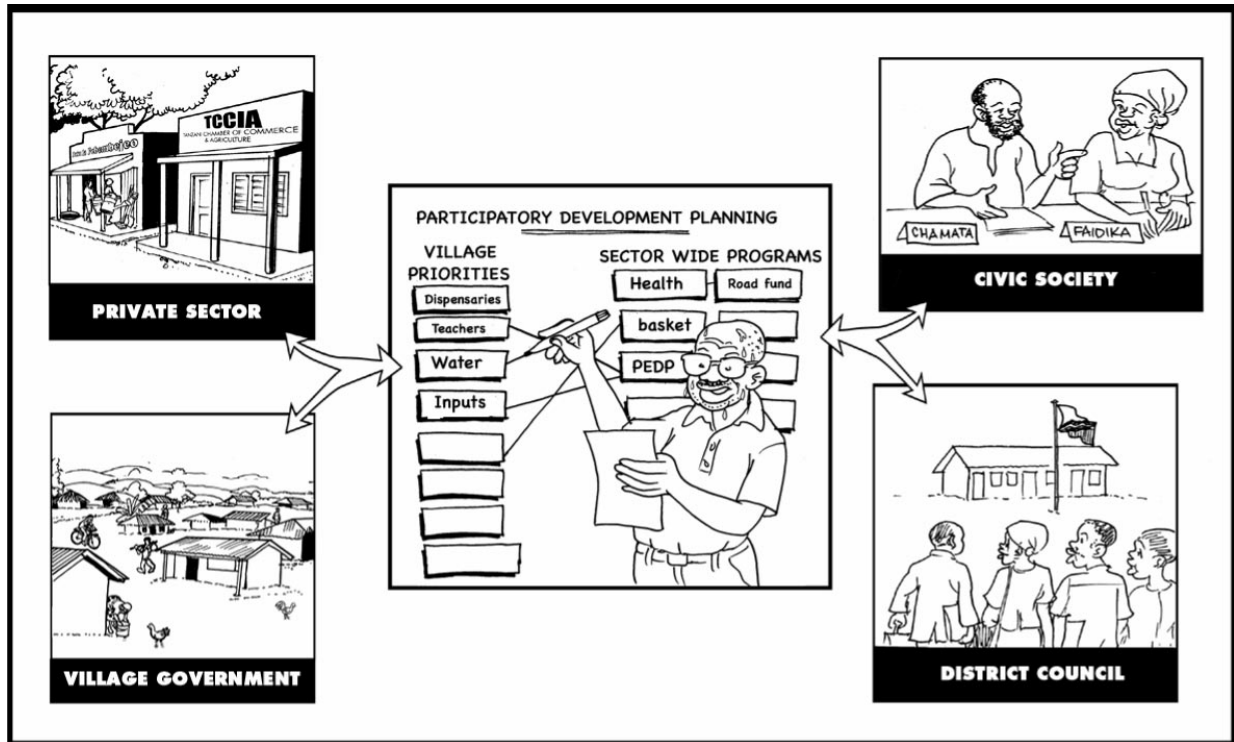


# ***MAKING LOCAL GOVERNANCE A REALITY***



## ***A Guide for District Facilitators Managing Participatory Planning for Development***

***The District Rural Development Programme***

***June 2004***



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## ***A Guide for District Facilitators Managing Participatory Planning for Development***

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**June 2004**

This guide is based on experiences obtained by the District Rural Development Programme (DRDP). The DRDP is part of the bi-lateral co-operation between the Governments of Tanzania and the Netherlands. The DRDP started in 1987 in three districts and expanded over time to cover 11 districts as follows: Mbulu, Karatu, Maswa, Meatu, Kahama, Bukombe, Bukoba Rural, Karagwe, Biharamulo, Ngara and Muleba. The goal of the DRDP is to contribute to structural improvement of the well-being of the rural population in a sustainable, efficient and equitable manner. Over the years, strategies to achieve the programme goal changed. In its first phase (1987-1991), DRDP emphasis was on strengthening the planning, implementation and monitoring capacities of the District Councils while at the same time providing support to starter activities in the productive sectors. During the second phase of the DRDP (1991-1996), support was also provided to the social sectors. In its current third and final phase (1997-June 2004), DRDP features as a support facility to Local Governance for Local Development.

**Citation**

Bloemberg B, Gunneweg PP, Hollevoet S, Koster W, and Veldhuizen L van, 2004. Making Local Governance A Reality: A Guide for District Facilitators Managing Participatory Planning for Development. DRDP, Mwanza/Bukoba, Tanzania

**ISBN**

90-77347-08-9

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The publication may be obtained from the Royal Netherlands Embassy in Dar es Salaam, Tanzania, or through the Tanzania National Website: [www.tanzania.go.tz](http://www.tanzania.go.tz)

