

Action Research on Community-Based Planning Project

Report on Visit and Workshop in Uganda 30.6.02 to 11.7.02

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Ian Goldman 15 July 2002

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The report is available from the community-based planning page at www.khanya-mrc.co.za

FURTHER INFORMATION AND CONTACTS

All project documents can be found on the Community-Based Planning Page at www.khanya-mrc.co.za. These include: reports on the situation with CBP in each country; reports on visit to India; the core, Ugandan and SA manuals, examples of community-based plans. For further details, please contact the project manager, Ian Goldman (goldman@khanya-mrc.co.za).

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GLOSSARY

CAO	Chief Administrative Officer (Uganda)
CBP	Community-based planning
CEO	Chief Executive Officer (of Council, Zimbabwe)
DTT	District training team (Zimbabwe)
HPPG	Harmonised Participatory Planning Guidelines (Uganda)
IDP	Integrated Development Plan (SA)
IPF	Indicative planning figure (Uganda)
LG	Local Government
LGA	Local Government Act
LGBFP	Local government budget framework paper (Uganda)
NGO	Non-government Organisation
PC	Parish Council (Uganda)
PDC	Parish Development Committee (Uganda)
PDM	Bolivian Municipal Development Plan
PEAP	Poverty Eradication Action Plan (Uganda's poverty reduction strategy)
POA	Annual Operational Plan for municipalities in Bolivia
PRA	Participatory rural appraisal
SA	South Africa
S/C	Sub-county (Uganda)

Report on Uganda Visit and Workshop for the Community-based Planning Project

EXECUTIVE SUMMARY

1 Introduction

This is the report of a visit and workshop in Uganda conducted by the 4 countries who are partners in an action research project looking at community-based planning (CBP) - how to link participatory planning with local government planning. The partners are from South Africa, Uganda, Ghana and Zimbabwe. The aim of the visit was for partners to understand the situation in Uganda and with the CBP conducted in Uganda, to learn lessons from the CBP carried out in all the countries, and to plan the way forward. Approximately 4 partners came from each country, with more from Uganda. The visit lasted 12 days with the first week visiting the pilot district of Bushenyi, and the second week in Kampala in a lesson-learning workshop. Two open workshops were held with Ugandan organisations to present the initial findings.

The learnings were workshopped around 8 themes:

- Community participation and ownership
- CBP planning process/methodology
- Links with local government level
- Facilitation and training
- Finance - Budget for planning, allocation of resources based on CBP
- Stakeholder involvement
- Following up the plan -community action and feedback mechanisms
- Changes needed to structures, systems and policy, and training and support needed

Against these headings countries were asked: What worked? What didn't work? What are the lessons from the visit to Bushenyi? What are the recommendations?

2 Background to Uganda

There are 5 levels of local government and administration, with a district (LC5) and subcounty (LC3) being the two levels of local government (LG). Beneath the subcounty is a Parish (LC2) and beneath that the village (LC1). The latter 2 have Councils which are administrative units. The Parish has been used as the level for CBP. Most government services have been devolved to the LGs along with their budgets, unlike the other partner countries.

The partners in CBP include the Ministry of Local Government, Bushenyi District Local Government, an NGO network (UPDNet) and CARE Uganda. A national Harmonised Sub-district Participatory Planning Guide (HPPG) has incorporated much of the CBP methodology and has gone to all LGs for testing.

3 Progress and learnings from the pilot in Bushenyi

Bushenyi is a rural district of 800 000 people in South West Uganda. The CBP methodology has been adapted in Bushenyi to a 2 day process, the initial day being pre-planning, the second the actual planning, where the parish representatives stay with the facilitators for the whole day. Prior to this, villages and plans only produced prioritised “shopping lists” of projects. Where the CBP methodology has been used, an actual Parish Development Plan has resulted, with situation analysis including SWOT, goal, strategies, and projects. The 4 country team visited 6 parishes, of which 4 had used the methodology. The CBP had been used where there had been facilitation by the subcounty extension team and politicians, which was a significant achievement. There were some good examples of a Parish Development Plan, much higher levels of participation of different livelihood groups, and evidence of community action resulting. The team also visited Masaka, a district that had not used the CBP methodology. They had also not used the HPPG, and what was seen was effective involvement of the structures at all levels, but at village and parish all that was produced was the project “shopping list”.

The methodology could be strengthened by better use of livelihood outcomes, and re-introducing a step between strategies and projects (activities), to ensure that projects are actually driven by the strategies. It is proposed to add a day to the planning process to improve the quality.

4 Progress and learnings from the pilot in South Africa (Mangaung)

South Africa has 3 spheres of government, national, provincial and local. The province is responsible for most development services (agriculture, education, health etc) and receives 40% of government spending. There are two levels of local government (district and local municipalities) as well as 6 metros. The pilot was conducted in Mangaung Local Municipality (MLM), with a population of 750 000 and incorporating the city of Bloemfontein, two other towns and a rural area. The CBP partners are the national Department of Local Government, Mangaung Local Municipality, CARESA and Khanya – managing rural change (who have acted as local facilitators in SA as well as overall project managers).

The CBP has been a full 4 day planning process conducted within one week at ward level, plus pre-planning and writing. The vision-based methodology worked and 42 ward plans were produced. MLM provided \$5 000 to each ward to assist in subsequent implementation. These have influenced the 5 year municipal Integrated Development Plan (IDP) as well as resulting in local action. More work is needed on the link between community and municipal projects and the involvement of local extension staff could also be strengthened.

5 Progress and learnings from the pilots in Zimbabwe

Zimbabwe has only two levels of government, national and local. There is also a provincial administration at a regional level. Local governments include cities, municipalities and rural district councils (RDCs). Beneath these are wards and villages. The CBP was conducted at ward level in two RDCs, Gwanda and Chimanimani in south western and south eastern Zimbabwe respectively. The partners include the national Ministry of Local Government, Public Works and National Housing, the two RDCs and ITDG, a Zimbabwean NGO as facilitator. The CBP has been piloted in 4 wards of the 2 RDCs, facilitated by a district training team, over a 5 day period. The methodology was found to work, encouraged

participation of vulnerable groups, but there was a need for increased involvement of sub-district structures in facilitation and better linkage to the district planning process. The CBP will be extended to all wards of these two districts.

4 Progress and learnings from the pilots in Ghana

Ghana has only two levels of government, national and local. There is also a regional administration including a Regional Coordinating Council, and regional offices of national government departments. There are cities, municipal assemblies, and district assemblies in rural areas. Beneath these are area/town/zonal councils, and beneath these are unit committees. The area/town council has been used as the unit for CBP, and pilots have been run in one area council in each of Asante Akim and Adanse East districts. Other partners include the National Development Planning Commission, Ministry of Local Government and Rural Development, and ISODEC, an NGO as facilitator. A 10 day process has been used, and found to work. There was a high degree of participation, although use of livelihood groups could be strengthened. The facilitation was carried out by the District Planning and Coordination Unit, area council staff and representatives of different livelihood groups, with strong support from the traditional leader. This has resulted in the reactivation of the area council and follow-up community action. Involvement of sub-district extension staff could be strengthened.

7 Learnings from India and Bolivia

Two visits were conducted to India and Bolivia, and one of the Bolivian hosts joined the visit and workshop in Uganda. Some learnings from India were the structuring of decentralised institutions right to village level, the secondment of technical staff to these levels, direct funding of the village for certain development projects and the mainstreaming of environmental issues.

In Bolivia the Law of Popular Participation has resulted in a well-structured system of sub-municipal structures called OTBs, which are community organisations recognised by the state to represent people in their areas, rather than being creations of the state. There is also a Vigilance Committee elected by these OTBs to provide oversight on the activities of the municipalities. Another interesting structure is a Mancomunidad, a structure created voluntarily by 2+ municipalities to address common issues, eg economic development, transport, or waste management. Our guest from Bolivia was a director of one of these Mancomunidades, established by 4 small rural municipalities to tackle economic development. While the Bolivian system has greatly increased participation, at community level the planning is only prioritised shopping lists and could also benefit from the CBP methodology.

8 Learnings across countries

The structure of themes shown in the introduction was used to look at learnings across countries. Some of these are shown in Table 1 overpage.

9 Way forward

A GANTT chart was drawn up for completion of the project by December 2002, including an evaluation of the CBP carried out in Mangaung and Bushenyi, finalising reports on each

country and for the project as a whole. Each country also drew up a GANTT chart and action plan for taking forward CBP, including undertaking CBP in all wards/area councils in the 2 districts in Zimbabwe and 2 in Ghana that have participated. Groups also made proposals for dealing with outstanding elements that need to be resolved.

Partners will meet finally at the beginning of October, once the CBP has been completed and country reports written, when the final learnings of the project will be workshopped, as well as how to take forward CBP in each country post-project.

Table 1 Key learnings across the 4 countries by theme

Theme	Key finding
Community participation and ownership	There were significantly higher levels with CBP, and use of livelihood groups helped. A challenge is whether to offer incentives such as meals, but which greatly increases the cost
CBP planning process/ methodology	The strengths and vision-based methodology worked. Uganda should probably increase from 2-3 days including pre-planning. There is a need to strengthen the use of outcomes, and the link between strategies and projects. Strengthen use of local resources, mainstreaming env/gender/HIV.
Links with local government level	Worked well, but could be strengthened in Zimbabwe and Ghana.
Facilitation and training	Creation of facilitation team worked well in all cases. The use of sub-LG extension staff to assist worked very well in Uganda and could be used elsewhere. There is a need to do re-training to strengthen some areas.
Finance - Budget for planning, allocation of resources based on CBP	The cost was \$130 per ward in SA for meals and transport, where groups did not meet for the whole day. This could be tried elsewhere to avoid having to pay incentives.
Stakeholder involvement	Very good in most cases, and involvement of traditional leaders was helpful. In SA involvement of service providers in planning was limited and could be increased.
Following up the plan - community action and feedback mechanisms	There is evidence of action in most places. Follow-up mechanisms need to be established.
Changes needed to structures, systems and policy, and training and support needed	Need now to move more towards national advocacy which has already happened in Uganda. In Uganda Parish Dev Committee should be made statutory. Need for a CBP champion at all levels, including national.

1 INTRODUCTION

1.1 Background to project

Khanya-managing rural change is project managing a 4 country action-learning project focusing on community-based planning, and how a participatory planning process can be linked systematically to local government planning processes. Partners in the project are from national governments, local governments and NGOs in Ghana, Uganda, Zimbabwe and South Africa, and the project is funded by the UK's Department for International development. This report is on a visit to Uganda and 4 country workshop held in July 2002.

1.2 Objectives of the visit

The visit and workshop had the following objectives:

- For partners to understand the situation in Uganda with local government and planning;
- For partners to understand how the Ugandan pilot has gone in detail, and also that of other partner countries;
- To have an initial review of the lessons to date from the pilots;
- To have planned a way forward, including initial thinking beyond this phase, and extension to more Councils, to address national issues, and dissemination nationally and internationally.

1.3 Programme

Annex 1 shows the full programme for the visit. The team arrived in Uganda on 30 June and then departing on 11 July 2002. The visit started on the Monday with a briefing in Kampala and then the team travelled to Bushenyi District. The team spent 3 days looking at experience with CBP in Bushenyi, and then travelled back on Thursday via another district that had not implemented the intensive CBP methodology, but rather the national participatory planning guidelines that were influenced by CBP. The Friday to Sunday included reviewing the experience from Bushenyi and the lessons from each country. On Friday presentations were made on CBP to an invited group of senior civil servants, notably to address problems around the relationship between sectoral and local government planning, linked with CBP. The notes from the discussions are in Annex 3. Monday 8th was conducted as an open workshop where the partner countries made presentations on their experience. Notes from these discussions are in Annex 4. The remaining period to 10th July was an internal lesson-learning workshop and the majority of the team left on 11 July. The programme for this workshop is summarised in table 1.1 below.

The CBP partners at the meeting included

Khanya: Ian Goldman (project manager), James Carnegie, Keatlaretse Sebate

Table 1.1 Summary of workshop programme

Day	Session	Topic
Sunday 7 July		Country learnings and preparing presentations for Monday workshop
Monday	am	Workshop with Ugandan stakeholders on CBP
	pm	Summarising in-country planning process and feedback on lessons
Tuesday	am	Groups working on cross-cutting issues
	pm	Synthesis of recommendations on cross-cutting issues
Wednesday	am	Planning the remaining time of the CBP project Planning in country teams for way forward
	pm	Groups work on outstanding issues and closing

Ghana:	Tay Awoosah (ISODEC), John Cofie-Agama (Ministry of Local Government), Francis Owusu-Ansah (Adanse East District Assembly)
Zimbabwe	Absolom Masendeke (ITDG), Ronnie Sibanda (CEO, Gwanda RDC), Wilton Mhlanga (Chimanimani RDC), Andrew Mlalazi (DiP);
South Africa	Tankiso Mea and Teboho Maine (Mangaung Local Municipality); Kadimo Masekoane (DPLG), Appollis Solomons (SA Local Government Association), Jo Abbot (CARESA)
Uganda	Martin Onyach-Olaa (PMU, LGDP), Paul Kasule-Mukasa (PMU), Charles Kiberu (Deputy CAO, Bushenyi District Local Government), Silver ?, Bushenyi, John Rusoke (CARE ILM), Margaret Barihalih (CARE), Monday Lwanga (Bushenyi) ¹ , Tom Blomley (CARE Uganda)
Bolivia	Carlos Aramayo (Mancomunidad Heroes de la Independencia, Tarija)

In terms of the groups which worked on particular topics, these were:

Group 1 – community participation, follow-up, guidelines

Francis, James, Monday, Wilton, Tankiso, Ngorok

Group 2 – methodology, finance, revising the manual

Teboho, Jo, Charles, Margaret, Absolom, Christopher

Group 3 – linkages to LG, changes to policy and systems, CBP evaluation

Silver, Ian, Appollis, Cofie, Andrew

Group 4 – stakeholder involvement, facilitation, what should happen 2003+

Tay, Tom, Fred, John, Ronnie, Kadimo

The contact details for these people is in Annex 5 and a summary of the evaluation in Annex 6. Overall people felt the visit was excellent (84% score), particularly the Bushenyi visit (around 89%), and the workshop was very good (70-75%). People also enjoyed the open workshops (80%) and felt they had learnt new insights (79%). The Masaka trip was seen as less useful (58%).

