LGA Plan. Table 8.5 summarizes opportunities set-up and expected roles of facilitators at different levels.

**Table 8.5 Orientation of Facilitators on Review and Backstop**

	Who are capacitated	Opportunity set-up	Who set up opportunity		Expected role
			1 <sup>st</sup> year	From 2 <sup>nd</sup> year	
National	<ul style="list-style-type: none"> <li>National Facilitators</li> </ul>	<ul style="list-style-type: none"> <li>Orientation session for NFs</li> </ul>	PMO-RALG	-	<ul style="list-style-type: none"> <li>Appropriately facilitating and backstopping DFs and WFs based on theoretical and practical competency</li> </ul>
LGA	<ul style="list-style-type: none"> <li>DFs</li> <li>WFs</li> </ul>	<ul style="list-style-type: none"> <li>Orientation session for DFs and WFs</li> </ul>	PMO-RALG LGA	LGA as needed	<ul style="list-style-type: none"> <li>Appropriately facilitating and backstopping communities, based on theoretical and practical competency with full consideration of initiatives by Village Councils or <i>Mtaa</i> leaders</li> </ul>
Comm-unity	<ul style="list-style-type: none"> <li>Village Council members (Urban LGAs) / <i>Mtaa</i> leaders (Rural LGAs)</li> <li>CRPs</li> </ul>	<ul style="list-style-type: none"> <li>Preparatory Village Council meeting (Rural LGAs)</li> <li>WDC meeting (Urban LGAs)</li> <li>Re-planning process</li> </ul>	LGA	Village Council (Rural LGAs) / WDC (Urban LGAs)	<ul style="list-style-type: none"> <li>Appropriately facilitating community members to implement, review, monitor, and evaluate the Plan on their own initiative</li> </ul>

Contents and a time frame of orientation session should be flexibly adjusted according to the

budget available, elapse of the time after the roll-out, and the number of experienced DFs/WFs available. In those LGAs which spent a long period after the O&OD roll-out, a particular effort should be made on making participants internalize the concepts of O&OD. Furthermore, as for the sensitization session, the LGA may not have to hold orientation session every year. Flexibility is needed from the second year according to the various circumstances of each LGA, taking into consideration that facilitation capacity should be improved by the LGA and communities in a continuous manner since the R&B process is supposed to be owned by the LGA and communities eventually.

*(M&E Capacity)*

Monitoring capacity is to effectively keep track on the progress of implementing Community Plans and provide technical advice when observed necessary. Evaluation capacity on the other hand is to assess the governmental intervention of implementing Community Plans and improve the coming intervention based on the result of the evaluation.

To strengthen M&E capacity of DFs and WFs, 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 DFs and WFs to be unable to sufficiently visit to communities for M&E is lack of transportation means.

The progress reports may also help DFs and WFs to understand ongoing situation at the community level to a large degree, and thus they should be prepared monthly, quarterly, and annually in an appropriate manner by Village Councils in the case of rural LGAs as it is already explained clearly in the existing *Training Manual of the Opportunities and Obstacles to Development: A Community Participatory Planning Methodology*.

It is worth emphasizing that frequent visits of WFs/DFs to communities has a significant value to construct mutual trust between WFs/DFs and community leaders and members. Without the constructed mutual trust, facilitators are not able to support the communities and at the same time communities are not able to be comfortably facilitated. In this regard, M&E capacity is bound up with the facilitation capacities.

3.2.3 *Strengthening facilitation and participatory M&E capacity of Community*

To establish R&B mechanism, it is of primary importance to enhance facilitation and M&E capacity of community members including Village Council members /Mtaa leaders, CRPs and other community members.