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## TABLE OF CONTENTS

<b>ACRONYMS</b>	<b>vii</b>
<b>INTRODUCTION</b>	<b>ix</b>
<b>ACKNOWLEDGEMENTS</b>	<b>xi</b>
<b>1. COMPREHENSIVE PARTICIPATORY DEVELOPMENT PLANNING: THE BASIC CONCEPTS</b>	<b>1</b>
1.1 Introduction	1
1.2 The Tanzanian policy context	1
1.3 Participatory Planning	1
1.4 Comprehensive Participatory Development Planning (CPDP)	3
1.5 Main phases, processes and outputs of CPDP	5
<b>2. ORGANISATIONAL AND INSTITUTIONAL ARRANGEMENTS FOR CPDP</b>	<b>7</b>
2.1 Introduction	7
2.2 Organisational and institutional arrangements for CPDP	7
2.3 Development Clusters (DCs)	7
2.4 The District Advisory Council (DAC)	8
2.5 The District Planning Facilitation Team (DFT)	9
2.6 The Village Planning Facilitation Team (VFT)	10
<b>3. PREPARING A STRATEGIC DISTRICT DEVELOPMENT PLAN</b>	<b>13</b>
3.1 Introduction	13
3.2 What is Strategic Planning	13
3.3 Who should make the District Strategic Plan	14
3.4 Developing the Strategic District Development Plan	15
<b>4. PREPARING FOR ANNUAL COMPREHENSIVE PLANNING (ACP)</b>	<b>19</b>
4.1 Introduction	19
4.2 Creating awareness, support and commitment	19
4.3 Endorsing the district ACP	20
4.4 Coordination and collaboration between stakeholders	20
4.5 Organising the District Planning Facilitation Team	20
4.6 Selection of villages for ACP	21
4.7 Timing of the planning process and work plan preparation	21
4.8 Budget for ACP	22
4.9 Preparing of planning guidelines	23
<b>5. FACILITATING VILLAGE PARTICIPATORY PLANNING</b>	<b>27</b>
5.1 Introduction	27
5.2 Dissemination of information and guidelines	28
5.3 Community representation	28
5.4 Village versus hamlet level planning	30
5.5 Roles and responsibilities in village planning	30
5.6 The first village meeting: village ownership of the process	31
5.7 Secondary data collection and analysis	33
5.8 Participatory Rural Appraisal	34
5.9 Preparing the Village Development Plan	34
5.10 Advice from Ward Development Committee	39
5.11 Review and endorsement by Village Council	40
5.12 Annual re-planning	40
5.13 Final considerations	40

<b>6.</b>	<b>PREPARING A COMPREHENSIVE DISTRICT DEVELOPMENT PLAN</b>	<b>43</b>
6.1	Introduction	43
6.2	Consolidating village plans at ward level	43
6.3	The Comprehensive District Development Plan	44
6.4	Assessment of village plans and proposals of other actors	44
6.5	Preparing sector plans	51
6.6	Preparing sector development budgets	51
6.7	Final consolidation of the CDDP	51
6.8	Presentation and approval of the CDDP	53
6.9	Informing villages and other development actors	54
6.10	Final considerations	54
<b>7.</b>	<b>IMPLEMENTING THE COMPREHENSIVE DISTRICT DEVELOPMENT PLAN</b>	<b>57</b>
7.1	Introduction	57
7.2	Selecting an implementation approach	57
7.3	Preparing implementation work plans and agreements	57
7.4	Participatory implementation	59
7.5	Delegation of financial management	59
7.6	Staying on the right track	60
<b>8.</b>	<b>MONITORING AND EVALUATION</b>	<b>63</b>
8.1	Introduction	63
8.2	The basic concepts	63
8.3	Making monitoring and evaluation work	64
8.4	Participatory Monitoring & Evaluation (PM&E)	67
8.5	Monitoring & evaluation of the CPDP process	68
<b>9.</b>	<b>COMMUNICATION AND REPORTING</b>	<b>71</b>
9.1	Users of information	71
9.2	Information dissemination at the start of CPDP	71
9.3	Information dissemination for facilitating village planning	73
9.4	Information dissemination for consolidating the CDDP	74
9.5	Information dissemination for approval and sharing of CDDP	74
9.6	Reporting as part of M&E	74
<b>10.</b>	<b>CAPACITY BUILDING FOR CPDP</b>	<b>77</b>
10.1	Introduction	77
10.2	Capacity building of those who facilitate the planning process	77
10.3	Capacity building for others	78
10.4	Outsourcing of capacity building	81
10.5	Coping with staff transfers	82
 <b>Annex</b>		
	Budget format example (Output level) in MS Excel	83

## List of Boxes

Box 1: Benefits of Participatory Planning	2
Box 2: Potential pitfalls of Participatory Planning	3
Box 3: Characteristics of conventional District Development Planning	3
Box 4: Responsibilities of Development Clusters in CPDP	8
Box 5: Main objectives of the District Advisory Council	9
Box 6: Selection criteria for VFT membership	12
Box 7: Guidelines for strategic situation analysis	16
Box 8: Proposed Format for Strategic Situation Analysis Report	16
Box 9: Suggestions for effective stakeholder strategic planning workshops	17
Box 10: Format for SDDP	18
Box 11: How to disseminate the Strategic District Development Plan	18
Box 12: Authorisation of ACP: main areas of attention	20
Box 13: Strategies for strengthening inter-agency collaboration	20
Box 14: Suggestions for preparing district planning guidelines	24
Box 15: Common pitfalls of ACP	25
Box 16: How to prevent planning fatigue	28
Box 17: Strengthening the functioning of the village assembly	31
Box 18: Useful criteria for priority ranking	37
Box 19: The need for information on national policies to set village priorities	38
Box 20: Economies of scale at ward level	43
Box 21: Suggestions on planning in a multiple donor/programme environment	44
Box 22: How to find the optimal mix of activities	49
Box 23: Suggestions for eliminating activities to balance budgets	50
Box 24: Advantages of using spreadsheets	51
Box 25: Format for the Comprehensive District Development Plan document	54
Box 26: The Memorandum of Understanding	58
Box 27: Putting a MoU to good use	59
Box 28: Positive experiences with delegated financial management	59
Box 29: Guidelines for presenting information	71
Box 30: The Village notice board	74
Box 31: Main capacity building areas for DFT	77
Box 32: Advantages and disadvantages of outsourcing of capacity building	82