¹ Other people joined the delegation from Uganda for short periods.

1.4 Methodology and structure of the report

One of the main aims of the workshop was to start drawing out lessons from implementation so that changes could be made. The lessons for each country are structured using the same format, derived from observations and the analytical framework used in the country reports. The structure of questions was:

Learnings

- 1 Community participation and ownership
 - Overall and of disadvantaged groups
- 2 Planning process and methodology
 - At CBP level (which level)
 - At local government level (and link to CBP)
 - s-t vs l-t issues
- 3 Facilitation and training
 - Who, how, Logistics
- 4 Finance
 - Budget for planning (what about incentives)
 - Allocation of resources based on CBP
 - Where decisions made regarding use of resources
- 5 Stakeholder involvement
 - Other civil society structures in CBP
 - Traditional structures
 - Private sector
 - Government departments
- 6 Following up the plan -community management
 - Community action
 - Feedback mechanisms
- 7 Changes needed
 - Structures, systems and linkages
 - Policy change
 - Training and support

There are tables in each country's section (3-6) where the following questions were asked against these headings: What worked? What didn't work? What are the lessons from the visit to Bushenyi? What are the recommendations?. The next stage in the workshop was to group these themes, and groups discussed one theme, drawing on the observations from each country, drawing out common lessons and recommendations, but also showing where there were divergences. These are shown in section 7.

2. BACKGROUND TO UGANDA

2.1 Government structures and systems

Key legislation in Uganda in relation to decentralisation includes the Local Government Statute of 1993, the Constitution of 1995, the Local Government Act of 1997. The process of decentralisation in Uganda was aimed at the transfer of power downwards and away from central government, the transfer of political and administrative control to the end users of development, reducing the workload on central government, reducing tension between local and national interests, and improving accountability by establishing linkages between locally-paid taxes and provision of services.

There are 5 levels of local government administration: District, County, Sub-County, Parish and Village. At District and Sub-county levels, elected councillors oversee locally appointed technical staff (executive functions). Since the passing of the Local Government Act in 1997, there has been an increasing transfer of responsibility for planning and development from district to sub-county levels. The political and administrative structure of Uganda is shown below in table 2.1 and Annex 2 compares this with other partner countries.

Table 2.1 Rural local government/administrative units

Area	Approx pop.	Structure	Roles
District (LC5)	500 000	District Local Government	<ul style="list-style-type: none"> • provide services • ordinances (link to national) • supervise and mentor lower level lgs • appoint own staff and collect some taxes • 3 year development plan + rolled annual budget
LC4 (county)		County	Constituency boundaries
Sub-county (LC3)	50 000	Sub county Local Government	<ul style="list-style-type: none"> • lower level services like build primary school but not pay recurrent • by-laws (in line with ordinances) • collect revenue – retain 65% and 35% go to the district
Parish (LC2)	5 000	Parish Council Parish development committee (not-legal)	<ul style="list-style-type: none"> • monitor and ensure gov programmes implemented • community programmes
Village (LC1)		Village Development Committee	

Other relevant structures and their roles are:

- **Council:** Approval of investment projects, plans and budgets, three year development plans and to ensure integration of lower level plans;

- **Executive Committee:** Oversees implementation of council decisions, monitor and supervise projects, ensure co-ordination with external players;
- **Sectoral Committees:** Prepare sectoral plans (health, education, water etc), monitor progress of sector plans, report to council;
- **Technical Planning Committee:** (Technical staff) Prepares and integrates sectoral plans into overall investment plans, appraise investment projects;
- **Investment Committee:** Designs and costs investment projects, forwarding to sectoral or Technical planning Committee.

At the Parish level one finds a mixture of Council, Executive Committee, Parish Development Committees, Production and Environment, project management committees, and some NGO-created committees.

2.2 Roles of local government and other institutions in community-based planning

The planning timeline is shown in Table 2.2.

Table 2.2 Planning timeline

Month	Action
October	Government does MTEF including transfers to LGs
December	each LG does planning and budget call
January	Planning and budget conference (all inclusive) – collects needs from communities (shopping list) HoDs prepare a working doc
Feb	First draft goes to sector committees (headed by secretaries) to harmonise and approve
-	Then goes to technical staff to link with budget (annual) – with the projects in next years budget
June	By 15 June – presented to council – must be approved for budget to be legal
July	1 July - start of new financial year

The roles of local government and other institutions in community-based planning are highlighted in table 2.1. Planning mechanisms at sub-county level take place in the following manner:

- **Information dissemination** (roles, timetables, Indicative Planning Figures Allocation);
- **Needs assessments:** Carried out at community and parish levels, plans forwarded to sub-county. Reviewed at Sub-county Planning and Budgeting Conference;
- **Appraisal/Allocation:** Sub-county Technical Planning Committee appraises plans in detail, finance committee allocates costs and Sub-county Council approves plans and budgets;
- **3-year investment plan (rolling):** Technical Planning committees/Sectoral committees combine sectoral plans into three year rolling investment plan. Council approves 3 year plans. Forwarded to district for incorporation into DDP.

2.3 Sources of revenue for local governments

Local governments generate revenue through:

- Personal Graduated Tax (21%);
- User charges, private (14%);
- Sector service tenders;
- Levies, market taxes etc;
- Central Government Grants (65%);
- Donor/Project funding (Variable).

These local sources are difficult to collect, vulnerable to manipulation, but collection could probably be doubled. However at present they are declining.

Unconditional grants cover the minimum amount required to run service delivery in local governments. **Conditional grants** are provided for particular targeted areas. In this regard, consideration is given to National Priority Programme Areas - NPPAs (eg water, roads, health and education). **Equalisation grants** are given to local governments that are "lagging behind" in development terms. The **Local Government Development Programme** provides financial allocations related to performance on "minimum conditions" (good governance criteria like accountability, planning etc). The **Programme for Modernisation of Agriculture (PMA Grants)** is providing non-sectoral conditional grants for removing constraints affecting productivity in the agricultural sector.

2.4 Accountability to below

Transfers to local governments are published in newspaper on a monthly basis. The district and subcounty also publish their income from LGDP (+ local revenue?) on a monthly/quarterly basis.

2.5 Capacity Building

All districts are assessed for capacity to receive development funds. If they pass the criteria, they receive a capacity-building grant plus the development grant. If not, they just receive the capacity-building grant. A support team is provided to assist, usually peer to peer from one municipality to another. In terms of restructuring - job descriptions are being developed plus evaluations and those who are untrainable will be laid off.

2.6 Role of traditional Leaders

Traditional leaders perform customary functions/cultural, and are not allowed to collect taxes, nor defence. The traditional leaders still have lot of influence. There are tensions between decentralisation and a federal approach which would be based on kingdoms. Buganda for example has a Kabaka (King) who covers 12 districts

2.7 Involvement of Uganda in CBP

The Poverty Eradication Action Programme (PEAP) is Uganda's overall plan. Decentralisation links with Pillar 2, which is Good Governance and Security. Early

attempts to promote participatory planning included through UNICEF's work with Parish Development Committees, budget conferences, the LC structure and Technical Planning Committees. Promulgation of the 1995 constitution and LGA 1997 strengthened the legal and constitutional framework for decentralisation and participation.

Table 2.7 shows the timeline of involvement in the CBP project.

Table 2.7 Timeline of national involvement in community-based planning

Year	Action
1998	DDP develops investment guide for lower local councils
1998	MoLG issues parish and village council performance measures
Jan 2001	Initial meeting of Ian Goldman with LGDP discusses and agrees possible involvement in CBP project
April 2001	CBP project starts
Aug 2001	CBP workshop raised concerns <ul style="list-style-type: none"> • NGOs - IPG not fully inclusive for participatory planning • government - proliferation of methodologies • recommended revision to IPG and production of harmonized framework for participatory planning
Nov/Dec	Harmonised Participatory Planning Guide (HPPG) produced for subdistrict planning
Dec 2001	Draft HPPG presented at workshop
Mar 2002	HPPG introduced to districts through ToT
June 2002	HPPG presented to NGOs at UPD Network meeting

Discussions with LGDP and CARE led to the following CBP **partners** being involved:

- National - MOLG/Local Government Development Programme
- Local - Bushenyi District Local Government
- Facilitators - CARE Uganda and UPDNet (Uganda Participatory Development Network)

2.8 The Harmonised Participatory Planning Guidelines (HPPG)

The timeline for the HPPG is shown in Table 2.7. The HPPG has drawn from the CBP methodology, and is now national policy for sub-district planning, although it will be tested over the next year. The features of HPPG which have drawn from CBP are:

- Shift in approach from needs-based to vision-based planning;
- More emphasis on the village and parish (previously the emphasis was the sub-county);
- involvement of non-council stakeholders;
- inclusion of new methodologies;
- harmonization of planning with the LG budget framework paper (LGBFP).

There are significant **implications of CBP/HPPG for sector ministries**:

- Local government planning is integrated and not by sector - given HPPG/CBP how can sector ministries take advantage on the design and implementation of sector activities?
- The need for integration of sector appraisal formats in the HPPG (eg 2 page guidelines for appraisal at local government level);
- The need for inputs from sector ministries in improvement and revision process for HPPG over next 12 months – the final version will be produced in June next year.

There are some national **lessons and implications** from the HPPG:

- How to relate sectoral planning at national/ministerial level and the increasingly integrated nature of local plans?
- The need for further training and mentoring for s/counties and parishes to ensure cascade process works effectively and they are able to implement the HPPG;
- PDCs remain non-statutory, so the need to legitimise and legalise them;
- A growing demand for allocation of LG budgets for LC2/3 planning process;
- Much more work needed to build trust and confidence between NGOs and LG - with regard to roles in planning and implementation process.

3 PROGRESS AND LEARNINGS FROM PILOTS IN BUSHENYI

3.1 Planning and CBP in Bushenyi

The **CBP process** in Bushenyi included the following steps:

- A workshop to review and harmonise the existing planning processes and methodologies at Parish, Sub-County and District levels;
- Production of a harmonised planning guideline for Parishes, Sub-Counties and District;
- Training of District based technical officials on the new planning guidelines;
- Training of Sub-County technical officials on the new planning guidelines in six Parishes;
- Adjusting the planning guidelines in view of the reports from piloting.

The **parish planning process** itself includes (see table 3.1):

- Preplanning meeting;
- LC.II Executive studies village plans and proposals;
- Parish planning meetings - 2 days;
- Preparation of preliminary project designs with assistance of a technical person;
- Parish Council meeting to scrutinise and approve Parish Project Proposals and Investment Plans;
- Submission of approved plan to Sub-County level.

Table 3.1 The planning process before CBP and afterwards

Level	Before	With CBP
LC3 Subcounty	LG bottom-up planning process. Subcounty development plan.	Facilitation of parish plans, and production of Subcounty Development Plan (sometimes with vision etc)
LC2 Parish	Prioritisation: plan is compiled as project profiles	Parish development plan (local analysis and action) Livelihoods analysis, SWOT, analysis of service providers, vision
LC1 Village	Community meeting to identify problems and projects (shopping list)	Community meeting to identify vulnerable groups, service providers and issues

This is done over 2 days as shown in table 3.2.

Table 3.2 CBP planning process in Bushenyi

Day one	Day two
<p>Pre-planning meeting 1 week before main planning:</p> <ul style="list-style-type: none"> • Introduction on CBP to parish council, PDC, facilitators (extension staff) • Discussion on overall LG planning process and content of the plan • Role of elected leader and technical staff with regard to planning and other stakeholders like NGOs, CBOs, women, youths, PWDs, etc. • Discussion on expectations and concerns • Assignment - updating village record books, parish register, listing of service providers, listing of livelihood groups, LC1 to consult other (their residents), each village to come with issues for the next meeting • Programme for the planning meeting – logistics, mobilisation 	<ul style="list-style-type: none"> • recap on the CBP process • situation analysis • livelihood analysis • presentation of livelihood groups (SWOT) – had a vision, goal, strategies – projects • Parish SWOT • Constituting a secretariat to write the plan (parish) - parish secretary was a secretary, others LCs, PDCs, CBOs, retired civil servants • parish council approving the parish plan • submission of the plan to sub-county was in two weeks time

*note: secretariat was advised to seek consultation from the extension staff at sub-county

3.2 Initial lessons, challenges and recommendations²

Lessons

- The success of CBP depends upon political and technical commitment towards its implementation;
- "Visioning approach" as opposed to "problem approach" enable Local Governments produce realistic plans based on the "resource envelope";
- Mobilisation of the communities through pre-visits enhances attendance of the planning meeting at Parish level;
- Technical support is vital for the CBP to succeed at Sub-County, Parish and Villages levels;
- Discussion of problems and priorities through livelihood groups enhances the opportunities of the disadvantaged groups especially the poor and, women to advance their views;
- "allowance" syndrome - This practice is not sustainable;
- Process quite long/costly in time, material, human and financial resources;
- CBP strengthens partnerships in mobilisation of resources to address existing problems;
- CBP enhances ownership and sustainability of projects put in place since there are involved in their planning and budgeting from the start;
- Involvement of the poor/interest groups influences resources allocation;
- Inadequate resources to finance planned projects discourages people from participating in future planning meetings;
- CBP process, working through the government structures enhances their capacities and leads to sustainability.

² This is drawn from the Bushenyi presentation at the workshop. A group also worked on learnings which is show later.