Table 8.6 summarizes what capacities of whom are expected. *Facilitation capacities* at the community level means particularly of Village Council members /

**Table 8.6 Facilitation and M&E Capacities at Community**

	Capacity to:	Capacity of:
Facilitation capacity	<ul style="list-style-type: none"> <li>Facilitate implementation and review of Community Plan</li> <li>Facilitate participatory monitoring and evaluation of community members.</li> </ul>	<ul style="list-style-type: none"> <li>Village Council members/ Mtaa leaders</li> <li>CRPs</li> </ul>
M&E capacity	<ul style="list-style-type: none"> <li>Monitor progress of implementing Community Plan</li> <li>Fine-tune implementation of Community Plan</li> <li>Evaluate the community intervention of implementing Community Plan</li> <li>Refine and improve community intervention based on the results of evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Village Council members/ Mtaa leaders</li> <li>CRPs</li> <li>Other community members</li> </ul>

*Mtaa* leaders and CRPs while *M&E capacity* at communities means of all community members inclusive of Village Council members / *Mtaa* leaders and CRPs and other community members.

*(Facilitation Capacity)*

Facilitation capacity of Village Council 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 Village Council members / *Mtaa* leaders and CRPs should be very attentively and closely assisted by WFs and DFs in the opportunity set up by the LGA (see Table 8.5). From the second year onward, particularly WFs should continuously assist Village Council members / *Mtaa* leaders and CRPs to facilitate community members to implement, review, monitor and evaluate their Community Plans. Continuous supports of WFs and continuous efforts of Village Council members / *Mtaa* leaders and CRPs in facilitating community members are extremely important to make themselves enhance their supporting and facilitation capacity since their capacity will be gradually enhanced as their experiences are accumulated.

*(Monitoring and Evaluation Capacity)*

Capacity of Village Council 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 contrast to the M&E by DFs and WFs as described above, PM&E is exclusively carried out within a community based on its shared values. Through the PM&E, the community will enhance ownership of its Community Plan and thus increasingly make efforts to sustain community activities.

In order to develop PM&E capacity of communities, NFs, DFs, and WFs first should be familiar with the concepts and methodology. PM&E thus should be introduced in the orientation of NFs and DFs/WFs who then orient the Village Council members / *Mtaa* leaders and CRPs to facilitate other community members as in the opportunities shown in Table 8.5. However, the opportunities may not be sufficiently conducive to internalization of the concepts and methodology of PM&E for those facilitators, Village Council members / *Mtaa* leaders and CRPs since the opportunity will be only utilized to introduce theoretical aspects of PM&E without practical experience. The reason why the opportunity in Table 8.5 can not suffice for practical experience is because PM&E is a continuous process carried out throughout a year unlike review process of the Community Plan which takes place only for a certain period in a year. Hence, it is difficult to fit the practical component of PM&E in the opportunities shown in Table 8.5. 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 the community level apart from the opportunity set-ups in the Table 8.5.

### 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*

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

Mechanism of compiling Community Plans into the LGA plan should be established in a

tangible manner in order to promote efficient and effective allocation of LGA budgets according to community needs. In the current situation, community needs are arbitrarily reflected into the LGA plan since community needs appeared on the Community Plans are not systematically compiled and shared among various departments in the LGA. It is however imperative for the LGA to properly recognize needs corresponding to reality at the community level in order to assure efficiency and effectiveness of its service delivery through justifiable allocation of the LGA budget.

Establishing mechanism of compiling community needs into the LGA plan should be promoted from two approaches. First, a simple format should be adopted at the ward level 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 responsibility in reporting, and submitted to the LGA which then reallocates the submitted formats to the concerned departments to prepare sector or sub-sector budgets. In the case of the rural process, simple formats summarize all the Village Plans within a ward by sector and sub-sector, while in the urban process the formats are used to disaggregate the Ward Plan by sector and sub-sector.

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

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

To promote efficient and effective allocation of LGA budgets according to community needs, strengthening capacity of ward and LGA officers is as critical as establishing the system to compile Community Plans into the LGA plan. Even if the system of compiling community needs is established adopting utilization of a simple format at all LGAs, the system does not function unless those LGA officers who utilize the simple format are aware of the significance of the format and are able to utilize them in an appropriate manner.