## List of Figures

Figure 1: CPDP links planning policies and priorities horizontally and vertically	4
Figure 2: Inter-relation between various CPDP outputs within the national policy context	5
Figure 3: The position of the DAC and Development Clusters within local governance	10
Figure 4: Stages in Strategic Planning	15
Figure 5: First-time 'intensive' Village Participatory Planning Process	32
Figure 6: Planning steps in the village	35
Figure 7: The CDDP process	45

## List of Tables

Table 1: Suggested Development Clusters	8
Table 2: DAC membership of Karagwe District	9
Table 3: Key features of Strategic Planning versus Annual Comprehensive Planning	13
Table 4: Actors and their core responsibilities in ACP	21
Table 5: Timing of ACP through the year and related main activities	22
Table 6: Example budget format CPDP	23
Table 7: Responsibilities of main actors in village development planning	30
Table 8: Overview of main PRA tools and their use	34
Table 9: Example of matrix ranking for proposed village development activities	37
Table 10: VDP Planning matrix	38

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Table 11: Format village development budget year 1	39
Table 12: Format for consolidation of VDPs at ward level	43
Table 13: Part 1 of assessment form: example of general assessment	47
Table 14: Part 2 of assessment form: example of technical and financial assessment	48
Table 15: Format of activity inventory sheets	49
Table 16: Part 3 of assessment form: example of prioritisation and ranking	50
Table 17: Format of Sector Development Plan	52
Table 18: Example of summary sector budget (Using Microsoft Excel spreadsheet)	53
Table 19: Structure of a typical log frame	63
Table 20: Sector development planning table with examples of M&E indicators	65
Table 21: Example of format for M&E planning	66
Table 22: Results of Participatory M&E using SWOT methodology	68
Table 23: Indicators for M&E of the CPDP process at village level	69
Table 24: Main actors in CPDP and their interests for information on CPDP	72
Table 25: Main information dissemination activities at start of CPDP	73
Table 26: Information dissemination activities for facilitating village participatory planning	73
Table 27: Information dissemination activities for consolidating the CDDP	74
Table 28: Information dissemination activities for approval and sharing of CDDP	75
Table 29: Main reports in CDDP	75
Table 30: Two-week schedule for a VFT training	79



## ACRONYMS

ADP	Area Development Programme
ASDP	Agricultural sector development programme
BOQ	Bill of quantities
CBO	Community based organisation
CG	Central government
CPDP	Comprehensive participatory district planning
CSPD	Child survival and protection programme
CWIQ	Core Welfare Indicators Questionnaire
DAC	District advisory committee
DC	Development cluster
DADP	District agricultural development programme
DDC	District development committee
DED	District executive director
DFT	District facilitation team
DMT	District management team
DPLO	District planning officer
DPSP	Development policy and strategic plan
DRDP	District rural development programme
EPICOR	Government accounting software
FC	Full council
GFS	Government financial system
HoD	Head of department
ICF	Inter council forum
IPF	Indicative Planning Figure
KAEMP	Kagera agriculture & environmental management programme
LFA	Logframe approach
LG	Local government
LGA	Local government authority
LGRP	Local government reform programme
LGSP	Local government support programme
M&E	Monitoring & evaluation
MTEF	Mid term expenditure framework
NGO	Non governmental organisation
O&OD	Opportunities & obstacles to development planning
OOPP	Objective oriented programme planning
PEDP	Primary education development programme
PM&E	Participatory monitoring & evaluation
PO-RALG	President's office - regional administration and local government.
PP	Participatory planning
PRA	Participatory rapid appraisal
RAS	Regional administrative secretary
RCC	Regional consultative council
RS	Regional secretariat
SDDP	Strategic district development plan
SWAP	Sector wide approach
TASAF	Tanzania social action fund
TCCIA	Tanzanian Chamber of Commerce Industry & Agriculture
TOT	Training of trainers
VC	Village council
VEO	Village executive officer
VPP	Village participatory planning
WDC	Ward development committee
WEC	Ward education officer
WEO	Ward executive officer



## INTRODUCTION

The way of going about government has changed rapidly over the past decade in Tanzania. An increasing amount of regular government tasks and responsibilities has been decentralised to the districts – a process that still needs to reach maturity. The Local Government Reform Programme (LGRP) and many bilateral projects have been supporting and investing to prepare the districts to take over their new tasks.

Simultaneously, Tanzania has been giving increasing priority to people's participation in development planning and implementation. Participatory planning is a key element of almost all development programmes that are presently undertaken. And in the decentralised system of government the districts have to take on this challenging task. To add to the complexity, funding mechanisms for development programmes are also rapidly changing and are increasingly coordinated through so-called sector wide programmes, SWAPs (Primary Education Development Programme, Health Sector Development Programme, Local Government Reform Programme) with related basket funding.

This document, "Making Local Governance a Reality: a Guide for District Facilitators Managing Participatory Planning for Development", offers guidance and support to development planners to better deal with the complex task of comprehensive and participatory planning for district development. It is a step-by-step guide on how to organise and facilitate participatory village planning. It complements the Obstacles & Opportunities for Development (O&OD) manuals by providing practical guidelines on how to consolidate village plans into a comprehensive district development plan and to match these plans with national and district priorities and policies. In short, this guide provides you with the background, practical tools, and implementation methodologies to make comprehensive participatory development planning a reality.