Challenges

- The success of CBP depends on availability of technical support teams at that level. Inadequacies of technical staff at Sub-County, Parish and Village levels is a big challenge to CBP;
- The "Allowance syndrome" needs to be addressed otherwise it will affect attendance of meetings;
- CBP process should be taken to the lowest administrative unit so as to involve more people in decision making;
- CBP process is expensive in terms of time, human and material resources. It's sustainability in terms of source of financing is a challenge.

Recommendations

- CBP process should be institutionalised within the existing government structures so that it does not appear as a new policy/project that requires allowances;
- CBP process should be planned and budgeted for by all government structures;
- There should be a deliberate policy of enhancing capacities of Local Governments to facilitate CBP process at lower levels;
- Effort should be made to create a "resource envelope" which could be given as an incentive for those areas whose projects have been developed through a participatory approach.

3.3 Review of progress with CBP in Bushenyi

Table 3.3.1 summarises the findings of the team on the visit to Bushenyi. Four of the six parishes visited had used the CBP methodology. Two had not, where the training had been too late.

Table 3.3.1 Summary of Sub-county and Parish Findings

Sub-county	Parish	Planning methodology used
Kigarama	/	Sub-county indicated that CBP used in all parishes within the sub-county.
Kigarama	Katooma	Used CBP to develop comprehensive parish plan. Analysed Livelihood groups, service providers, did SWOT, vision/goal, strategies and projects. Jump between strategies and projects where some quality lost. Some local actions resulting from planning process (buying dip for dip tank)
Kichwamba	/	Sub-county using CBP methodology, integrated into the bottom-up planning process. Facilitators are well versed in the methodology
Kichwamba	Kichwamba	Parish included elements of CBP, but as a new process there was not complete understanding and ownership by Parish
Bumaire	/	Sub-county using elements of CBP: SWOT/vision/goal in making their sub-county plan
Bumaire	Bumaire	2 day process, first day preplanning and asking people to collect data that day. Used SWOT, vision, strategies and projects.
Kyagabugimbi	/	Comprehensive dev. plan but does not incorporate CBP methodology. Sub-county has taken initiative to produce 5 Year Strategic Plan.
Kyagabugimbi	Kajunju	CBP methodology not used. No facilitation from the sub-county in developing parish plan (which consists of a series of project profiles). PDC in place and active in developing the parish plan.
Kyamahunga	/	Comprehensive dev. plan which incorporates some elements of the CBP methodology (goal, strategies), but doesn't analyse service providers. Have allocated budgets to assist parishes roll their plans within the FY.
Kyamahun	Swazi	Used CBP methodology. Identified service providers and 5 livelihood

Sub-county	Parish	Planning methodology used
ga		groups. Completed SWOT analysis for livelihood group, as well as for parish as a whole. No preferred outcomes for each livelihood group. Have goal, strategies, projects for each sector, rather than for the parish. PDC in place and appeared to be active, with a planning secretariat, in documenting the plan. Costs of printing and binding plan allocated from parish resources. Evidence of local action as a result of preparing the plan (eg strengthening of the bee-keepers association and communities brick making for a primary school ahead of sub-county releasing resources)
Kabira	/	CBP methodology and format not included in the sub-county plan
Kabira	Mayanga	CBP training happened after plan had been developed. So planning in LG way (bottom-up) but with write up using some elements of CBP methodology

Table 3.3.2 summarises the findings and recommendations from the visit to Bushenyi, and the impressions of the team.

Table 3.3.2 Findings in Bushenyi by theme

Decentralised planning institutions	
Findings	Recommendations
<ul style="list-style-type: none"> Levels of governance (both political and administrative)– clear and understandable (LC1 to LC5) CBP is anchored at district level, district champions the process Sub-county role as facilitator worked well Poor feedback mechanisms from sub-county to parish Parish seemed to be a good planning unit, as many commonalities across villages Membership of committees displayed in district and sub-county levels (eg PDC, Investment committees) PDCs/PMCs seem to be working and promoting a culture of plan development, implementation and monitoring 	<ul style="list-style-type: none"> Parish Development Committees should become statutory institutions to promote systematic capacity building (particularly in facilitation/documentation skills) Improve technical support for appraisal of projects and promote better sectoral integration at sub-county level Improve feedback from sub-county to parish on planning decisions Consider external (civil society) monitoring of plan implementation and investment allocations and appropriate institutions (beyond PMCs) CBP needs to be led from the top
Training, capacity and knowledge	
Findings	Recommendation
<ul style="list-style-type: none"> Cascade training was important – promoted learning-by-doing It was important to train both the political and technical staff at sub-county level High levels of understanding about CBP – particularly at the sub-county level High levels of understanding that resources are limited and that prioritisation is needed (eg between projects, across villages) 	<ul style="list-style-type: none"> Need to deepen the cascade training to include the parish level, particularly the Parish Development Committee

Facilitation	
Findings	Recommendations
<ul style="list-style-type: none"> Facilitation by sub-county technical staff worked well Parish plans dependent on level and nature of support from sub county Clear roles for both political and technical staff in the planning process, both at parish and sub-county levels, and having both involved was very positive Timing for CBP seems a bit rushed, especially where data collection included 	<ul style="list-style-type: none"> On-going back-up needed from sub-county Simplification of language and terms used in the manuals Build capacity for plan facilitation at parish level to further promote ownership and reduce dependency
Participation and ownership	
Findings	Recommendation
<ul style="list-style-type: none"> CBP has engendered high levels of participation, involvement and ownership than previous planning process Reduced dependency levels, high levels of self-reliance and empowerment Use of Livelihoods Analysis helped to promote involvement by different groups Collective pride in planning at parish/sub-county levels Plans and records accessible (eg parish office, sub-county offices) 	<ul style="list-style-type: none"> More attention needed to vulnerable groups (widows, orphans, people with disabilities), social livelihoods/interest groups to further improve the poverty focus of the plans.
Incentives and financing	
Findings	Recommendations
<ul style="list-style-type: none"> Funds flow to the plans, which act as an incentive for participation (but can be slow) Some parishes are allocating resources for developing their parish plans (typing, binding, photocopying etc) 	<ul style="list-style-type: none"> Financial resources for planning process need to be mainstreamed at sub-counties and parish levels. Can rethink methodology so don't work with groups for more than 2 hours so meals not needed
Methodology and timing	
Findings	Recommendations
<ul style="list-style-type: none"> Parish vision/goal was developed in some places - but still some way to go in developing a full understanding. Hence, some plans are problem-based, notably those where no subcounty facilitation. Livelihoods analysis and SWOT worked (but preferred livelihood outcomes are missing) Prioritisation worked, although criteria used not always clear Plan included goal, strategies and projects in most cases, but unclear link between strategy and projects. Plans are action-oriented. Evidence found of local actions catalysed by the development of the plan (e.g beekeepers association developed, community made bricks ready for primary school) Process is quite time consuming during the first cycle. More time needed for planning sessions within the CBP process at parish levels Planning times and sessions often set by sub-county facilitators 	<ul style="list-style-type: none"> Start parish planning earlier (before sub-county) to ensure proper vertical integration of plans Allocate up to 2 days of the planning process for discussing the actual action plans Negotiate with parishes as to the most appropriate times for planning sessions – not just to suit the sub-county Develop clear criteria for prioritisation of different strategies and plans and for village issues at the parish level. This could help improve the poverty focus (if, for example, at least one strategy should specifically target vulnerable groups) Review the planning framework and consider adding 'Activities' between strategies and projects. This would promote broader thinking about local activities and develop actions that are community based and do not require external resources. Review the planning framework and consider developing 'preferred outcomes' for different livelihood groups that can then feed into action plan.
Plan content and documentation	
Findings	Recommendations

<ul style="list-style-type: none"> • Plans more detailed and comprehensive than those previously developed. Provide a planning framework for other stakeholders to engage (eg. NAADS, civil society, private sector etc) • Planning focused on outside resources and often linked to national priority programme areas • Different types of projects appear in plans developed using CBP eg non tangible items (cross visits, learning etc) • Community-based management information system (CBMIS) used for parish profiles and as information base for planning • Flip charts display development investments and monitoring of completion at sub-county and parish levels • Environmental issues not always included 	<ul style="list-style-type: none"> • Need to improve documentation at village level (e.g minutes of issues, priorities that can be reviewed as the plan is rolled) • Encourage local action in parish plans (see methodology section) • Need to systematically engage other stakeholders (eg private sector, civil society) in facilitating planning process • Need to improve appraisal of plans (eg environmental, economic, social) and development investments
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3.4 Visit to Masaka

The team visited the district of Masaka, which had not used CBP, but potentially had used the HPPG guidelines. In fact they had not used the latest version of the guidelines, so the observations are essentially those on the planning system as operated in most parts of Uganda, where the HPPG has not yet been used. It therefore provides an interesting comparison to Bushenyi. The team visited 2 subcounties, and a parish within each subcounty. They were not familiar with the March guidelines.

Table 3.4 Comparison of observations in two subcounties in Masaka District

Issue	Butenga subcounty/Kabigi parish	Buwunga subcounty and parish
Participation	<ul style="list-style-type: none"> • Subcounty is active • 60% of people participate in village planning meetings • Parish meeting has 10 representatives per village • Disenchantment by some as no results after 2 plans • Provides a platform for views 	<ul style="list-style-type: none"> • Use of guidelines increased participation of all stakeholders. (according to s-c) • Now given initiative/"bottom-up" there is more participation in planning and implementation – financial, labour, decision making (s-c) • Covered all households, therefore inclusive • PDC major player
Facilitation and training	<ul style="list-style-type: none"> • None by s/c nor training • All being done by village and parish • S/c says it does visit 	<ul style="list-style-type: none"> • 5% of LGDP allocated for facilitation and training –extension workers • High level of confidence in theory of planning process at sub-county • Parish level – PDC knew nothing about of guidelines, only PDC UNICEF training on community capacity building
Planning methodology	<ul style="list-style-type: none"> • Not seen planning guidelines • Problem-based – shopping list, voting to prioritise • Document? • Village meeting 2 hours • Send minutes to s/c • Priorities changed 	<ul style="list-style-type: none"> • Using new planning guidelines ?? (March) situation analysis, but still problem-based • Records all services available at sub-county • PDC and UNICEF training – not clear on planning guidelines. • Village records books good – sent to SC
Timing		<ul style="list-style-type: none"> • Delayed release of funds especially at district • Local elections not good timing for planning and revenue collection

Financing	<ul style="list-style-type: none"> • Very few funded (parish view) • S/C limited resources is a challenge – partnered with NGOs • Budget line for planning (S-C) – parish? • Revenue decreasing • How can they raise revenue • S-C can't afford to pay electricity bill 	<ul style="list-style-type: none"> • Incentives (allowances + transport) problems • Parish not involved contribution – hindering progress as not able to raise easily • No project has been rejected at district level, for political reasons • Projects financed from different levels
Feedback	<ul style="list-style-type: none"> • Flipcharts with projects • Parish not getting feedback • No monitoring systems 	<ul style="list-style-type: none"> • Publicise on notice boards (s-c) • Lack of clear feedback mechanism between PDC and community • Two members of parish on subcounty assume feedback • Sub-county write to parishes about approved plans
Subcounty	<ul style="list-style-type: none"> • Knew about guidelines – not seen • No feedback to parish, e.g on projects funded • Prioritising by committee including politicians • Tech planning committee – (5 persons) • Charts up on projects in subcounty office • Investment committee costing projects • Planning process long 	

3.5 Lessons

This section uses a common format used for each country, where those involved summarised their learnings from the pilots to date in each country. What follows are the learnings from Bushenyi.

Community participation and involvement	
What worked:	<ul style="list-style-type: none"> • Use of livelihood analysis to promote involvement by different groups • Plans and records accessible (e.g parish, sub-county offices) • Collective pride in planning at parish and sub-county levels • Reduced dependency levels high levels of self-reliance and empowerment • Women active in planning process (Bushenyi)
Recommendations:	<ul style="list-style-type: none"> • More attention needed to vulnerable groups (widows, orphans, PWD, etc.) • Social livelihoods / interest groups to further improve the poverty focus of plans • Consider guidelines a budget allocations specific for disadvantaged groups
Planning process and methodology	
What worked:	<ul style="list-style-type: none"> • Livelihoods analysis and SWOT worked well • Plans are action-oriented and local actions have happened as a result of developing parish plan
What did not work:	<ul style="list-style-type: none"> • Timing for CBP was a bit rushed • Problems encountered in integrating bottom-up integrated (CBP) plans with sectoral district level process • Planning times and sessions often set by sub-county facilitators and not parish • CBP methodology quite time consuming during the first cycle of parish plan preparation • Criteria for prioritising at parish level not clear