To realize this, the significance of utilization of a simple format and how to compile community needs in the simple format should be elaborated in the opportunity set-ups shown in Table 8.5. In the case of rural LGAs where Community Plans are prepared at the 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 the ward level, so the preparation of simple format means disaggregating the activities by sector. This task is also done by the WEO and other ward officers. Ward Officers therefore should become able to compile community needs into the format.

Once LGA officers become capable of compiling community needs into the simple format, they are expected, through compilation of community needs, to be aware of the gap between existing activities monitored by them and community needs compiled from Community Plans. Those officers thereby become aware of how important is their reporting role as part of the LGA employee being closer to communities.

## 8.4 Action Plans for Improvements of O&OD Planning Process

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

Strategic Goal	Specific Goal		Action	Main Actor	2008	2009	2010	2011	2012	
1.1 Promoting Social Preparedness at Community	1.1.1 Improving governance	Fostering community leadership through capacity building of VC members/ <i>Mtaa</i> leaders, VEOs/MEOs, and CRPs	Indicating responsibilities of WFs in the O&OD manuals	PMO-RALG	■					
			Making WFs fully aware of their roles in closely facilitating VC members/ <i>Mtaa</i> leaders, VEOs/MEOs, and CRPs at DFs/WFs Training in the O&OD roll-out and orientation sessions for R&B	Council Directors HoDs NFs DFs	■					
			Continuously making efforts of facilitating WFs to be closely working with VC members/ <i>Mtaa</i> leaders, VEOs/MEOs, and CRPs until mutual trust between WFs and communities is fostered	Council Directors HoDs DFs	■	■	■	■	■	■
			Continuously facilitating VC members/ <i>Mtaa</i> leaders, VEOs/MEOs, and CRPs to review, implement, monitor and evaluate Community Plans, through which they foster their sense of leadership	WFs	■	■	■	■	■	■
			Providing transportation means to WFs to realize frequent visits to communities	PMO-RALG Council Directors	■	■				
	Improving transparency and accountability through enhanced commitment of leaders and physical means	Indicating in the O&OD manual in a clear manner that revenue and expenditure, existing plans, other necessary information should be exposed to communities in an appropriate manner	PMO-RALG	■						
		Continuously facilitating VC members/ <i>Mtaa</i> leaders to share necessary information to communities	HoDs DFs WFs	■	■	■	■	■	■	
		Building a notice board and placing a suggestion box at all communities (at village offices/any other appropriate place in villages in the rural LGAs and at ward offices/any other appropriate place in the wards in the urban LGAs)	Council Directors Village Chairpersons/WECs VEOs/MEOs	■	■					

Strategic Goal	Specific Goal	Action	Main Actor	2008	2009	2010	2011	2012	
	1.1.2 Strengthening networking	Promoting vertical collaboration through frequent visits of DFs to wards /WFs to communities.	Indicating in the O&OD manuals the responsibility of DFs in closely working together with WFs, and the same for WFs with Village Council members/ <i>Mtaa</i> leaders and CRPs	PMO-RALG	■				
			Assigning one DF in charge of 1-3 wards	Council Directors	■				
			Encouraging DFs to frequently communicate with WFs Encouraging WFs to frequently communicate, coordinate necessary issues, and collaborate with communities to tackle with their challenges.	Council Directors HoDs	■				
			Confirming in a frequent manner DFs' understanding of the situation of the wards in charge	Council Directors HoDs	■				
			Confirming in a frequent manner WFs' understanding of the situation of villages/ <i>Mitaa</i>	Council Directors HoDs DFs	■				
			Making sure to prepare quarterly reports showing progress of implementation of Community Plans in their designated wards	DFs	■				
			Making sure to prepare quarterly reports showing progress of implementation of Community Plans in their duty wards	WFs	■				
	Promoting horizontal collaboration through mutual trust between community leaders and community members	Promoting the aspect of transparency and accountability as indicated above section, " <i>Improving transparency and accountability through enhanced commitment of leaders and physical means.</i> "	PMO-RALG LGAs Village Council s/WDCs	■					
		Indicating clearly in the O&OD Handbook that WFs should promote collaborative efforts among community members including Village Council members/ <i>Mtaa</i> leaders, CRPs, and other community members	PMO-RALG	■					
		Identifying successful cases in the LGA to be shared among DFs and WFs	Council Directors HoDs DFs WFs	■					
		Encouraging Village Council members/ <i>Mtaa</i> leaders, and CRPs to visit successful cases of other communities through financial and administrative supports	Council Directors HoDs DFs WFs	■					