The guide is primarily directed towards district-based development planners from both government and non government agencies, i.e. District Planning Officers, Heads of Departments, Programme Managers of NGOs and CBOs, and others in similar positions. The style of the guide is very direct; it gives simple and practical suggestions and recommendations. Although the guide is based on best practices and experiences of many years of participatory planning in districts in Tanzania, many of the ideas and methods described could be applicable in other countries too. This guide is not prescriptive. It leaves the reader to make choices, based on his/her local context, opportunities and constraints.

The lay out of the guide follows the logic of the comprehensive participatory development planning process. After elaborating the concepts in Chapter 1, the guide goes on to describe organisational and institutional arrangements to support implementation in Chapter 2. Chapter 3 describes the strategic planning process, crucial for arriving at multi-annual planning priorities and plans. These form the basic context in which the formulation of village development plans takes place as explained in Chapter 5. Chapter 6 describes the process and tools for consolidation of village development plans into comprehensive district development plans. How to implement the district development plan is the subject of Chapter 7. Chapter 8 and 9 give detailed suggestions on how to systematically plan for monitoring and evaluation and, in this context, on what and how to report to the relevant stakeholders. Finally, Chapter 10 presents practical suggestions for organising capacity support interventions for the key actors in participatory planning.

For quick reference and an easy start, this guide is accompanied by a CD-ROM. It contains various ready-to-use formats, spreadsheets, monitoring sheets, examples of contracts, Bills of Quantities, and various flowcharts. All formats have been developed and used in the districts of Kagera, Shinyanga, Arusha and Manyara Regions with assistance from the Netherlands-supported District Rural Development Programme (DRDP).



## **ACKNOWLEDGEMENTS**

This guide would not have been written without the assistance of many. First of all, we like to acknowledge the generous contribution of the Royal Netherlands Embassy in Dar es Salaam, through the District Rural Development Programme, for availing technical assistance and for financing its production and publication. We would like to thank the District Executive Directors, the District Planning Officers and the Regional Planning Officers of Kagera, Shinyanga, Arusha and Manyara Regions for their contributions and review. We are grateful to Mr. Christian Binamungu for the translation of the English version of this guide into Ki-swahili. We acknowledge the support of the Office of the President, Planning and Privatization, in particular Dr. Ngalinda, for the publication of this guide on the Tanzania National web-site. Finally we wish to thank all district development practitioners, not in the least the villagers themselves, with whom we worked over the recent years and who contributed to a learning process enabling us to prepare this guide.



# 1. COMPREHENSIVE PARTICIPATORY DEVELOPMENT PLANNING: THE BASIC CONCEPTS

## 1.1 Introduction

This chapter introduces the approach of comprehensive participatory development planning (CPDP) within the local government context of Tanzania. It explains:

- The Tanzanian policy context
- What CPDP is all about
- The benefits and limitations of participatory planning
- The main phases of CPDP and its outputs

## 1.2 The Tanzanian policy context

In the late 1990s, the Government of Tanzania issued *Tanzania Development Vision 2025*, a paper setting out its long-term economic and social goals and envisioning the graduation of Tanzania from a least developed country to a middle-income country. This was followed by the *National Poverty Eradication Strategy (NPES)* and the *Poverty Reduction Strategy Paper (PRSP)*. These documents provide the medium- and long-term strategic framework for poverty reduction and development planning in Tanzania. All of them stress the importance of ‘good governance’, through a system of government that is efficiently and effectively decentralised, that provides quality services to all its people, exercises sound financial management, and engages people and civil society institutions in local policy development, planning, implementation, monitoring and evaluation. The Local Government Reform Agenda, the Local Government Reform Programme (LGRP), the Regional Administration Act, and the Local Government Laws (Miscellaneous Amendments) are clear testimony of the Government’s political commitment to effective decentralisation by devolution, and to enabling people to participate in the process of governance for their own development.

The decentralisation policy of Tanzania charges the local government authorities (i.e. district and village governments) with increased responsibilities and resources for local development. At the same time, it emphasises interdependencies between various stakeholders and their specific roles in functions of local development. As such, it paves the way for a new and emerging concept of local governance. Such local governance is primarily concerned with fostering collaboration and coalition between the

state and society, with partnership, dialogue and consultation as hallmarks.

Participation is the central and focal point of local governance. Meaningful popular participation (either directly or through representative and countervailing institutions of civil society) in local government and the decision-making process is a precondition for citizens to believe that they have a voice and that their concerns are taken into account. A participatory and democratic process can lead to development of collaborative action where the objectives, roles and obligations are identified and mutually agreed upon.

*“Our major resource is our people. We all recognise the inherent relationship between people and development. We are fully conscious of the fact that the primary objective of development is to improve the living conditions of our people. But we also know that it is the people who are the principal actors in the recovery and development process. It is obvious, therefore, that the success of the recovery and development process very much depends on the effective participation of the people in that process”.*

President Ali Hassan Mwinyi, 1990, Arusha.

## 1.3 Participatory Planning

Participative approaches, processes and practices enable local governments, civil society organisations and local communities to effectively join hands – form partnerships – for local development, for collaborative identification and analysis of local multiple realities, for joint planning and budgeting, and for participatory evaluation and accountability. These approaches, processes and practises are commonly grouped under the term ‘participatory planning (PP)’.