Recommendations:	<ul style="list-style-type: none"> • Allocate at least 2 days to planning within intensive planning process (currently all plans done in 1 day) • Develops preferred outcomes for each livelihood group so as to link situational analysis to plans • Sub-counties and parishes should negotiate the best time for planning process within the national planning, budgeting cycle • Start parish planning process earlier (before sub-county) to ensure proper vertical integration of plans • Re-think methodology so we do not work with groups for more than 2 hours (meals not needed as a result) • More attention needed to vulnerable groups, social livelihoods / interest groups to improve poverty focus • Develop criteria for prioritisation at parish level • More time needed for planning, meetings in parish planning process • Currently goal strategy projects consider adding activities between strategies and projects to encourage local actions (without need for a project)
Finance	
What worked:	<ul style="list-style-type: none"> • Funds flow to the plans (acting as an incentive to participation (but can be slow) • Some parishes are allocating resources for the development of plan (eg typing, photocopy)
Recommendations:	<ul style="list-style-type: none"> • Financial resources for planning process needs to be mainstreamed at sub-counties and parish levels • As capacity for planning grows – needs for additional parish financing will grow and must be met in form of conditional grants • Re-think co-financing obligations for the implementation of plans
Facilitation of CBP process	
Worked:	<ul style="list-style-type: none"> • Facilitation by sub-county staff • Having both political and technical staff trained at the sub-county worked • Cascade training – learning by doing • Training resulted in high levels of understanding that resources are limited and prioritisation at parish levels is needed
Did not work:	<ul style="list-style-type: none"> • Parish vision/goal not fully understood, hence some plans still problem-based • Poor understanding and awareness of the CBP process (+ guidelines) outside of Bushenyi • Parish plans depend on level and nature of facilitation from sub-county
Recommendations:	<ul style="list-style-type: none"> • Manual should be simplified with more illustrations • Simplify the language used in the planning manual • More intensive training and mentoring needed for sub-counties and parishes (nation-wide) • Build capacity for facilitation at parish level to promote ownership and lack of dependency on sub-county
Stakeholder involvement	
Worked:	<ul style="list-style-type: none"> • Stakeholder analysis done at the parish level in some areas • At national level strong interest and engagement from national NGOs/CBOs – good discussion on roles
Did not work:	<ul style="list-style-type: none"> • Limited involvement of local or district-based NGOs in the process (as well as private sector)
Recommendations:	<ul style="list-style-type: none"> • Must pro-actively engage CSOs/NGOs in the review process to get rather “buy in” • Need to build more confidence of NGO – LG relationships
Changes needed	
Worked:	<ul style="list-style-type: none"> • Plans more detailed and comprehensive than those previously developed. Provides a framework for others to engage (e.g NAADS, etc) • Flip-charts/signs display investments and monitoring of completion at sub-county and parish levels • CBMIS used for developing parish profiles as base for planning • Different types of projects appear in plans developed using CBP or non-tangible items (“soft projects”)
Did not work:	<ul style="list-style-type: none"> • Planning focussed on outside resources and often more linked to national priority programme areas (not really local issues)

Recommendations:	<ul style="list-style-type: none"> • Encourage local action in parish plans • More training on the guides required at sub-county and parish level (HPPG) • Institute quarterly reviews for the pre-testing of the harmonised guide over the next one year • The pre-testing of the harmonised guide should run at least one full planning cycle before it is published • CBP needs to be led from the top “district champions” • Must improve documentation at village level (e.g minutes and priorities for review as plan “rolls”) • Engage other stakeholders more pro-actively in facilitation of process (e.g NGOs/Private sector) • Improve appraisal process (environmental economic and social development investment) • The harmonised guide should be simplified further (language) • Planning process needs to more strategically address economic issues as opposed to social infrastructure • Review integration of sectoral (line ministry) plans merge with integrated LG plans • PDCs become statutory institutions to promote systematic capacity building • More focus on environmental mainstreaming in the process
Follow-up the plan – community management	
Recommendation:	<ul style="list-style-type: none"> • Consider external (civil society) monitoring of plan implementation and investment allocations (beyond PMC) • On-going back-up needed from sub-county to parish and village implementation process • Improve feedback mechanisms between sub-county and parish

4 PROGRESS AND LEARNINGS FROM THE PILOTS IN SOUTH AFRICA

4.1 Context

Key elements of the legislative and policy framework in SA include:

- Constitution of SA (1996), including the definition of the role of local government and economic and social rights;
- 3 distinct and interdependent spheres of government, national, provincial and local;
- Developmental mandate in the White Paper on Local Government;
- Three key tools - integrated development plan (IDP), Performance Management System and the requirement for community involvement) ;
- Municipal Structures Act (1998), which includes ward Committees;
- Municipal Systems Act (2000) which specifies community involvement, planning, monitoring, service delivery.

Table 5.1 shows the different spheres of government and their role, and the plans at each level. Annex 2 compares these with the other partner countries.

Table 5.1 Spheres of government

Sphere of govt	Political	Administration	Plan
Central (macro)	National government	Provides policy, oversight by sectoral departments	No national plan
Provincial	9 Provincial governments	Mostly development services and policy Can't generate revenue	5 year Provincial Development Plan
Local government (meso)	47 District municipalities –elected council 6 Metros	In general metros and district municipalities have wider functions	All produce 5 year Integrated Development Plans
Local government (micro)	231 Local municipalities – elected council and staff	Technical staff and some technical functions Provide water, electricity, all local roads, etc All produce IDPs	
Wards (micro)	Councillors and Ward Committees	Community representative structure	42 full ward plans produced in Mangaung. Others a workshop for priorities

The **CBP Partners** in South Africa are:

- National level - Department of Provincial and Local Government (DPLG)
- Local Government - Mangaung Local Municipality
- Facilitator - Khanya - managing rural change
- CARESA

The **CBP process** started in September 2001 and 42 of the 43 wards were completed by Feb 2002. The preparation for CBP involved building political commitment and the training of 40 facilitators (30 of whom were municipal staff). The planning was conducted in 5 days per ward (includes planning for \$5000 allocated per ward and suggestion of projects for the Integrated Development Plan). 42 ward plans were produced, each ward having 10-18 000 people. These were then approved by council and informed the strategic direction/plan (IDP). They have also informed national Guidelines for Community Participation in Local Governance which Khanya has produced for DPLG. Now the key challenge is building national awareness.

4.2 The CBP Planning process

Table 4.2 summarises the CBP process used in Mangaung. There were differences between wards, eg between urban and rural, and between the richer mostly white wards, and the poorer, predominately black wards. Table 4.2 indicates some of the differences.

Table 4.2 CBP process in different wards in Mangaung

	Poor (predominantly black) ward includes	Rich (predominantly white) ward includes
Pre-planning	<ul style="list-style-type: none"> Meet ward committee (ward councillors) and councillors to inform them and decide on socio-economic groups Organise stakeholder/service providers Organise meetings with socio-economic groups 	<ul style="list-style-type: none"> Meet ward committee (ward councillors) and councillors to inform them and decide on socio-economic groups Organise stakeholder/service providers Organise meetings with socio-economic groups
Day one	<ul style="list-style-type: none"> Livelihoods analysis, Situational analysis (venn, mapping, timeline) SWOT analysis (evening) 	<ul style="list-style-type: none"> Meetings with service providers, NGOs, some livelihood groups Presentations prepared
Day two	<ul style="list-style-type: none"> Community meetings for feedback Livelihood analysis continue Service provider interview Evening community meeting (visioning, development outcomes, prioritisation →goals) 	<ul style="list-style-type: none"> Timeline (venn) Some livelihood groups Evening – community meeting does SWOT, priorities and vision
Day three	<ul style="list-style-type: none"> Strategies → activities → projects 	<ul style="list-style-type: none"> Strategies → activities → projects Allocation of \$5k → action plan Project profiles
Day four	<ul style="list-style-type: none"> Allocation of \$5k → action plan Project profiles Community meeting – plan validation 	Write-up
Day five	<ul style="list-style-type: none"> Write up 	

4.3 Learnings

This section summarises the learnings from the Mangaung CBP process, using the standard headings.

Community Participation and Ownership	
Worked:	<ul style="list-style-type: none"> helped by looking at social /economic groups Councillors and ward committee members owned the CBP process high and active participation and implementation
Did not work:	<ul style="list-style-type: none"> participation lacking in the suburbs – perception that “CBP” is a black thing no structured mechanisms below sub-ward
Bushenyi:	<ul style="list-style-type: none"> Structures in place for participation – LC1 and LC2 Degree of ownership - improved by social groups
Recommendations:	<ul style="list-style-type: none"> Structured way for representation through social groups
Planning Process And Methodology	
Worked	<ul style="list-style-type: none"> Methodology worked – steps followed
Didn't work	<ul style="list-style-type: none"> Timing – had to rush the process to meet IDP deadlines CBP and IDP not seen as part of municipality planning by HODs – line service department
Bushenyi and Recommend	<ul style="list-style-type: none"> Linking CBP to Municipal planning process
Facilitation of CBP	
Worked:	<ul style="list-style-type: none"> Build sufficient capacity internally Involving other units and provincial sector departments officials laid a foundation for acceptance of CBP
Did not work	<ul style="list-style-type: none"> Rolling out facilitation to community
Bushenyi:	<ul style="list-style-type: none"> Trained facilitators
Recommendation	<ul style="list-style-type: none"> Draw on facilitation expertise within communities (outside the ward committee/council structures)
Finance	
Worked:	<ul style="list-style-type: none"> Made budgetary provision for planning and implementing projects
Did not work:	<ul style="list-style-type: none"> Resource allocation not sufficiently covered
Bushenyi	<ul style="list-style-type: none"> Use of budget conference – decision on allocating resources
Recommendation:	<ul style="list-style-type: none"> outcome of CBP should influence allocation Budget conference – decision on allocating resources
Stakeholder involvement	
Worked:	<ul style="list-style-type: none"> Process all-inclusive
Did not work:	<ul style="list-style-type: none"> Inadequate participation by other provincial sector departments
Recommend:	<ul style="list-style-type: none"> DPLG should be central in alignment
Following-up / community management	
Worked	<ul style="list-style-type: none"> Structures there but need improvement
Bushenyi:	<ul style="list-style-type: none"> Follow-up on implementation of project (parish chairperson)
Recommend:	<ul style="list-style-type: none"> Resource allocation should be cascaded to ward level and management
Changes required	
Recommendations	<ul style="list-style-type: none"> Alignment of CBP process and IDPs (SS and L) Vest ward committees with authority to manage, decide and implement projects (policy change) Training and support need to be provided for ward committees

5 PROGRESS AND LEARNINGS FROM THE PILOTS IN ZIMBABWE

5.1 Context

The initial political will for decentralisation came with the Prime Minister's Directive (1984), where Village and Ward Committees were created. The Provincial Councils and Administration Act (1985) created Provincial Councils and Provincial Governors. Thirteen Principles of Decentralization were formulated in 1996. Finally in 1999 the Traditional Leaders Act (1999) created Village and Ward Assemblies which were chaired by traditional leaders. The Rural District Capacity Building Programme which started in the mid 1990s was a national programme developing the capacity of Rural District Councils to plan and manage development.

The key **structures of government and their roles** are:

- Central Government - policy and strategy formulation;
- Provincial Level - consolidation of district plans and providing a link for local governments to Central Government through (1) the Provincial Dev. Committee (technical) (2) the Provincial Council (political)
- Local Government - Rural District Council – planning and development authority at local level.
- a Rural District Development Committee comprised of government departments chaired by the District Administrator (a Ministry of Local Government representative at local level).

Annex 2 compares these with the other partner countries.

Sub-district Structures include:

- Ward Assembly – which coordinates village plans and is chaired by the Headman/Chief.
- Ward Development Committee (WADCO) - provides technical support to the Ward Assembly – Councillor who sits in Council.
- Village Assembly – where plans are generated – chaired by the Village Head
- VIDCO – provides technical support to plans at village level – elected Chairman.

The unit being used for community-based planning is the ward level which coordinates village plans and link them with local government planning process.

CBP Partners in Zimbabwe are:

- National - Ministry of Local Government, Public Works and National Housing;
- District - Gwanda and Chimanimani Rural District Councils
- Facilitator - Intermediate Technology Development Group Southern Africa

The **CBP Process** at national level involved a national review of CBP lessons, and a Country Learning Workshop held in 2001. At District Level work has progressed with two RDCs, Chimanimani and Gwanda:

In Chimanimani CBP has been done in 3 Wards (2000-01), including ITDG's involvement prior to the start of the CBP project. There was a Stakeholder review of planning outcomes and some community initiatives, some of which were supported by mainly NGOs (2001-02). There have been linkages with RDC planning through the IRDP.

In Gwanda there has been CBP in one ward in 2001 using a 5 day process using the CBP manual. Stakeholder sensitization and initial training was carried out and there is a plan for expansion into 3 more wards supporting other initiatives. There has been periodic sharing of results in council meetings for buy-in into the CBP model. There is now consensus in Gwanda on linking CBP to the RDC planning process.

5.2 Actual CBP process used

5.2.1 Planning process in Gwanda

Pre-planning

- Briefing of District training team (DTT) on CBP – D.T.T comprises RDC, LG, MYGEC, AGRITEX, HEALTH, NGOs, (LDS) VET
- Endorsement by DTT and ICRISAT stakeholders
- Presentation in full council and council approval
- Training of DTT and interested stakeholders (LDS, ICRISAT) in CBP

Planning

- Awareness raising through village representatives (one and half days)
- Situational analysis and visioning (three days) (resource inventories, livelihood groups, identification, institutional analysis, SWOT)
- Documentation (half a day) DTT and village representatives putting together documentation

5.2.1 Planning process in Chimanimani

Pre-planning

- Consolidation of IRDP outputs in the three wards with ward planning forums which were : institutional analysis wealth ranking, needs assessment report, district economy analysis reports – one day per ward.