Strategic Goal	Specific Goal	Action	Main Actor	2008	2009	2010	2011	2012	
	1.1.3 Raising incentives of community to leverage Community Plans	Improving access to information on external funding sources	Discussing and confirming information on funding sources (such as CDG, DADG, and TASAF fund, etc) to be shared with communities	PMO-RALG CMT					
			Making sure that all the necessary information reaches to all Village Councils via DFs and WFs.	Council Directors HoDs					
			Posting all the information on funding sources on the notice board Disseminating the same information in statutory village assemblies/WDC/Mtaa meetings under the appropriate guidance of DFs and WFs	DFs WFs Village Council s/WDCs					
	Enhancing community's ownership of the Community Plan through creation of a benevolent cycle		Encouraging achievement of the most prioritized Specific Objective in the Community Plans through financial and administrative supports	Council Directors HoDs					
			Providing instruction to DFs and WFs to be aware that each village/ward should places emphasize on achievement of the most prioritized Specific Objective in the Community Plans	Council Directors HoDs					
			Closely working together with Village Council members/Mtaa leaders, and CRPs to achieve the most prioritized Specific Objective in the Community Plans through technical and psychological supports	DFs WFs					
			Promoting study tours to inspire community members as described in the section, " <i>Promoting horizontal collaboration through mutual trust between com. leaders and com. Members.</i> "	Council Directors HoDs DFs WFs					

Strategic Goal	Specific Goal		Action	Main Actor	2008	2009	2010	2011	2012
1.2 Promoting Policy Environment	1.2.1 Optimizing institutional set-up for O&OD roll-out and R&B	Setting up committees/focal points to promote vertical and horizontal collaboration at decision making and operational levels	Setting up Advisory Committee involving DPPs of the central ministries (MoFP, PMO-RALG, PO-PSM, and PMO) and PO and VPO	Central Ministries PMO-RALG	■				
			Setting up O&OD Unit within PMO-RALG to bridge Departments	PMO-RALG	■				
			Strengthen DPPs of Ministries, Management Support Service clusters of Regional Secretariats, and Planning Departments of LGAs to promote, coordinate and oversee all activities relating to O&OD.	Ministries, Regional Secretariats, and LGAs	■				
	1.2.2 Raising awareness of policy makers on importance of O&OD roll-out and R&B	Holding workshops for high ranked officials	Organizing a workshop for all the members of Advisory Committee under the Cabinet touching upon major issues: i) current policy challenges to promote D by D; ii) importance of participatory planning in connection with D by D; iii) O&OD participatory planning; iv) relation between Community Plans and the LGA Plan; v) importance of promoting collaboration among Ministries' initiatives at community level with Community Plans and vi) R&B and its expected impacts on community development	PMO-RALG	■				
			Organizing a workshop to raise awareness of Permanent Secretaries of all Ministries, and Regional Assistant Secretaries touching upon the same issues as indicated above	PMO-RALG	■				
			Organizing workshops to raise awareness of all Directors and Assistant Directors of all Ministries touching upon the same issues as indicated above	PMO-RALG	■				