The ‘National Framework on Participatory Planning’, outlines 10 basic principles and conditions for meaningful participatory planning: <sup>1</sup>

1. **Inclusiveness:** involves all major stakeholders at all levels of the local governance system.

<sup>1</sup> Draft: ‘National Framework for Participatory Planning and Budgeting at District level, LGRP, April, 2003.

2. **Consultation:** reaches collective decisions through cross-fertilisation of ideas and views between and among equal stakeholders which are mutually beneficial, inclusive of the views and interests of the minority and special interest groups.
3. **Transparency:** disseminates and shares information through effective use of formal platforms (village assemblies etc.).
4. **Facilitation:** enables local stakeholders to take a leading role in doing things for themselves, thereby 'handing over the stick' to the rightful owners of the development process, i.e. by building confidence of local people, developing their self-esteem, and enabling them to control their means and resources for sustainable livelihoods.
5. **Efficiency:** executes planned and budgeted activities as agreed upon by the respective owners of that plan, through optimal use of locally and externally available resources to produce maximum benefits.
6. **Empowerment:** moves people's capacity (including marginalised groups) from being objects and passive victims of social processes to subjects and active agents of change with power to decide, act, and become the real owners and managers of their plans and budgets.
7. **Equitability:** ensures fair, just, and reasonable room for full and active productive participation by all stakeholders, with full consideration of gender, age, socio-economic status, religious affiliation etc.
8. **Sustainability:** develops socio-economically viable plans and budgets that do not lead to degradation of the resource base (water, land, flora and fauna).
9. **Accountability:** has in-built mechanisms for follow-up, checks and balances, monitoring and evaluation based on a clear distribution and demarcation of responsibilities and duties at each LG level.
10. **Vision:** reflects the collective conceptualisation of the needs, opportunities and dreams of the majority whilst recognising the views of the minority. This vision is clearly understood and shared by all stakeholders and is attractive enough for all stakeholders to take an active interest and support it. For instance, a reflection of the Tanzania vision for the future is the document: 'Vision 2025'.

Participatory planning is not the same as Participatory Rural Appraisal (PRA). PP encompasses the comprehensive process of organising, interacting, consensus-building, decision-making, and conflict resolution to enable people to become the primary stakeholders and decision makers of their own development. PRA can be used as part of PP. It refers to a set of important facilitative and participatory techniques to help people analyse problems and develop their own solutions. PRA elicits local knowledge, ensures continuity, makes planning processes more transparent, and strengthens local capacities. PRA is a toolbox to better understand the socio-economic conditions and environment of a community, to build upon the capabilities of local people and to empower them in the process.

If carried out correctly, participatory planning has many benefits (Box 1).

#### Box 1: Benefits of Participatory Planning

1. Provides confidence to each and every stakeholder (including the usually marginalised and disadvantaged groups) at the local level who participate in the decision making process.
2. Creates an increased sense of ownership of the process and outputs.
3. Strengthens the capacity of stakeholders to mobilise and secure local resources (financial, human, land, local knowledge) for their own sustainable development.
4. Leads to more realistic plans which are better implemented as they reflect local needs, priorities, resources, and circumstances.
5. Creates an opportunity for the government to link sector specific programmes and allocations to village based development priorities, avoiding costly and time consuming sector-based re-planning at village level. At the same time, it creates a basis for the local government to use identified village priorities to influence (sector) policy development at higher levels of government.
6. Enables citizens to understand how government (should) work(s), and the government to better understand the citizens' needs and aspirations. This leads to improved working relationships between the community and the government, and can change the existing government culture to be more open and accountable.
7. Allows for structured and continued exchange of ideas between the government and the public, leading to improved service demand from the latter and improved service delivery from the former.

However, participatory planning has its limitations and potential pitfalls (Box 2).



## Box 2: Potential pitfalls of Participatory Planning

1. Planning is only as good as the information on which it is based. Incomplete and/or biased information may result in plans that do not satisfactorily address opportunities, priority needs, and aspirations.
2. Influence of the local elite and/or facilitators on the planning process may result in biased plans, which are not owned by the community. Exclusion of women and/or disadvantaged groups may result in the same.
3. Local opinions could be the result of outside influences. Planning could thus reflect the opinions and wish lists of social desirables and not the real opportunities, needs and priorities of the community.
4. Over-optimistic planning in terms of human and financial resources available could lead to failure.
5. Planning becomes a substitute for action – overstated planning requirements constrain practical implementation and monitoring.
6. Over-reliance on outside resources – planning results in shopping ‘wish-lists’ for soliciting external resources.
7. The political and social context is often not given sufficient consideration. For instance the interests of a certain political party may not match those of the village in general.

### 1.4 Comprehensive Participatory Development Planning (CPDP)

The concepts of decentralisation, local governance, participation, and participatory planning are relatively new, and require you to adopt a new approach to district development planning. District Councils are now expected to develop and implement strategic and operational development plans in partnership with communities and other development stakeholders, based on local opportunities and aspirations and in line with national policy and priorities. This is a huge task and is clearly different from how district development was planned and implemented in the past (Box 3).