Planning

- One day planning meetings in each ward: visioning
- Ward planning forums consolidation – two days per ward
- Public meetings one day per ward

5.3 Learnings from Zimbabwe

Community Participation Ownership	
What worked?	<ul style="list-style-type: none"> • Process encouraged participation of vulnerable groups including youths, women, orphans, HIV/AIDs affected and infected. • A wide spectrum of community owned initiatives emerged such as youths projects, women projects, orphan projects and agricultural initiatives.
What didn't work?	<ul style="list-style-type: none"> • CBP created a lot of expectations by the community. • Local linkages and co-ordination mechanisms became more complicated.
Bushenyi	<ul style="list-style-type: none"> • Local linkages and co-ordination mechanisms are simple, straightforward and functional.
Recommendation(s)	<ul style="list-style-type: none"> • There is need to strengthen involvement of local community institutions in CBP for effective community participation.
Planning Process and Methodology	
What worked?	<ul style="list-style-type: none"> • Building of a common understanding and integrated approach at district level (policy makers, sector ministries & other stakeholders). • Sensitization of sub-district structures to raise awareness and encourage participation. • Livelihood, wealth and local institutional analysis promoted local ownership and actions at community level. • Vision based planning strengthened local demand capacity for services by the community. • SWOT analysis critical in realization of local capabilities (strengths and opportunities)
What didn't work?	<ul style="list-style-type: none"> • There was little emphasis on resource envelopes for supporting the plan. • There was slow internalization and institutionalization of the community based planning model by other stakeholders and as a result no replicability.
Bushenyi	<ul style="list-style-type: none"> • Sharing of indicative budget lines for supporting planning outcomes with communities leads to realistic plans. • Good accountability mechanisms for technical support staff working at sub-district level – ie. at sub-county level.
Recommendation(s)	<ul style="list-style-type: none"> • There is need to internalize the process and methodology with local stakeholders/facilitators to enrich CBP process and replicability by others.
Facilitation of Community Based Planning	
What worked?	<ul style="list-style-type: none"> • The use of District Training Team with NGO Support (ITDG) was positive. • Facilitation process involving review of district wide planning experiences, sensitization of sub-district structures, community awareness raising, situational analysis (with poverty, services and institutional analyses and community visioning and planning involving livelihood analysis, wealth analysis, SWOT Analysis and Community Plans. • Basing Incentives for Local Facilitators on local practices. • CBP created opportunities for local capacity building incentives.
What didn't work?	<ul style="list-style-type: none"> • Narrow coverage (limited number of wards) . There was 1 ward in Gwanda and 3 wards in Chimanimani. • District Training Teams not well entrenched in local government planning practice. • There are weak accountability and feedback mechanisms on the facilitation of CBP.
Bushenyi	<ul style="list-style-type: none"> • Sub-district structures play an active in the CBP process. • There is clear separation of technical and political roles in the planning process.
Recommendation (s)	<ul style="list-style-type: none"> • There is need to strengthen the role of sub-district structures and accountability mechanisms in planning.
Finance	
What worked?	<ul style="list-style-type: none"> • Multiple resource leveraging using CBP is effective. • CBP has led to accelerated self-help initiatives and self-financing mechanisms (including wise use of remittances). • Community-private sector linkages emerged particularly for community projects such as bee-keeping and orphan care.

What did not work?	<ul style="list-style-type: none"> Limited budgets for planning. Resource allocation at RDC level not yet based on CBP. Lack of district-wide CBPs limiting community involving in decision making on use of resources.
Bushenyi	<ul style="list-style-type: none"> There is good financial support for the CBP process. Local revenue management is proving critical for CBP processes.
Recommendation(s)	<ul style="list-style-type: none"> There is need to strengthening exploring the potential of multiple resource leveraging for district wide planning using CBP model.
Stakeholder Involvement	
What worked?	<ul style="list-style-type: none"> A wide spectrum of stakeholders were involved including NGOs, Private Sector, FBOs, Government departments and CBOs through targeted stakeholder meetings. Use of the DTT which is multi-disciplinary and multi-sectoral created a co-ordinated approach; There was immediate stakeholder response to CBP outcomes Traditional structures used as a vehicle for community mobilisation, planning and approval of local plans.
What did not work?	<ul style="list-style-type: none"> Public sector involvement often erratic and unreliable due to declining financial and technical resources. There was unwillingness to disclose budgets and operational plans by NGOs, Public and Private Sectors).
Bushenyi	<ul style="list-style-type: none"> There is very strong public sector support to decentralization and CBP. The accountability of various stakeholders to the sub-county chief promotes stronger involvement and commitment by stakeholders in the planning process.
Recommendation (s)	<ul style="list-style-type: none"> There is need to increase public sector participation in CBP through dialogue, exchanging practical lessons and experiences and providing technical support.
Following Up the Plan – Community Management	
What worked?	<ul style="list-style-type: none"> A broad spectrum of community based initiatives have emerged from CBP – most of them local income generation and livelihood initiatives. Emergence of new Community Based Organisations as a result of CBP – such as local development committees and project management committees. Good horizontal feedback processes and mechanisms at community level.
What did not work?	<ul style="list-style-type: none"> The integration of new CBOs with existing structures is a remaining challenge – in particular poor links with Village and Ward Assemblies. Poor vertical feedback and accountability mechanisms.
Bushenyi	<ul style="list-style-type: none"> There are well established structures to follow up the Plan at Village, Parish and Sub-County levels. There are good horizontal and vertical accountability on follow-up actions.
Recommend:	<ul style="list-style-type: none"> There is urgent need to speed up the involvement of Village and Ward Assemblies in CBP.
Changes Needed	
What is working	<ul style="list-style-type: none"> Community planning is feeding well into higher level planning processes. Policy emphasis on decentralization and participatory local governance is has strong technical and financial resource backing. There is adequate planning capacity at district and sub-district levels for effective CBP.
What is not working?	<ul style="list-style-type: none"> There is a big disconnection between CBP and district planning process. There is inadequate resource support to match the policy thrust for participatory local governance and decentralization. There is very little recognition (in practice) of sub-district planning structures by higher level planning bodies. Planning capacity at district and sub-district levels inadequate.
Recommendation	<ul style="list-style-type: none"> There is urgent need to ensure that integrated planning is linked to community based planning processes with stronger recognition and involvement of sub-district structures. There is need to strengthen capacity building for CBP at district and sub-district levels. There is to rebuild commitment to decentralization and participatory local governance through strengthening technical and financial support for lower level planning structures.

6 PROGRESS AND LEARNINGS FROM THE PILOTS IN GHANA

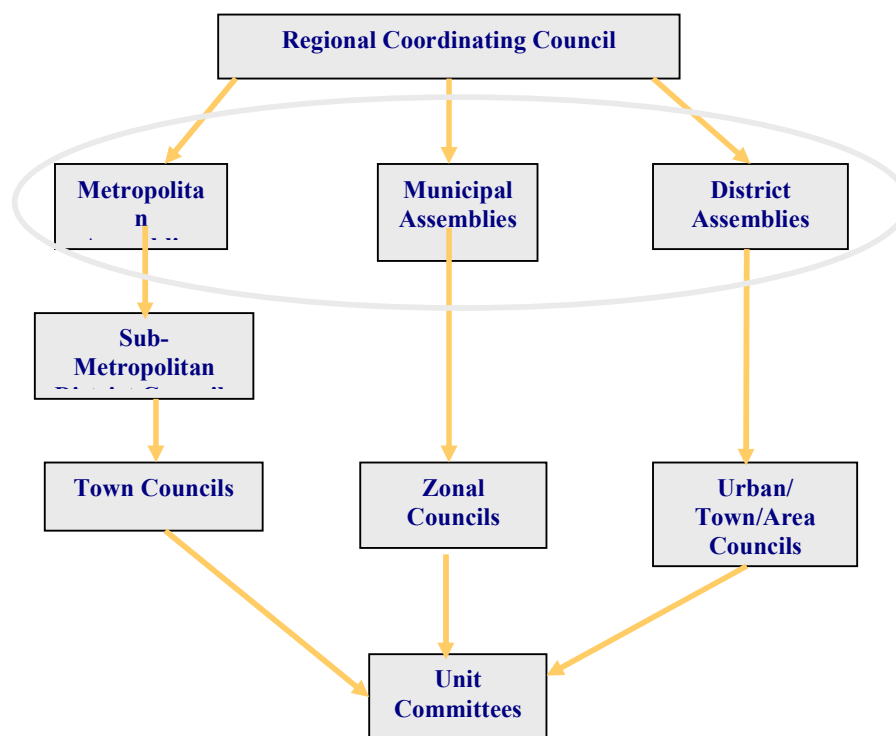
6.1 Context

In 1988 Local Government and Administrative reform started. Legal Backing is by five basic pieces of legislation:

- 1992 Constitution of Ghana;
- The 1993 Local Government Act 462 and LI 1589;
- The 1993 Civil Service Law (PNDCL327);
- The 1994 National Development Planning Commission (NDPC) Act 479 ;
- The 1994 National Development Planning (System) Act 480.

Figure 6.1 below shows the relationship between different levels of subnational structures.

Figure 6.1 Subnational structures in Ghana



Their **roles and responsibilities** are as follows:

- Regional Coordinating Council - Monitoring, coordination and evaluation of DAs and public services;
- District Assembly - overall development of the district: productive activity and social development ; basic infrastructure and services; human settlement and environment;

- Urban/Town/Zonal/Area Council - carries out delegated functions of the Assembly, Revenue and Social mobilisation;
- Unit Committee - community education; organisation of communal labour; revenue raising ;ensuring environmental cleanliness; registration of births and deaths; implementation and monitoring of self-help projects among others.

Annex 2 compares these structures with those of other partner countries.

The **partners** in the CBP project in Ghana are:

- National - Ministry of Local Govt and Rural Devt, National Development Planning Commission;
- Local Govt. (District Assembly) - Adansi East & Asante Akim South Das;
- Facilitator – ISODEC.

In terms of **National Level** activities, a presentation was made on CBP at a national planning review workshop, and the team has been expanded to include NDPC and MLGRD.

6.2 Planning process followed

Table 6.2 shows the actual schedule of the planning process followed in New Edubiase in Adansi East District, with a population of 9,700 covering an area of 1,020 sq. km. This happened in February – March 2002 (10 day process), with Facilitators from the District Planning and Co-ordinating Unit, staff of the Area /Town Council (who were re-engaged), and Chairpersons and Secretaries of five groups, who were trained in the process.

Table 6.2 Planning schedule for New Edubiase

Day	Task
1	<ul style="list-style-type: none"> • Management meeting for the discussion of CBP concept, processes and methodology • selection of community (pilot) and approval of planning budget
2	<ul style="list-style-type: none"> • Community meeting for the discussion of CBP concept, methodology, and roles and Responsibilities of stakeholders
3	<ul style="list-style-type: none"> • Stakeholder meeting for clarification of roles and responsibilities
4-5	<ul style="list-style-type: none"> • Workshop on SWOT analysis and visioning
6-8	<ul style="list-style-type: none"> • Interviews on Livelihood analysis and service providers
9	<ul style="list-style-type: none"> • Workshop on action planning
10	<ul style="list-style-type: none"> • Plan compilation and fine tuning • public forum

6.3 Learnings

Community participation and ownership	
What worked:	<ul style="list-style-type: none"> • A large cross-section of the community participated through the representatives
Did not work:	<ul style="list-style-type: none"> • Disadvantaged groups were not consciously represented
Bushenyi	<ul style="list-style-type: none"> • Direct participation at the village level by all those who had attained the voting age
Recommend	<ul style="list-style-type: none"> • Fusion of direct representative participation
Stakeholder involvement	
Worked:	<ul style="list-style-type: none"> • Traditional authority fully participated • Government departments, NGOs and private sector
Did not work:	<ul style="list-style-type: none"> • The programme of action of civil society could not fully be brought to bear on the plan
Bushenyi	<ul style="list-style-type: none"> • Full integration of civil society, private sector in CBP process
Recommend	<ul style="list-style-type: none"> • Full integration of civil society into the planning process
Planning process and methodology	
Worked:	<ul style="list-style-type: none"> • CBP methodology enable community to identify strength and opportunities against their weaknesses and threats • Management and the assembly discussed and accepted the CBP methodology
Did not work:	<ul style="list-style-type: none"> • The process coincided with the farming season • It coincided with the transitional period of the local government planning cycle • Political transition resulting in mass transfer
Bushenyi	<ul style="list-style-type: none"> • CBP process now part of the LG planning cycle
Recommendations:	<ul style="list-style-type: none"> • The district assembly to scale up to the 8 other area council • National policy to adapt the CBP methodology and process and decide on appropriate timing for the planning cycle
Facilitation of CBP	
Worked:	<ul style="list-style-type: none"> • Facilitation included the DPCU, area council staff and representative of the various livelihoods groups • Livelihoods group leadership involvement in the facilitation process • Availability of human resource for facilitation
Did not work:	<ul style="list-style-type: none"> • Non-involvement of the sub-district frontline workers • Inadequate financial resources for facilitation
Bushenyi	<ul style="list-style-type: none"> • Involvement of extension service staff in the facilitation process • Inadequate logistic support from the district • Willingness on the part of LG staff to assist capacity exists to deliver
Recommendations	<ul style="list-style-type: none"> • Involvement of the extension staff in the facilitation team • Adequate resource – human and logistics made available for the process
Finance	
Worked:	<ul style="list-style-type: none"> • There exists a budget line for planning at the local level
Did not work:	<ul style="list-style-type: none"> • Inadequate budget allocation for CBP process • At the community and the assembly levels based on the resp for execution of the project • No separate budget for CBP process
Follow-ups	
Worked	<ul style="list-style-type: none"> • There is good community action on objectives in the plan
Did not work:	<ul style="list-style-type: none"> • Inability to achieve objectives on the target date
Bushenyi	<ul style="list-style-type: none"> • There is impressive community action on plans
Recommend	<ul style="list-style-type: none"> • Communication needs to be improved between the higher and lower levels of government
Changes needed	
Worked:	<ul style="list-style-type: none"> • The existing structures support the CBP process
Did not work:	<ul style="list-style-type: none"> • Because the area councils were not established, the unit committee were dormant
Bushenyi	<ul style="list-style-type: none"> • Sub-structures are functional • Enforce the rolling plan concept to the letter

Recommendations	<ul style="list-style-type: none">• We need to activate our sub-structures• Enforce transparency and accountability• Establish the departments, train the people at all levels, create awareness and provide adequate logistics at the various levels• Need for policy change but awareness creation on and full implementation of policy decision• Increase the planning envelope• De-link departments from their mother departments
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7 LEARNINGS FROM THE VISITS IN BOLIVIA AND INDIA

7.1 Learnings from India

The objective of the tour was to learn from the Indian experience and systems. Some lessons include:

- Decentralised structures exist down to a fifth level namely a Village *Panchayat* (government) consisting of between 1000-5000 voters. Although this is more inclusive encouraging increased self-reliance, it does increase institutional complexity
- State officials are seconded to lower levels to which they are accountable in providing technical and planning assistance, where often it is lacking
- There is a dual funding mechanism allowing for funds to flow directly from the state to the village for certain development projects, although this is often subjected to political influences.
- There is good rural infrastructure (especially communications) which enhances the effectiveness of development planning
- Environmental issues have been taken seriously and are mainstreamed in the plans

7.2 Learnings from Bolivia

The objectives of the study tour was to learn from the Bolivian experience of implementing the Popular Participation Law of 1994. From there, some learnings include:

- the existence of local CBO structures (OTBs), which are legally recognised, and can apply to be registered as an OTB representing the area
- the way the OTBs vote for a Vigilance Committee at municipal level which provides a civil society oversight role on the municipalities
- the voluntary grouping of municipalities to form Mancomunidades, to focus on specific cross-municipality issues, eg economic development, transport etc

8 LEARNINGS ACROSS COUNTRIES

8.1 Process

Mixed country groups took the learnings produced by each country and disaggregated these by theme. Hence each group had the learnings on a theme (eg community participation) from the 4 countries. They then looked at what was common, where there was divergence and then came up with recommendations across the different countries. The next sections take these themes in turn.