Strategic Goal	Specific Goal	Action	Main Actor	2008	2009	2010	2011	2012	
	1.2.3 Promoting collaboration between O&OD and other initiatives	Promoting priorities in Community Plans to be followed by other initiatives	Organizing an inter-ministerial meeting to invite key persons from each Ministry Sensitizing them on collaboration between community initiatives of those Ministries and Community Plans	PMO-RALG	■				
			Preparing concrete action plans to promote collaboration between community initiatives of Ministries and Community Plans Sharing them with key persons in the concened Ministries	PMO-RALG Each Ministry	■				
			Providing a technical guidance on how to collaborate with Community Plans to all stakeholders concerned either at the Central Government and the LGA levels based on their action plans	Each Ministry	■				
			Providing instruction to HoDs and DFs/WFs emphasizing that all initiatives should collaborate with Community Plans	Council Directors	■				
			Preparing concrete action plans to promote collaboration between own initiatives and Community Plans Sharing them with key stakeholders concerned in the stakeholder meeting at LGA level	NGOs Council Directors	■				
	Promoting community initiative to propose a project based on Community Plans		Emphasizing community initiative of preparing proposals based on Community Plans using the same opportunity of the inter-ministerial meeting as indicated above under "Promoting priorities in Community Plans to be followed by other initiatives."	PMO-RALG	■				
			Emphasizing importance of community initiatives in working on proposals Including a technical guidance on preparation of proposals if necessary in the action plans of each Ministry.	PMO-RALG Each Ministry	■				
			Encouraging DFs and WFs to provide technical supports to Village Council members/ <i>Mtaa</i> leaders, CRPs, and community members in preparing proposals based on Community Plans in consideration of the available resources to communities	Council Directors HoDs DFs WFs	■				

Strategic Goal	Specific Goal	Action	Main Actor	2008	2009	2010	2011	2012	
	1.2.4 Strengthening funds flow to Community Plan	Promoting LGA's efforts in 1) accurately capturing community needs; 2) allocating budgets based on community needs	Raising awareness of HoDs and DFs in compiling community needs into the LGA Plan (the MTEF format) by providing an clear instruction in the Budget Guidelines	PMO-RALG Council Directors					
			Fully utilizing a simple format at the ward and the LGA levels as elaborated under the Strategic Goal, "Incorporating Community Needs into LGA Plan."	PMO-RALG Council Directors HoDs DFs WFs					
			Making sure to allocate the budget based on the community needs as reflected on the MTEF Format Assessing to what degree the disbursement of the LGA budget is matched with community needs	PMO-RALG Council Directors					
			Providing incentives (bonus) to LGAs which show excellent performances over incorporation of Community Plans into the LGA Plan and disbursement to Community Plans	PMO-RALG					
		Promoting community efforts in acquiring the funds by submitting proposals based on Community Plans	Promoting information sharing from LGAs to communities as indicated in the section, "Improving access to information on external funding."	Council Directors HoDs DFs WFs Village Council s/WDCs					
	Promoting community initiatives of working out proposals based on the external resources available as indicated in the section, "Promoting community initiative to propose a project based on Community Plans"		Council Directors HoDs DFs WFs						

## 2. Improving O&OD Roll-out

Strategic Goal	Specific Goal	Action	Main Actor	2008	2009	2010	2011	2012	
2.1 Assuring Quality of Facilitation	2.1.1 Optimizing arrangement of Facilitators	Assigning more number of WFs to increase sector coverage	Instructing LGAs to assign 5 WFs per one ward including WEO and 4 ward-level extension officers in charge of different sectors (though flexibility is admitted when the number of ward-level officers can not suffice the requirement)	PMO-RALG	■	■			
			Assigning WFs to be ready to undertake not only O&OD roll-out but also post O&OD roll-out i.e. R&B	Council Directors HoDs	■	■			
			Facilitating not only Community Planning Process during O&OD roll-out but also implementation of Community Plans, review of the Community Plans, and Participatory Monitoring and Evaluation.	DFs WFs	■	■	■	■	■
	2.1.2 Promoting role of Community Resource Persons	Clearly defining role of CRPs	Defining in the O&OD manuals in a clear manner 1) roles of CRPs, 2) DF's roles to promote collaboration between WFs and Village Council members/Mtaa leaders in promoting CRP's role, and 3) WFs and Village Council member's/Mtaa leader's roles to promote CRP's roles	PMO-RALG	■				
			Emphasizing during DFs/WFs Training importance of CRP's roles and continuous supports from DFs/WFs/Village Council members/Mtaa leaders	NFs	■	■			
			Continuously facilitating WFs to collaborate with Village Council members to promote roles of CRPs even after the O&OD roll-out	DFs	■	■	■	■	■
			Continuously collaborating with Village Council members/Mtaa leaders to capacitate CRPs even after O&OD roll-out	WFs	■	■	■	■	■
			Continuously capacitating CRPs to effectively facilitating other community members to implement, review, monitor and evaluate their Community Plans	WFs Village Council Members/Mtaa leaders	■	■	■	■	■
			Seeking possibility for CRPs to obtain a legally supported status	PMO-RALG	■	■			