Comprehensive Participatory Development Planning (CPDP) attempts to operationalise the concepts of local governance and participation, and to overcome the shortcomings of conventional district planning. Defined in this guide, CPDP is:

*A coordinated and structured process of involving development stakeholders in all phases of the planning process covering priority aspects of social and economic development.*

Essential elements of CPDP are:

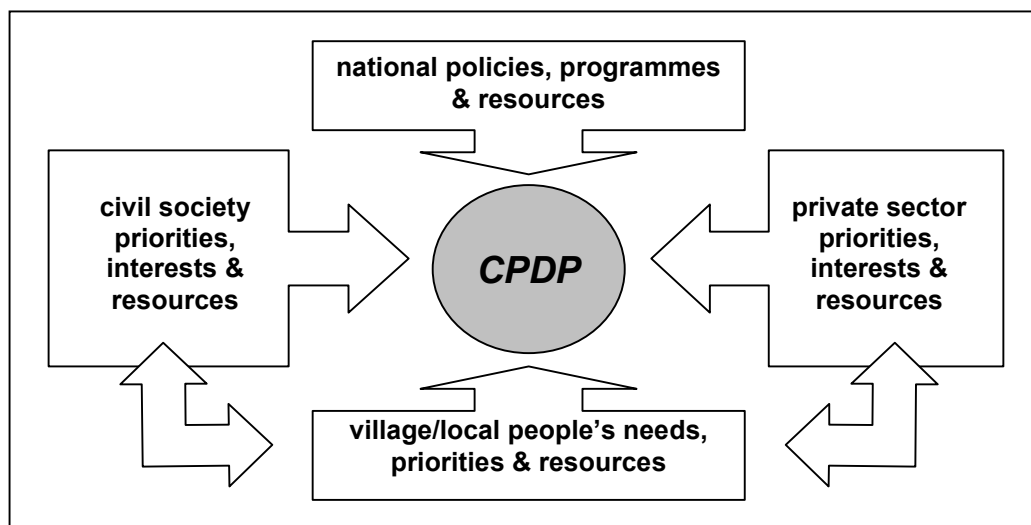
- **Comprehensiveness:** CPDP brings together development activities of all development stakeholders of a given geographical area (district, ward, village, hamlet), based on a common understanding of development constraints and opportunities. CPDP does away with a typical sector or project approach.
- **Structured process approach:** CPDP is a timely, coordinated, well communicated, and properly managed planning approach involving all stakeholders, from village to district levels, resulting in clear and specific outputs such as development and implementation plans.
- **Participation:** CPDP mobilises and builds on the planning efforts of local people. It involves all relevant development stakeholders (local people, NGOs, donors, government departments) at village, district, and even national level in planning, implementation, monitoring and decision-making.

### Box 3: Characteristics of conventional District Development Planning

- Absence of longer term planning framework: lack of strategic orientation and direction.
- Top-down, on demand from government or donors: upward-looking, fulfilling requirements of financiers.
- Little to no real participation of communities: communities are regarded as ‘beneficiaries’ only.
- Sector-based: minimal coordination and collaboration between sectors/departments, resulting in missed opportunities, duplicated work, and lack of synergy.
- District Council based: minimal coordination with other development stakeholders, resulting in parallel plans, different (and sometimes conflicting) modes of implementation, and duplication of efforts.
- District Council owned: all decisions concerning planning and implementation are taken by the District Council technical departments.
- Limited monitoring & evaluation: monitoring is restricted to realisation of inputs only.

Squarely and strategically positioned at the national planning crossroads, local governments can apply CPDP to structure the effective participation of all stakeholders in planning (Figure 1).

Figure 1: CPDP links planning policies and priorities horizontally and vertically



*Lack of coordination among sectors results in planning fatigue and undermines the very concept of participatory planning.*

### 1.5 Main phases, processes and outputs of CPDP

CPDP, as described in this publication, consists of three different phases.

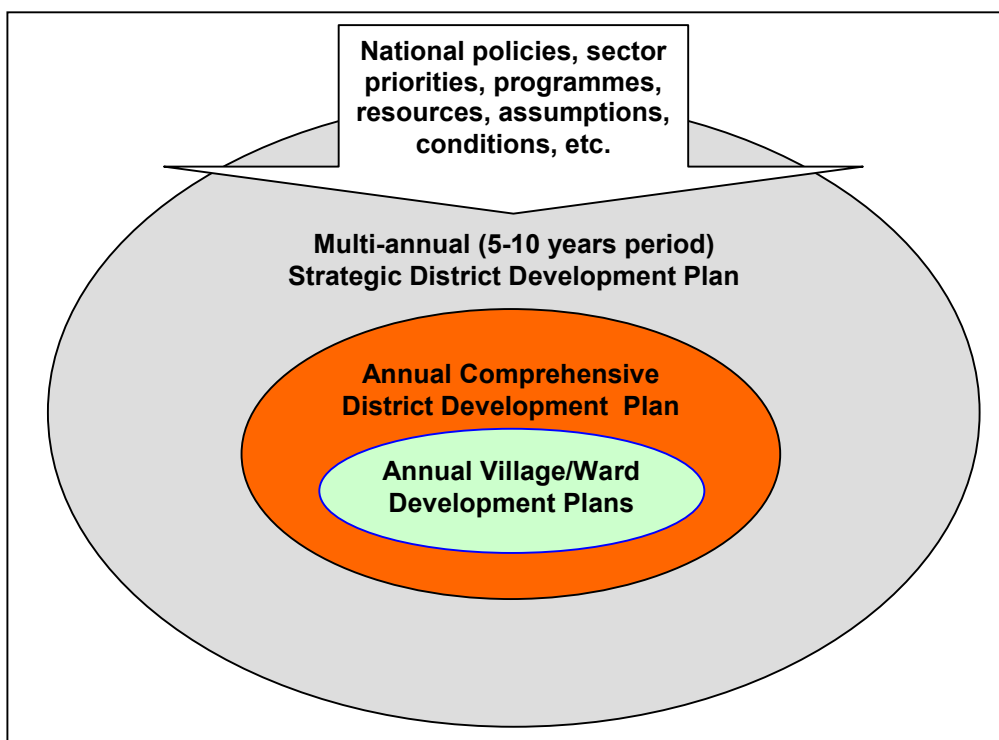
- **Strategic Planning:** The first phase is the process of strategic planning to arrive at a multi-annual Strategic District Development Plan (SDDP). Strategic planning involves the development of a common longer-term vision, mission, and strategic development orientation for the district, merging national policies/strategies with local realities. The SDDP covers a period of 5 to 10 years. It forms the basis for the 2 other phases. The steps and processes involved in strategic planning are elaborated in Chapter 3.
- **Annual Comprehensive Planning:** The second phase is the annual process of comprehensive development planning. This starts at the village level with the preparation of Village Development Plans (VDP). Once in 3 years this is done through an intensive, detailed process, while in the second and third year the emphasis is on reviewing past experiences and