8.2 Community participation and ownership

Livelihood grouping	Ownership	Representation
<ul style="list-style-type: none"> Use of various livelihood groupings in planning should be encouraged Should include diversity and vulnerable groups like children Decide what livelihood groups across an area for consistency and inclusivity (being specific and why) Decide on issue of children Poverty/wealth issues important 	<ul style="list-style-type: none"> If high participation – ownership and therefore create enabling environment for participation 	<ul style="list-style-type: none"> Encourage both direct and indirect representative representation Direct at lowest level (e.g village) representatives as move up aggregate Representative to reflect social diversity as livelihood groupings
Unit of planning	Local Instit. (CBOs)	Incentives
<ul style="list-style-type: none"> Divergence across countries as system set. SA could consider sub-ward planing/participation Numbers? Wards/area and parish are the correct units, but in Uganda need to link the village in as part of the planning process 	<ul style="list-style-type: none"> Programme of action of NGOs (and potentially CBOs), must be fully integrated into the plan 	<ul style="list-style-type: none"> Need to ensure ownership, feeling plan is theirs, so beware of incentives for people Should happened at local level by locals using their resources May need allowances for facilitators but must be careful of sustainability – don't want to create precedent Resources flowing to plan provide incentive – ensure feedback on what is agreed

8.3 Stakeholder involvement

Where there was consensus	Where divergence
Where traditional leaders are recognised as opinion leaders, their involvement in the planning process is a key to its success	S.A /Zim - Limited public sector involvement in CBP and implementation due to Financial constraints (Zim) and time (S.A)
CBP process was strengthened by a broad range of stakeholders, i.e civil society, government, private sector (Uganda and Ghana)	Weak follow-up and commitment of NGOs in CBP process at implementation level (Ghana)
The integrated nature of CBP demands a multi-disciplinary and multi-disciplinary and multi-sectoral involvement/approach	National level discussions between MLG and NGOs/CSOs resulted in a healthy debate about roles and responsibilities in CBP
Unwillingness of the various stakeholders to fully disclose their respective sources of funding and budgets to each other	
The CBP process triggered spontaneous local action for the implementation of the plan where minimal external resources were required	

Recommendations

- Inter-sectoral and involvement at all levels in planning and implementation
- Strong involvement of civil society and private sector
- Accountability and transparency at all levels
- District associations (co-operation)
- Formulate criteria for NGOs/CBOs that are viable for participation
- Improve vertical and horizontal integration and linkage in planning especially where there are provincial structures
- Where possible integrate traditional leaders and opinion leaders in the planning process
- Need to build more confidence around NGOs, CBOs local government relationships particularly with regard to implementation of plans
- Involve the private sector in planning

8.4 CBP Planning process and methodology

Consensus	Divergence
Visioning, SWOT, livelihoods analysis worked well	The livelihood outcomes not always developed during visioning process
Plans are action-oriented	
The timing of CBP process is influenced by National/local planning cycle, politics, environment and local factors (availability of facilitators)	
It is important to sensitise sub-district structures e.g wards, sub-county, parish, village before the actual planning – to raise awareness, to ensure high participation	
More emphasis needed to bring on board higher level stakeholders (e.g sectoral departments, ministries, private sector, national NGOs, agencies, departments)	Gap between strategies, activities and projects
More emphasis needed what communities can do for themselves without external support	
The prioritisation of (projects/activities) development outcomes on the ranking/voting and most of the issues of vulnerable groups were lost	
Need to improve documentation of planning process below the parish/ward	
More focus needed on mainstreaming environment, gender issues, HIV/AIDS issues	

Recommendations

- Continue with CBP methodology
- Reviewing manual to cover:
 - Local resources
 - Prioritisation criteria
 - Consideration of vulnerable groups and livelihood outcomes
 - Mainstreaming of environment and gender issues (HIV/AIDS)
 - Monitoring and evaluation of implementation
- CBP should be institutionalised/integrated into local planning cycle
- Build CBP planning capacity at parish/ward levels and maintaining the inputs from technical staff from higher levels
- Sensitisation of all stakeholders on CBP/local government planning especially the higher level stakeholders
- Need to improve documentation at ward/village/parish levels – time problem to ensure external service providers participate in planning- don't know priorities until day before
- Use CBMIS village record books and parish register for developing parish profiles and as a base for planning

- More training at parish vision/goal at community level to increase understanding

Facilitation and Training

Consensus	Divergence
Use of extension workers trained by a higher level team contributed to the success of CBP	Zim/Ghana – in Ghana due to timing
A multi-sectoral team in facilitation was effectively in CBP	Failure to link plans with available funds/budget – in Zim as no IPFs
Contribution of NGOs in training core teams was critical in success of CBP	
TOT/ cascading process was effective in CBP	
Little attempt to budget for the planning process at lower levels (people planning for themselves – CBP)	Divergence in facilitation allowances paid to facilitators –
Pilot nature of CBP means that a broad coverage is yet to be realised	Zim pays normal LG rates, Uganda pays LG rates for staff – S.A. pays overtime rate
High level of involvement and participation of elected leaders (politicians) in mobilisation and awareness meetings on CBP	

Recommendations

Positive aspects to be continued:

- Multi-disciplinary/multi-sectoral approach in facilitation
- TOTs for lower level extension staff
- Continued mentoring of lower staff by high level staff
- Involvement and participation of political leaders in CBP processes
- Involvement of NGOs/Civil society in capacity building of local government staff

To be improved:

- Simplification of the training manual and training (CBP) i.e local language and illustrations
- Allocate specific budgets for planning especially at lower levels of governance from revenue locally generated
- Keep the national level informed about the progress of CBP. If it is a success, spread across the country
- Release IPFs to guide community to produce realistic plans
- Appropriate a focal person to co-ordinate planning at lower levels and specify planning responsibility in the job description of every government office at all levels
- Strengthen PRA skills for facilitators at lower levels to enrich CBP
- Develop a training manual which incorporates a facilitators manual
- Proposed revisions to methodology/system

8.5 Finance

Key issues - Funding the planning process (including incentives), and whether to guarantee funding (eg Mangaung R50k)

Consensus	Divergence
For successful CBP process must be a budget line for the planning process at all levels	There are varied mechanisms for linking resource allocation to

Tapping of local resources (material: human and financial) for cost effective and sustainable planning	CBP process
Funds flowing to the plans is an incentive to participation for communities	There are varied levels of financial support to the decentralisation process
Local revenue generation and management critical for CBP – can be directly for community	There varied approaches to financing plan implementation like co-financing/self-financing/ full (100%) financing “S.A”
Budget line should include “incentives” for government and other facilitators (transport, subsistence)	

Recommendations

- As capacity for planning grows at lower levels – more funds should be allocated for lower levels
- Communities and other stakeholders need to be fully involved in budgeting to ensure resources are allocated according to the local plans (e.g budget conferences)
- Need emphasis on involvement of service providers in planning
- Balancing co-financing and self-financing in planning
- Develop a mechanism for promoting budget allocation for disadvantaged groups (i.e guidelines prioritisation criteria, etc.)
- Emphasis on resource allocation display (accountability)

Note that the cost of fuel and meals for each ward in SA was about \$130.

8.6 Link to local government planning process

Consensus	Divergence
Need to build common understanding and integration approach at LG level	Only in Uganda is CBP formally part of LG planning cycle
LGs must take into account national frameworks but national departments must also recognise LG plans	
National policy to adopt and adapt the CBP methodology	
Need for appropriate timing – had to rush the process to meet IDP deadlines	
Need for sharing of indicative budget lines with communities leads to realistic plans	
Need for LGs to build consensus across LGs and internally about use of CBP	

Recommendations

- Strong government policy made that sectoral plans at LG level are integrated with LG plans
- Presentation and discussion with national government and LG on gains and process of CBP
- Presentation and discussion with other stakeholders on gains and process of CBP (NGOs, LGs, provinces)
- Incorporate CBP methodology into national/national NGO planning guidelines
- National LG planning cycle needs to allow adequate time and appropriate timing for CBP
- Announce indicative planning figures for LG (all) and parish (Uganda) prior to CBP process if possible
- Budgets for sectoral departments at LG level shared with LGs and sub-LG structure as part of planning process
- Harmonisation of planning formats in LGDP and finance (Rom)

8.7 Follow-up and community management

Consensus	Divergence
Structure - LG structures generally in place	Uganda structures are better understood and functional
Feedback: Horizontal and vertical feedback and linkages needs to be improved (informal)	
Transparency – there is a common need for increased transparency and accountability	
Community action in implementation of plans to be encouraged	

Recommendations

- People need to be made aware of structures for active participation
- Feedback mechanisms incorporated in plans e.g mandatory report back meetings by representatives
- Mass media – newsletter, radio, churches
- Publicise information in public places
- CBOs, NGOs and other institutions should be involved in CBP processes
- Display of information at public places
- Involvement and participation of “people” in plans including poor/disadvantaged
- External monitoring of plan implementation by CSOs, NGOs forum need to qualify what and how
- PDCs/Ward committees to monitor and evaluate implementation of plans
- Incentives – immediate delivery (e.g fund available)
- Monitoring mechanisms clearly put in the plans
- Centre and LGA needs to be informed and involved in discussions about lessons and future of CBP

8.8 Changes required

Consensus	Divergence
Structures and system linkages – all have a statutory structure which can be used for CBP (ward, area, parish)	All have wards of equivalent – S.A does not have below ward level
Ward councillor/parish councillor needs the authority to manage development can be delegated	In some countries (Zim/Ghana) wards/area councils are not functioning, nor villages/units
Policy change and enforcement – planning process needs more strategically address economic issues as well as social infrastructure	
Need to enforce transparency and accountability by local government	
Training and support – need to strengthening planning capacity at district and sub-district level through the cascade approach – Zim	Sub-district planning guidelines only exist in Uganda (i.e nationally promoted/provided)
Need for champion at national, district, local municipality level for CBP	

Recommendations

- Uganda – PDC become statutory – SA to consider creation of sub-ward representative structure
- Review functions and power of area/ward so that can carry out delegated development management
- Establish, equip, assign responsibility and train ward/are council
- Need for regular review of planning procedures
- Need for regular review of performance by LG and sub-structure
- Presentation to national MoLG about CBP and possibility of national guidelines

- Train/re-train LG staff (and service departments) to facilitate CBP and to train lower structures as part of cascade process
- Need for champion in national MoLG and LGs, and also allies to advocate for CBP

9 WAY FORWARD

9.1 For the remainder of the CBP project

A GANTT chart was drawn up of the main activities needed to be undertaken for completion of the CBP project by December 2002.

Table 9.1 CBP GANTT chart

Activity	Jul	Aug	Sep	Oct	Nov	Dec	Resp
Send out report from Uganda meeting by 19 July							Ian
Guidelines around livelihood groups, incentives, services providers, representation							James, Wilton, Francis, Charles
Advocacy video completed		Beg					Ian
Complete pilots in Ghana and Zim		Wk1					Francis, Sampson
In-country evaluation in SA, and Uganda							Khanya/MLM
Advocacy - presentation on CBP and discussions with national stakeholders							Khanya/MLM/DPLG/SALGA
Country reports			Wk3				Khanya, ITDG, CARE, ISODEC
National w/s to present experience				SA			Each country
Last partner workshop				1 st wk			Khanya + partners
Searching for funding for in-country piloting							Ghana/Zim
In-country dissemination							All
Exchanges between countries – eg around ToT							Various
Review and revise manual							Khanya leads
Develop training manual							Khanya leads
Integrating CBP into national frameworks (also district/local)							All
Training and retraining of facilitators with new manual							All
Training video							Khanya
Report on action-learning process							?
Project completion report							Khanya

We should also consider doing an evaluation in a year's time around June 2003 to see the impact of the planning.