Strategic Goal	Specific Goal	Action	Main Actor	2008	2009	2010	2011	2012		
2.2 Improving Roll-out Methodology	2.2.1 Increasing effectiveness of Orientation, Workshop, and Training	Sensitizing stakeholders on R&B even from the O&OD roll-out stage	Incorporating the R&B component into the O&OD manuals	PMO-RALG	■					
			Sufficiently introducing the concept and significance of R&B, and a linkage between O&OD and R&B at NF Orientation, Awareness Raising Workshop, and DFs and WFs Training	PMO-RALG NFs DFs WFs Village Council s/Mtaa leaders	■	■				
		Clearly indicating councilors' roles	Clearly defining a role of Councilors in the O&OD manuals	PMO-RALG	■					
			Explaining Councilor's roles at Awareness Raising Workshops and making them comfortable and confident with effectively mobilizing communities	PMO-RALG NFs	■	■				
		Introducing a new prioritization approach	Incorporating how to prioritize <i>Specific Objectives</i> into the O&OD Handbook, following steps of: 1) selecting relevant objectives of TDV2025 at a pre-visit; 2) coming up with <i>Specific Objectives</i> only within the selected objective of TDV2025; and 3) prioritizing all <i>Specific Objectives</i> across the all selected objectives of TDV2025 by the pair-wise ranking method.	PMO-RALG	■					
			Effectively delivering an explanation about the new prioritization approach at NFs Orientation, DFs/WFs Training, and a pre-visit	PMO-RALG NFs DFs WFs Village Council s/Mtaa leaders	■	■				
		Utilizing pre-visit effectively	Incorporating into the O&OD Handbook how to utilize an opportunity of pre-visit to Village Councils (in rural LGAs) or WDCs (in urban LGAs)	PMO-RALG	■					
			Effectively making use of the pre-visit by facilitating Village Council members: 1) to discuss how to sensitize community members; 2) to select relevant objectives under TDV2025 through an intensive discussion among them	NFs DFs WFs	■	■				

Strategic Goal	Specific Goal	Action	Main Actor	2008	2009	2010	2011	2012	
	2.2.2 Increasing effectiveness of Community Planning Process	Including the social preparation aspect	Adding two days for social preparation of communities to be ready to start CPP, and including a clear explanation in the O&OD manuals to guide how to carry out social preparation	PMO-RALG	■				
			Utilizing effectively two added days for: 1) reaching a consensus among Village Council members/ <i>Mtaa</i> leaders/community leaders on how to strategically pre-sensitize community members; and 2) pre-sensitizing the community members based on the consensus.	NFs DFs WFs	■				
		Applying a new prioritization approach	Facilitating Focus Groups to prepare draft Community Plan with <i>Specific Objectives</i> only under the primarily selected objectives of TDV2025	NFs DFs WFs	■				
			Facilitating Village Council members/ <i>Mtaa</i> leaders to prioritize all <i>Specific Objectives</i> across the selected objectives of TDV2025	NFs DFs WFs	■				