re-planning. In both cases village planning is followed by a consolidation process at Ward and District level, finally leading to a Comprehensive District Development Plan (CDDP). VDPs are based on local needs and aspirations but formulated within the framework of the SDDP. The process of organising and facilitating village participatory planning is described in Chapters 4 and 5. Guidelines for consolidating VDPs into a CDDP are given in Chapter 6.

- **Implementation and M&E:** The third phase relates to the implementation, monitoring, evaluation, and reporting of the respective annual and multi-annual development plans for each of the villages and the district as a whole. Distinct outputs for this phase are integrated action plans and monitoring and evaluation reports. Elaborate explanation of this phase is provided in Chapters 7, 8, and 9.

Figure 2 shows clearly the interrelation between the planning outputs of the respective phases.

Figure 2: Inter-relation between various CPDP outputs within the national policy context





## 2. ORGANISATIONAL AND INSTITUTIONAL ARRANGEMENTS FOR CPDP

### 2.1 Introduction

This chapter advises you on the organisational and institutional arrangements that are required for effective and efficient implementation of CPDP. Some of the given arrangements are new to most districts in Tanzania and are based on successful experiences in some Tanzanian districts under Area Based Programmes (ABPs) supported by donors.<sup>2</sup> Specifically, this chapter provides guidance on:

- The establishment of Development Clusters
- The establishment of the District Advisory Council
- The formation of the District Planning Facilitation Team
- The formation of Village Planning Facilitation Teams

### 2.2 Organisational and institutional arrangements for CPDP

CPDP operationalises the concepts of decentralisation, local governance and participation into one system for district development planning. As this deviates from conventional government planning practice, existing local government arrangements may need to be strengthened or expanded. In the conventional system, the District Planning Officer (DPLo) and his/her staff are responsible for planning. Technical departments undertake planning activities for specific sub-programmes, often in direct contact with national programmes or donors. If villagers are consulted at all, it is done independently by the staff of these departments, often after some training in PRA.

While overall coordination of CPDP remains with the DPLo, it can only be effective if a number of new arrangements are realised. These refer particularly to:

- Institutions that encourage intra-departmental coordination and foster stakeholder partnership and collaboration in district planning, implementation, M&E.
- Facilitation teams that facilitate and coordinate comprehensive development planning from village to district levels.

CPDP emphasises the importance of dialogue and coordination between all development practitioners of the district, in partnership with villagers. Alongside the district council – with its sectoral departments (agriculture, health etc.) – these include representatives of donor programmes, NGOs, faith-based organisations, interest and advocacy groups (e.g. Tanzania Chamber of Commerce Industry and Agriculture (TCCIA), farmer associations). In order to structurally improve partnership between government and non-government practitioners, two new consultative bodies have proven to be important: (i) the District Advisory Council, and (ii) Development Clusters.

Participatory planning is at the heart of CPDP and is essentially a facilitative process, enabling local stakeholders and communities to take the leading role in planning their own development. This then needs a structure that ties in the necessary expertise, dedication and mandate to effectively assist villagers in development planning, and to ensure incorporation of village plans into the district development plan. Two so-called facilitation teams are recommended: (i) the District Planning Facilitation Team, and (ii) the Village Planning Facilitation Team.

### 2.3 Development Clusters (DCs)

The conventional organisational arrangement of the district council to deal with development planning and implementation is along sector department lines. Development planning and implementation in this case is inward looking, and often only relates to technical sector specific issues, opportunities and constraints. Fine-tuning and harmonisation of plans and resources between government departments is limited. Moreover, and in spite of new national policies, collaboration and coordination between the government, private sector and civil society is practically non-existent.

The establishment of Development Clusters can address these problems and help to re-orient development planners towards more dialogue, coordination, flexibility, and a process approach in development planning.

<sup>2</sup> Reference is made to the District Rural Development Programme (DRDP) in Shinyanga and Kagera Regions, supported by the Netherlands Government.

**Development Clusters** are working groups consisting of representatives from government sector departments and non-government agencies and donors active in specific and inter-related development fields, a so-called cluster. Development Clusters oversee planning, implementation, monitoring and evaluation of district development within their specified development domain. Their specific responsibilities in CPDP are listed in Box 4 below.