9.2 Ghana

ACTIVITIES	July		Aug		Sep		Oct		Nov		Dec		Jan		Feb		Mar		Apr		May		Jun	
	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2
District Level																								
Training of Facilitators																								
Exchange of facilitators																								
Complete Pilots in Two districts																								
Complie composite plans																								
Plan implementation																								
District Reports																								
Monitoring																								
Process /Impact Evaluation																								
Retrain Facilitators																								
Revise Devt Plan																								
Plan implementation																								
Regional Level																								
Presetation to RCC																								
National Level																								
Meeting with DFID/project feedback																								
Meeting with Care/UNICEF																								
Meeting with sector Ministers																								
Country Report																								
In-country presentation																								
CBP Team																								
Strategic planning																								
Draft planning guideline																								
Revise training Manual																								
In country dissemination																								
Team Meeting																								

Action plan for Ghana

ACTIVITIES	WHO	WHEN	CBP resources needed	Approx Budget
District Level				
Training of Facilitators	Francis/ Sampson			
Exchange of facilitators	Tay			
Complete Pilots in Two districts	Francis/ Sampson			
Compile composite plans	Francis/ Sampson			
Plan implementation	Francis/ Sampson			
District Reports	Francis/ Sampson			
Monitoring	Francis/ Sampson			
Process Evaluation	Francis/ Sampson			
Retrain Facilitators	Francis/ Sampson			
Revise Devt Plan	Francis/ Sampson			
Plan implementation	Francis/ Sampson			
Regional Level				
Presentation to RCC	Francis			
National Level				
Meeting with DFID/Feedback	Tay			
Meeting with Care/UNICEF	Tay			
Meeting with sector Ministers	Cofie			
Country Report				
In-country presentation				
CBP Team				
Strategic planning				
Draft planning guideline				
Revise training Manual				
In country dissemination				
Team Meeting				

9.3 Uganda

Activity Workplan for Uganda July 2002-June 2003

Item	Description	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
1	In-country evaluation/review												
2	Finalization of in-country reports												
3	National forum to present findings from Bushenyi												
4	Identify & engage consultant/facilitator for evaluation review process												
5	Develop Terms of Reference for the Evaluation												
6	Revise/review key features of the Bushenyi CBP Manual based on the generic manual												
7	Training of facilitators in Bushenyi using training manual												
8	Parish/Sub County CBP process												
9	Training of CAOs & District Planners nationally on HPPG application												
10	Application of HPPG nationally												
11	Presentation of CBP to donor Sub Group on Decentralization												
12	Briefing to sector departments/ministries & projects on CBP												
13	Solicit feedback on HPPG through quarterly reviews												
14	Review, finalize and publish HPPG												
15	South African workshop												
16	Publicize Bushenyi pilot experience												

Action plan for Uganda

Item	Activity	Who?	When?	CBP Resource	Budget (\$)
1	Evaluation				
	a) Prepare TORs	Tom/Paul	15th Aug		
	b) Identify consultant	Tom/Paul	15th Aug		
	c) Develop evaluation indicators	Consultant	25th Aug		
	d) Bushenyi briefing with facilitators	CAO & Facilitators	Late Aug		\$1,000
	e) Report writing	Consultant	Early Sept		\$5,000
	f) Review draft and finalize comments	Uganda Team	Early Sept		
	g) Circulate to other countries	Tom/Paul	15th Sept		
2	Revise and Review Bushenyi Manual	CAO/Planner/Field			\$1,000
	a) Retreat for rewriting manual	Team			
3	Training of Facilitators				
	a) 2 workshops x 5 days for Sub County Teams	CAO/Planner	End Aug		\$8,000
	b) Training Materials prepared/produced	"	"		\$2,000
4	CBP Process implementation in Bushenyi				
	a) Parish level plans	District Planner	21st Sept		\$0
	b) Sub County plans	District Planner	15th Oct		\$0
	c) Sub County budget conference	District Planner	15th Oct		\$0
5	National Training Event for district planners & CAOs				
	a) 2 workshops (Mbarara, Mbale) for training in HPPG	Martin/Paul (PMU)	End of Sept		\$30,000
6	Raising Donor awareness on CBP				
	a) Briefing DFID Advisers	Martin/Tom	End of Octobe	0	\$0
	b) Briefing members of donor Sub group on Decentralization	Martin/Tom	End of Octobe	0	\$0
					\$47,000

9.4 SA GANTT chart

Activity	Jul		Aug		Sep		Oct		Nov		Dec
	1	2	1	2	1	2	1	2	1	2	1
Send out report from Uganda meeting											
Review of progress with ward plans and strat meeting inc DPLG											
In-country evaluation in SA, and review of process		TORs									
Advocacy - presentation on CBP and discussions with national stakeholders		Meet Yusuf									
Country reports					Wk3						
National w/s MLM/DPLG/SALGA/CBP to present experience							SA				
Last partner workshop							1 st wk				
In-country dissemination (inc Cities Network)											
Exchanges between countries – eg around ToT											
Review and revise manual											
Develop training manual											
Develop methodology for rolling plans											
Revise/roll the ward plans											
Integrating CBP into national frameworks (also district/local)											
Training and retraining of facilitators with new manual											
Training video											
Report on action-learning process											
Project completion report											

Consider evaluation in year's time

Action plan for SA

Activity	Who	When	CBP resources needed	Approx budget (\$)
Advocacy				
Report back to SALGA working group	Appollis			
Report back to DPLG	Kadimo			
Organise meeting with Yusuf to discuss how to take forward	Kadimo	5 Aug pm?		
Organise meeting with 3 LMs and Motheo re CBP/IDP	Teboho			
Presentation to FRELOGA/Province on CBP/ IDP	JJ			
Evaluation				
Overall view of ward progress	T Mea	31 July		
Initial strategic review	MLM/Kh/DPLG	31 July		
Discuss with Yusuf involvement/ methodology for evaluation	Ian	5 Aug pm?		
Draft TORs and indicators and circulate for comment	Ian+MLM			
Undertake evaluation (how to max learning)	Contract	31 Aug	Yes	
Institutional implications				
Workshop implications based on evaluation	MLM/Kh/DPLG			

Activity	Who	When	CBP resources needed	Approx budget (\$)
SA National Workshop	MLM/Kh	30/9 or 7/10		
Confirm the date	MLM/Kh	31/7		
Develop workshop concept paper inc. draft programme	MLM/Khanya	1 st wk Aug		
Review of progress with ward plans and strat meeting incl. DPLG				
Strategic meeting	MLM/Khanya	2 nd wk July		
Revise and review for rolling of ward plans		End Sept		
In-country dissemination (inc Cities Network)				
Exchanges between countries – eg around ToT		Aug		
Review and revise manual		Jul/Aug		
Develop training manual		Aug		
Develop methodology for rolling plans				
Integrating CBP into national frameworks (also district/local)				
Training and retraining of facilitators with new manual				
Training video				
Report on action-learning process		31 Oct		
Country report		23 Sept		
Donor liaison				
Official invitation from the MLM Executive Mayor Organise ward visits Presentation by Ward Councillor				
Project completion report				

9.5 Zimbabwe

Activity	July	Aug	Sept	Oct	Nov	Dec	2003
1 Completion of pilots							
1.1 Adaptation of CBP manual	22-23						
1.2 Debrief MLG and DAs	24						
1.3 Debrief DTTs and prep for training of facilitators	26						
1.4 Train facilitators (3 groups/RDC)							
1.5 Trial runs		19-23					
1.6 Review trial runs		24					
1.7 Actual planning		26-	6				
2 Integration into LA plans							
2.1 Feedback to communities and indicative budgets							
2.2 Review of plans by communities							
2.3 1 st quarterly review							31 Mar
2.4 Half yearly review and link with national planning and budget process							30 June
2.5 2 nd round of planning							Aug
3 National stakeholder workshop (advocacy, dissemination, integration and harmonisation)			13				

Activity	July	Aug	Sept	Oct	Nov	Dec	2003
5 Country report							
5.1 Outline	31						
5.2 First draft			10				
5.3 Second draft			17				
5.4 Final			20				
6 DFID briefing			19				
7 Gov consultation on CBP							By 31 Jan

Action plan for Zimbabwe

Action	Who	When	CBP resources needed	Approx budget (£)
Completion of pilots				
Adaptation of CBP manual, guidelines	Core team	22-23/7	T+S	1000
Debriefing of Ministry		24/7		
Debriefing of DTTs and prepare training	Core team	26/7		
Train facilitators	DTTs	30/7-7/8	Accomm, stationery, food	2400
Trial run of planning	Core/DTT	19-23/8	Accommodation	1000
Review trial run	“	24/8		
Ward planning	Facilitators	26/8-6/9	Stationery/food	3000 (provided by RDC)
Integration into RDC plans at committee stage	CEO	30/9		
Feedback to communities/indic budgets	DTT/Clrs	31/10		
Review of plans by communities	Comm.	30/11		
1 st quarterly review	CEO	31/3/03		
Half yearly review and link with nat budget process	CEP	30/6/03		
Second round of planning	DTT	15/7		
Country report				
Outline	Khanya	31/7		
Ward reports	Facil	4/9		
District reports	CEO	6/9		
First draft report	Consult	10/9	10 days consultancy	2500
Second draft				
Final				
National stakeholder workshop				
Debriefing of stakeholders	Core	24/7		
Planning of workshop	Core	31/8		
Running workshop	Core	13/9	Fees, venue, food etc	1000
Total				CBP - £7900 Own - £3000

10 FOLLOW-UP

10.1 Evaluation of the Pilots in Mangaung and Bushenyi

This group was tasked with coming up with a concept for an evaluation to be conducted in Mangaung and Bushenyi, ideally with a common methodology. This may well be conducted by a third party. Note also that another project that Khanya is involved with (Goodbye to Projects) is looking at examples of SL-related projects, and would like to use CBP as a case study. This would mean some intellectual resource provided by the University of Bradford in the UK. The key evaluative questions are below:

Objective of evaluation

- To establish whether the CBP process achieved its objectives (e.g principles)
- To document the learning from the first round for improving operation

Approach and methodology

- What was the methodology used and how different to previous?
- How did CBP address issues of the poor/vulnerable/gender/environment/HIV?

Activities

- What were the major activities that actually happened?

Actors and involvement

- Who was involved?
- What are the roles played by different partners in the CBP process?
- Partnerships – were service providers involved – which improved linkages?
- Improved civil social government linkages?
- Any follow-up on facilitators in the field and was there any action taken?
- How was the training of facilitators – did it work?
- How was it facilitated – does this look sustainable?
- Were the manuals used – did they improve quality?

Resources

- Financial contributions by parties and locally
- Resources used/ was this is cost effective?

Impact

- Improved role of private sector
- Were the projects that arose different – did they show evidence of stronger poverty orient?
- Improving planning, improving services, empowerment
- Degree of intersectoral planning and action
- Capacity-building of district/LG and sub-LG structures
- Linkage with LG plans nationally
- Degree of participation and ownerships – LG, Sub-LG (officials, councillors, people)
- Whether participants grasped the concepts

External changes

- What external changes occurred and are needed if CBP is to be implemented nationally (policies, systems, training and support)?

10.2 Possible CBP support activities in 2003+

Activities	Support required	Who/where
1 Scaling up of CBP <ul style="list-style-type: none"> National workshops with decision-makers Advocacy Publicity/communication materials 	Funds	Within country Outside
2 Transferring CBP learning to other countries	Funds – possible new project	DFID, USAID, UNDP
3 Integrating CBP into national planning processes	Funds	Within/without
4 review the CBP process and impact – do evaluation in mid 2003	Funds	DFID
5 Building strong links between planning authorities in different countries around themes in local governance eg community-based service delivery	Funds	Foundations for African governance, eg Ford, Rockefeller, Fredrich Ebert

10.3 Revising guidelines

This group was given the task of proposing how the guidelines around the following topics can be improved:

- What is the appropriate way to deal with incentives
- how to define livelihood/social groups
- how to involve service providers in the planning, and
- how to ensure appropriate representation in the planning process, especially if there is no sub ward/parish structure

Activity	By when	Who	Resources required
Meeting in SA to draft guidelines	Wed 17/07	Teboho/James/Tan kiso	Transport Refreshments
Circulate guidelines for comment	22/7	All CBP members	Cost for email
Provide feedback on draft guidelines	26/7	Zim – Wilton, Ronnie, Abs Ug – Monday, Charles	
Prepare final draft of guidelines		James	
Incorporate in revised manual	31/7	Different countries	Cost of manuals
Lead people <ul style="list-style-type: none"> incentives – Charles Livelihoods – Teboho Rep – Francis Service providers – Zim 			

10.4 Revising manual and developing training manual

The objective of this group's task was to develop a clear process for revising the facilitation manual and developing a training manual.

Activity	By when	Who
1 Refinement of generic CBP facilitation manual based on experience from pilots	31 July	Khanya
1.1 Consider issues/recs made from the Uganda visit	31 July	
1.2 Send out the revised manual for comments	mid August	
1.3 Final generic manual ready for dissemination	End August	
2 Develop training manual – partners to participate in developing/revising the manual	31 August	Khanya to lead

Annex 1 Programme for visit to Uganda 30 June to 11 July 2002³**30 June** Arrive Kampala**Monday 1 July**

09:00 Introduction to CBP Project, CARE Offices
 10:00 Background to decentralisation in Uganda
 12:30 Depart for Bushenyi
 18:00 Arrive Bushenyi

Tuesday 2 July

08:00 Team planning
 09:15 Meeting with Bushenyi District Local Government – presentations on operation of local government and CBP.
 13:30 Lunch
 14:30 Visit parishes
 19:30 Return

Wednesday 3 July

08:15 Steering group meets
 09:00 Meet Resident District Commissioner/briefing on Bushenyi planning system
 09:15 Visit subcounties
 13:00 Depart for Mweya Lodge
 14:30 Meeting in Mweya Lodge to brainstorm findings from Bushenyi
 17:30 Game drive and supper

Thursday 4 July

06:30 Depart for Masaka
 11:30 Arrival Masaka
 12:00 Meeting with District Chairman, CAO and staff
 13:15 Lunch with Masaka staff
 14:00 Depart for 2 subcounties and parishes
 17:30 Depart for Kampala
 19:30 Arrive Kampala

Friday 5 July

08:00 Steering Group meets
 08.30 Facilitators preparing for workshop with Departments – others free
 11:30 Workshop
 13:30 Lunch
 15:00 Country groups reflect on lessons from Masaka
 22:00 Live music

Saturday 6 July Rest day – shopping and visit to Source of Nile at Jinja³ Note Andrew Mlalazi joined the team in Kampala after the Bushenyi visit.