### 3. Establishing the Review and Backstop Mechanism

Strategic Goal	Specific Goal		Action	Main Actor	2008	2009	2010	2011	2012
3.1 Establishing and Disseminating R&B Mechanism	3.1.1 Establishing Review and Backstop mechanism documents	Preparing R&B mechanism documents (for Facilitators) and a popular version (for communities and others)	Preparing a R&B mechanism document and including it as part of the O&OD Handbook	PMO-RALG	■				
			Preparing a popular version of R&B mechanism	PMO-RALG	■				
	3.1.2 Disseminating Review and Backstop mechanism documents	Disseminating the Handbook through orientations or sensitization sessions and R&B concepts through media	Distributing the O&OD Handbook (inclusive of R&B) to all participants: 1) in NF orientations, Awareness Raising Workshops, DFs/WFs Training (of O&OD Roll-out); and 2) in NF Orientations, CMT sensitization workshops, and DFs/WFs Orientations (of R&B)	PMO-RALG		■	■		
			Disseminating both the O&OD Handbook (inclusive of R&B) and the popular version on the Homepage of PMO-RALG	PMO-RALG	■				
			Disseminating concepts of O&OD and R&B using media including major news papers and public advertisement on TV	PMO-RALG		■	■		

Strategic Goal	Specific Goal	Action	Main Actor	2008	2009	2010	2011	2012
3.2 Building Capacity of Facilitator	3.2.1 Sensitizing stakeholders on importance of R&B	Sensitizing stakeholders on R&B at all levels	Organizing NF Orientations and sensitizing NFs on R&B as the initial step of a cascade system	PMO-RALG		■		
			Organizing Sensitization Workshops for CMT and sensitizing CMT members	Council Directors NFs		■		
			Organizing DFs/WFs Orientations and sensitizing DFs and WFs	Council Directors NFs		■		
			Sensitizing Village Council members/ <i>Mtaa</i> leaders and CRPs through a preparatory meeting at beginning of review process of Community Plans	DFs WFs		■		
			Sensitizing community members through the review process of Community Plans	DFs WFs		■		
	3.2.2 Strengthening facilitation and M&E capacity of DF and WF	Developing facilitation capacity through orientation sessions	Organizing NF Orientations and strengthening facilitation capacities of NFs (the same opportunity as in the section, "Sensitizing stakeholders on R&B at all levels") as the initial step of a cascade system	PMO-RALG		■		
			Organizing DFs/WFs Orientations (the same opportunity as in the section, "Sensitizing stakeholders on R&B at all levels") and strengthening facilitation capacities of DFs and WFs	Council Directors NFs		■		
			Strengthening facilitation capacities of Village Council members/ <i>Mtaa</i> leaders and CRPs 1) through a preparatory meeting at beginning of review process of Community Plans and 2) with continuous supports from WFs	DFs WFs		■	■	■
		Developing M&E capacity through provision of sufficient budgets and transportation means	Sufficiently allocating budgets for M&E on Community Plans to be used by DFs and WFs	PMO-RALG Ministries	■			
			Providing means of transportation to DFs and WFs for monitoring on implementation status and evaluating achievements of Community Plans	Council Directors		■		
			Making sure that Village Councils/WDCs prepare progress reports on implementation of Community Plans at least on a quarterly basis	HoDs DFs WFs		■	■	■