Sunday 7 July

- 09:00 Country groups work on lessons in-country and from Bushenyi
- 14:00 Groups prepare presentations for workshop 2 on Monday and complete country lessons
- 18:00 Closure

Monday 8 July

- 08:00 Preparing for workshop
- 09:30 Workshop with Ugandan departments
- 13:30 Lunch
- 14:30 Groups work on defining each countries CBP process
- 16:15 Feedback on country lessons
- 17:15 Closure

Tuesday 9 July

- 08:00 Groups work on developing recommendations for changes to CBP process and systems
- 13:00 Lunch
- 14:00 Synthesis of recommendations
- 17:00 Closure
- 18:00 Video

Wednesday 10 July

- 08:30 Developing a GANTT chart for actions to complete the project
- 11:00 Discussion on possible work after the CBP project
- 13:00 Lunch
- 14:00 Country groups develop action plans
- 17:00 Closure
- Reception hosted by Mr V B Ssekkono, Permanent Secretary, Ministry of Local Government

Thursday 11 July Departure of most of team (some departed on 12 July)

Annex 2 Comparison of structures at different levels between Uganda, Ghana, South Africa, Zimbabwe and Bolivia

The level at which community-based planning is happening is shaded.

Level	Uganda	Ghana	SA	Zimbabwe	Bolivia
Central (macro)	22 million Only provides norms, guidelines, strategies. National plans are the PEAP (the PRSP) and Vision 2025	18.2 million National sectoral departments still strong although resources are limited. National plans are Vision 2020 and GPRS (the PRSP)	40 million Provides policy, oversight by sectoral depts. These still have some national competences (eg in land). No national plan	12 million Provides policy, strong sectoral departments	8.1 million Still responsible for many services through the Dept. National Social and Ec dev Plan (PGDES), and poverty reduction strategy (EBRP)
Regional (macro/ meso depends on role)	No regional structure	Regional Coordinating Council. National depts at regional level still manage many services for state, although officers may be at district level.	9 provincial governments (which cover up to 9m people) and these provide most development services and policy	Province. Administrative role headed by Provincial Administrator and Provincial Governor. Provincial level of government depts strong	9 departments – providing many services Department produces Development Plan (PDD)
Local government (meso)	District Local Government providing all services District plan Sub-county as local government Also produce plan	Metropolitan/ Municipal/ District Assemblies (110) This is the level of service delivery, although may be managed from Region. District Plan produced No second level of local government	Provincial Development Plan 6 Metros (each 1 million+) 47 District Municipalities All produce IDPs	Rural District Councils and municipalities. District management of government departments which link to RDC through RDDC.	No higher level of local government but concept of mancomunidad which is voluntary, covering specific sectors
Community (micro)	Parish – 3-5000 people. Has Parish Council and sometimes dev. committee Parish dev plan produced Village	Zonal/Area/Town council – weak (5000-15000) Area/town dev plan Unit committee - weak	231 local municipalities – provide water, electricity, local roads etc All produce IDPs. Ward as representative structure (3000-18000 people) Ward plans produced in Mangaung.	Ward 6000-8000 people Ward development plan Village +/- 100 homesteads	Municipio. Produce Municipal Dev Plan (PDM) and annual operational plan (POA) Distrito – representative level for Vigilance Committee – plan is aggregated list of OTB priorities OTB – produce project list

Annex 3 Notes from discussion at workshop on 5 July

Issue	Response
<ul style="list-style-type: none"> • PMA – the subcounty chief is responsible for staff and taxes – how does this affect participatory planning? 	<ul style="list-style-type: none"> • people don't see value of taxes – how can we change the attitude of LG to their citizens (e.g around all allowances). Remember extension staff!
<ul style="list-style-type: none"> • What incentives are there to promote working together NGOs and government 	<ul style="list-style-type: none"> • NGO-Gov links – Resident DC role where there is rapport is fine. There is a problem of lack of transparency, both ways. One of assessment criteria by LGDP is budget disclosure. Note there has been a broad discussion with NGOs around CBP.
<ul style="list-style-type: none"> • does NAADS feel able to draw on subcounty/parish plans – or does it need an additional planning process? 	<ul style="list-style-type: none"> • NAADS looking to integrate planning process with LG planning
<ul style="list-style-type: none"> • NAADS – who is involved in planning at parish level e.g farmers. Does VISION-BASED cover markets? 	<ul style="list-style-type: none"> • CBP involves looking at different livelihood groups, including different types of farmers • A SWOT is done for each group and the area as a whole which should pick up market issues. However there is a need to explore how to deepen the economic development planning in the district and it would be an interesting pilot to explore how to do this with NAADS
<ul style="list-style-type: none"> • problem of late release of funds 	<ul style="list-style-type: none"> • DDP did quarterly releases but LGs didn't like this. Changed to use of workplans to guide but LGs put all requests in 1st quarter (around 75%) which went against Finance guidelines so they only released a % to manage national cash flow of government – SA raise much local revenue.
<ul style="list-style-type: none"> • relationship between roles in LGA and and other Acts , re LG and service providers 	<ul style="list-style-type: none"> • all sectors must be covered by development plan but sectors like health are doing national plan and wants to do at district which raises prospect of parallel planning process • we need more discussion on how sector ministries can internalise CBP/HPPG in their plans • In SA depts are supposed to be part of LG plan (IDP), but this doesn't always happen
<ul style="list-style-type: none"> • District Environmental Action Plan/CBP – need to ensure env/NR issues taken account of in CBP/HPPG 	<ul style="list-style-type: none"> • Harmonising plans (e.g DEAP/CBP) must do around (1) dev plan, (2) LGBFP, (3) Annual budget
<ul style="list-style-type: none"> • declining local revenue – any vision of how to get self-sustaining local government? 	<ul style="list-style-type: none"> • local revenue – after elections need to re-emphasise – danger of CGS retaining control. Tax reform for LGs ? A study is underway by LG Financing Commission. Training is also being conducted • note LG in SA raise most of revenue through service charges (water/electricity) and property tax
<ul style="list-style-type: none"> • PDC - what informed establishment? 	<ul style="list-style-type: none"> • The Parish is a legal admin unit, with the Parish Council as the legal structure. UNICEF has piloted the PDC, but it is not legal.
<ul style="list-style-type: none"> • Is capacity-building happening at local level? Are local people taking decisions? Or are these being hijacked at a higher level 	<ul style="list-style-type: none"> • Implications must be integrated at other levels. Parish has decision-making over some resources. • In LGDP 1 \$5m was included for training LGs, and similar will be allocated in LGDP 2, now also covering career development. There is also \$12m for Makerere univ for LG Training
<ul style="list-style-type: none"> • How to reduce power and influence of local politicians 	<ul style="list-style-type: none"> • there is accountability - in recent elections 75% of councillors were not returned. MOLG is now training these new councillors.
<ul style="list-style-type: none"> • Politicians – parties have manifestos - how to link local aspirations with these? 	<ul style="list-style-type: none"> •
<ul style="list-style-type: none"> • HPPG – not reached the subcounty in Masaka 	<ul style="list-style-type: none"> • The revised manual was sent out late, only in March and we must make sure it is applied in next cycle, and we can review results next year

Annex 4 Notes from discussion at workshop on 8 July 2002

Issues	Response
How deal with the problem of paying allowances for local people?	<ul style="list-style-type: none"> • Have shorter meetings with different groups of people so not there so long? • Hold at village level? But people's time is money - so if go to village even more work involved?
What about allowances for facilitators?	<ul style="list-style-type: none"> • Institutionalise planning so not seen as special activity but part of normal work? Parish will need to provide for some resources eg for flip charts, markers? • National Planning Agency may help with institutionalisation
Are extension staff being used to widen facilitators and reduce costs? Are councillors aware planning is part of their role?	<ul style="list-style-type: none"> • Yes both extension staff and councillors have been used very successfully in Bushenyi and reduces costs if they see the planning as part of their role • In SA, the Development Council submits an operational budget for planning to cover the costs - funded by District Munic. Planning Forums also funded for local and district munic.
What is the cost of CBP?	<ul style="list-style-type: none"> • In SA the cost per ward is \$130 for travel and meals
How are livelihood group defined?	<ul style="list-style-type: none"> • Social/livelihood groups are defined from people who have different access to resources, and the community is asked to define these groups
How are gender concerns covered? Disabled, women, widows don't necessarily have projects - how to integrate their views? Also youth. How to ensure their views don't get blocked on the way	<ul style="list-style-type: none"> • gender - need to consider both men and women - development issue, also children • India - Note have gender quotas on structures in India, but the husbands represent the women at the meetings!! • Ghana - 70% of councillors elected, 30% appointed, use latter for women (now up to 7% from 1% women) - new elections and will see results • Zim - women have to be rep at village/ward. Ministry of Youth, Gender..., however there are few female reps • Uganda - 2 reps from village to the parish meeting, one who must be woman. Also capacity-building of women sing CDOs, also some of livelihoods groups are women (eg TBAs). Functional literacy is important. Women in organised groups tend to participate more. Women participate more at village level. MOLG/MoG recognised need for gender mainstreaming. Produced training packs. UPPAP thinking how to involve children
How to prioritise ensuring adequate representation?	<ul style="list-style-type: none"> • 2 types of parish meeting - where parish meets with all invited - or as regards approval, formally by Parish Council. • Technical integration can be problematic, less so at subcounty level
What process used to come up with plans?	<ul style="list-style-type: none"> • Day 1 prioritisation through parish SWOT, then got 6 priorities, then reps go to villages to get problems. Then on day 2 do parish SWOT.
Used vision-based planning - need to look at best practice - how can we build on what has worked?	<ul style="list-style-type: none"> • Participatory planning not new in Uganda - there have been concerns from NGOs that PPG not inclusive, so NGOs have been applying their methodology and approaches are proliferating. In March MoLG issued draft HPPG which is now being piloted and will finalise next July. This incorporated many elements from CBP manual
Is there an evolutionary process in improving the plans?	<ul style="list-style-type: none"> •
Challenge between integrated and sectoral planning must be looked at?	<ul style="list-style-type: none"> • Range of initiatives, eg HPPG etc, so try and go as team.
Ghana suggested delinking district arms of sectoral depts from central ministries - what is role of mother ministries if delink?	<ul style="list-style-type: none"> • Ghana - are roles assigned to different levels - national is policy role. DA should hire and fire and excellent that happens in Uganda (DSC). Trying to bring services under LG like in Uganda

Issues	Response
Bolivia - Local civil society orgs – how do they create ownership in the planning process	<ul style="list-style-type: none"> • Planning is conducted in each village/neighbourhood, but is also only a prioritised list of problems
Bolivia - Mancomunidad - how favours CBP process	<ul style="list-style-type: none"> • The Mancomunidad structure is a voluntary association of municipalities to address a particular purpose. They usually produce their own plan, and this may be much more strategic than the Municipal plans
Manual - why Uganda adapted manual but not others	<ul style="list-style-type: none"> • SA has also adapted the manual, and Ghana and Zimbabwe have adapted the methodology but not yet the manual
Are plans following the levels -	<ul style="list-style-type: none"> •
SA give grants to communities – incentive to participate - what about other countries?	<ul style="list-style-type: none"> • SA - discretionary grant given to wards of \$5k to encourage participation. Wards which were successful will be rewarded next year.
Formal structures such as WADCOs - are livelihood groups taking account of civil society?	
Importance of natural resource base for sustainability	
In SA where there is provincial government – what is the relationship between plans and revenue?	<ul style="list-style-type: none"> • There are 9 provinces and each have drawn up a Provincial Growth and Dev Strategy. The Province has around 10 departments, and a Medium Term Expenditure Framework is drawn up. Provinces cannot raise revenue but around 40% of government budget is transferred to Provinces • Local government in SA - most money comes from local revenue (service charges for water, elec..)

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Annex 6 Workshop evaluation

Question	Score	%	Meaning
Overall assessment	4.2	84%	Excellent
Did we reach/obtain our objectives:			
1. Understand the Ugandan situation	4.2	84%	Excellent
2. Share cross-country learnings	4.1	81%	Excellent
How useful did you find			
1. National presentation on Uganda	4.4	88%	Excellent
2. Briefing sessions on Bushenyi	4.7	94%	Excellent
3. Bushenyi field visits	4.5	89%	Excellent
4. Masaka visit	2.9	58%	Satisfactory
5. Friday National workshop	4.1	82%	Excellent
6. Preparation of in-country learnings	2.6	52%	Satisfactory
7. Monday Uganda workshop	4.0	80%	Excellent
Cross country workshop			
1. Country CBP process & reports	3.4	67%	Good
2. Cross Country learnings	3.8	76%	Very good
3. Way forward	3.7	73%	Very good
Did you learn new insights?	3.9	79%	Very good
How do you rate your participation and contribution?	3.5	70%	Good-very good
How would you rate the facilitation?	4.1	82%	Excellent
What was the overall organisation like?	3.8	77%	Very good
Did you enjoy the planned recreational activities?	3.8	75%	Very good
Meals and accommodation in Bushenyi?	3.2	63%	Good
Meals and accommodation in Kampala	2.6	53%	Satisfactory
Was the per diem adequate?	2.9	58%	Satisfactory

Score	As %	Meaning
4-5	80-100%	excellent/completely
3.5-4	70-80%	very good
3-3.5	60-70%	good
2.5-3	50-60%	satisfactory
1.5-2.5	30-50%	poor
1-1.5	20-30%	very poor
0-1	0-20%	not at all

General comments:

- It was a challenge to get a consolidated and continuous participation from the Ugandan team. I guess this will always be the case when we do it in one of the four countries.
- Preparation of in-country learnings was rushed and chaotic due to late arrival of Ugandan delegates
- Great mix of participants from local government, national institutions and NGOs.
- Challenges in terms of separating CBP process with national process of developing revisions to government policies, planning guidelines (gets increasingly blurred). For example, interface of CBP with District Local government and national sector processes.
- The Masaka visit was a bit rushed
- Friday national workshop was lively but not enough briefing on what was to be achieved. More time should be allocated in the future (to these workshops)
- The cross country learnings was excellent – a great process which worked
- The Mweya trip was not well organised