Strategic Goal	Specific Goal	Action	Main Actor	2008	2009	2010	2011	2012
	3.2.3 Strengthening facilitation and M&E capacity of community	Developing Facilitation capacity of Village Councils/ <i>Mtaa</i> leaders and CRPs through OJT	Closely and attentively assisting on-the-job basis Village Councils/ <i>Mtaa</i> leaders and CRPs to facilitate community members for implementing and reviewing Community Plans	WFs	■	■		
			Continuously assisting Village Councils/ <i>Mtaa</i> leaders and CRPs to facilitate community members for implementing and reviewing Community Plans until they own the process	WFs			■	■
	Developing M&E capacity for Village Council members and CRPs and other community members through follow-up process under the initiative of PMO-RALG	Familiarizing concepts of Participatory Monitoring and Evaluation (PM&E) to NFs using the R&B mechanism document at NF Orientations (the same opportunity as in the section, " <i>Sensitizing stakeholders on R&amp;B at all levels</i> " and " <i>Developing facilitation capacity through orientation sessions</i> ")	PMO-RALG	■	■			
		Familiarizing concepts of PM&E to DFs and WFs using the R&B mechanism document at DFs/WFs Orientations (the same opportunity as in the section, " <i>Sensitizing stakeholders on R&amp;B at all levels</i> " and " <i>Developing facilitation capacity through orientation sessions</i> ")	NFs	■	■			
		Introducing concepts of PM&E to Village Council members/ <i>Mtaa</i> leaders and CRPs, using the R&B mechanism document at the preparatory meeting (the same opportunity as in the section, "Developing facilitation capacity through orientation sessions")	DFs WFs	■	■			
		Holding follow-up re-orientation sessions for PM&E at LGAs using the R&B mechanism document	PMO-RALG				■	
		Introducing PM&E to Village Council members/ <i>Mtaa</i> leaders and CRPs at Village Council meetings/WDC meetings	DFs WFs				■	
		Closely assisting Village Council members/ <i>Mtaa</i> leaders and CRPs to facilitate PM&E in a continuous manner until communities become confident and own the process	WFs				■	■



Strategic Goal	Specific Goal	Action	Main Actor	2008	2009	2010	2011	2012		
3.3 Incorporating Community Needs into LGA Plan	3.3.1 Establishing mechanism of compiling Community Plans into LGA plan	Utilizing a simple format for an immediate action	Consolidating a simple format and including it as part of the O&OD Handbook	PMO-RALG	■					
			<b>(For LGAs which is rolling-out O&amp;OD for the first time)</b>							
			Explaining how to use the simple format in NFs Orientations and DFs/WFs Training during O&OD rolling out (the same opportunities as in the section, “Sensitizing stakeholders on R&B even from O&OD roll-out stage”)	PMO-RALG NFs	■	■				
			Compiling Community Plans into the simple format after the CPP during O&OD roll-out	WFs	■	■				
			Sorting out simple formats from each ward and sharing them with each department of LGAs	DFs	■	■				
			Working out MTEF formats based on the information in the simple formats	Each Dept. of LGAs	■	■				
			Incorporating the contents of the simple formats into the PlanRep system	Responsible Dept. of LGAs	■	■				
			<b>(For LGAs which have rolled-out O&amp;OD in the past)</b>							
			Explaining how to use the simple format in NFs Orientations and DFs/WFs Orientations during R&B stage (the same opportunities as in the section, “Sensitizing stakeholders on R&B at all levels” and “Developing facilitation capacity through orientation sessions”)	PMO-RALG NFs	■	■				
			Compiling Community Plans into the simple format every after the annual review of the CPP	WFs	■	■	■	■	■	■
			Sorting out simple formats from each ward and sharing them with each department of LGAs	DFs	■	■	■	■	■	■
			Working out MTEF formats based on the information in the simple formats	Each Depts.. of LGAs	■	■	■	■	■	■
			Incorporating the contents of the simple formats into the PlanRep system	Responsible Dept. of LGAs	■	■	■	■	■	■

		Mainstreaming the simple format into the existing database system (PlanRep)	Commissioning to technical experts to modify the simple format to be incorporated into the PlanRep system	PMO-RALG														
	3.3.2 Strengthening capacity of LGA to compile Community Plans	Introducing a systematic approach on how to compile community needs into a simple format	Introducing the systematic approach of compiling community needs into the LGA Plan using the opportunities in the orientation and the training during the O&OD roll-out, and orientations during R&B, as elaborated in the section, " <i>Utilizing a simple format in a short term perspective</i> "	PMO-RALG NFs														