**Box 4: Responsibilities of Development Clusters in CPDP**

- Supervising collection, analysis and evaluation of data for strategic planning (strategic analysis – refer to Chapter 3.4.1)
- Re-examining and consolidating results of strategic planning in main strategic result areas (identification of strategic directions – refer to Chapter 3.4.2)
- Preparing district planning guidelines (refer to Chapter 4.8)
- Appraising plans and budgets of village and district level stakeholders, in light of available financial resources (refer to Chapter 6.3.1)
- Consolidating approved plans and budgets into district sector plans and budgets (refer to Chapter 6.3)
- Monitoring and evaluating implementation of approved development plans (refer to Chapter 8)

The size and exact composition of the development clusters in terms of departments, donors, the private sector and NGOs active in a specific development area, can vary from district to district. The same can be said for the number of clusters; nevertheless, for rural districts, the 5 clusters of Table 1 is a sensible guideline.

Development Clusters do not replace existing departments, the district management team (DMT) or standing committees of the district council. Development Clusters are additional task groups and have a complementary role and mandate, particularly in relation to development planning and implementation. Development clusters report to the DPLO. Since Development Clusters are additional entities in the Council organisation structure, their formal position needs to be mandated by the Full Council.

Development Clusters are responsible for their own internal functioning and achieving their mandated roles and responsibilities. From among its members, Development Clusters nominate a chairman, secretary and M&E officer. Development Clusters meet and work within the framework of the annual CPDP planning and budget cycle as described in the following chapters, overseen by the DPLO.

Important practical considerations with regard to the establishment, functioning and maintaining of Development Clusters are:

- Approval and endorsement of the Development Clusters and their specific responsibilities by the district administration and the Full District Council.
- Nomination of capable staff, who have sufficient technical skills and time to do the work, by all member organisations.
- Nomination of heads of departments or managers to the Development Cluster by all member organisations involved so that decisions can be made without delay.
- Allocation of adequate funds and other inputs (stationery, transport, etc.) and making them available at the required time.

**2.4 The District Advisory Council (DAC)**

Alongside the Development Clusters, where *operational, planning technical* matters are discussed and resolved, there is also need for a forum where representatives of government and non-government agencies meet to exchange ideas in relation to *district development policies* in general. Such a forum used to exist before 1997: the District Development Committee (DDC). However, the government representatives dominated the DDC, and other partners were only invited on an ad-hoc basis. The DDC was abandoned in 1997 as part of the government’s reforms. In certain districts of Tanzania (Kilimanjaro and Kagera Regions) a new district forum called the District Advisory Council has been tested and proven successful.

**Table 1: Suggested Development Clusters**

Development Cluster	Members of government departments, private agencies, NGOs and donors working in:
<i>Rural Economy</i>	Agriculture, Livestock, Natural Resources, Land, Fisheries
<i>Health &amp; Welfare</i>	Health, Water, Social Welfare
<i>Trade &amp; Industry</i>	Trade & Industries, Cooperatives, Works
<i>Education</i>	Primary Education, Secondary Education, Culture, Sports
<i>Governance</i>	Community Development, Finance, Planning, Administration

**The District Advisory Council** is a new institution at district level to foster dialogue, understanding and collaboration between public agencies (local and central government) and representatives of non-government agencies, civil society and the private sector (Box 5).

**Box 5: Main objectives of the District Advisory Council**

- To foster public/private dialogue by bringing together legitimate representatives from the organized bodies of both sectors at the district level;
- To share information in order to deliver services more effectively;
- To increase mutual trust and responsibility;
- To provide an opportunity to lobby and advocate for specific interest groups;
- To promote consensus on development issues, priorities, strategies and programmes;
- To improve cooperation in and coordination of district development;
- To act as a forum for joint and coordinated resource mobilisation, diversification, and allocation.

With respect to CPDP, the District Advisory Council plays an important role in:

- Overseeing the strategic district planning process (Chapter 3).
- Appraising of and advising on district planning guidelines (Chapter 4).
- Appraising of and advising on the comprehensive district development plan (Chapter 6).
- Reviewing the implementation of the CDDP mid-term (Chapter 7 and 8).

To this end, the DAC meets at least four times a year. However, other issues of mutual importance may call for more frequent meetings.

Membership of the DAC is mainly determined by the extent to which the private sector and civil society are organised in representative bodies. As this is often rather limited in rural districts of Tanzania, two umbrella organisations can initially stand in, one for NGOs and one for private companies. If in time the representation of different private interest groups becomes more diverse, more members can be nominated to the DAC. Table 2 provides an example of the DAC membership of Karagwe district.

Critical considerations with regard to establishment, functioning and mandate of the DAC are that:

- Members should have *legitimacy* (do they indeed represent the constituency they claim to represent?) and be *accountable* (do they provide and seek feedback from their constituents?).

With a weak membership base, district networks have a tendency to get stuck in immediate member interests and loose sight of strategic and external issues.

- The DAC should be endorsed by all relevant government agencies (LGA, FC and CG).
- The functioning and mandate of the DAC should be regulated by a clear set of procedures and guidelines, agreed upon by all members.

The position of DCs and the DAC in relation to the government structure is depicted in Figure 3. In this way, DCs and the DAC become parts of an effective local governance system.

**Table 2: DAC membership of Karagwe District**

Public Agencies	Private Sector	Civil Society
Central Government:: District Commissioner	Chamber of Commerce: TCCIA	NGO Platform/Network
Local Government: District Executive Director	Women’s Trading Group Network	Youth Network
Local Government Elect: Chairman Full Council	Livestock Owner’s Association Network	Representative main church denomination
Elected Councillors	Farmer Association Network	Representative traditional leaders
Representatives of district based donor agencies participate as affiliated members		

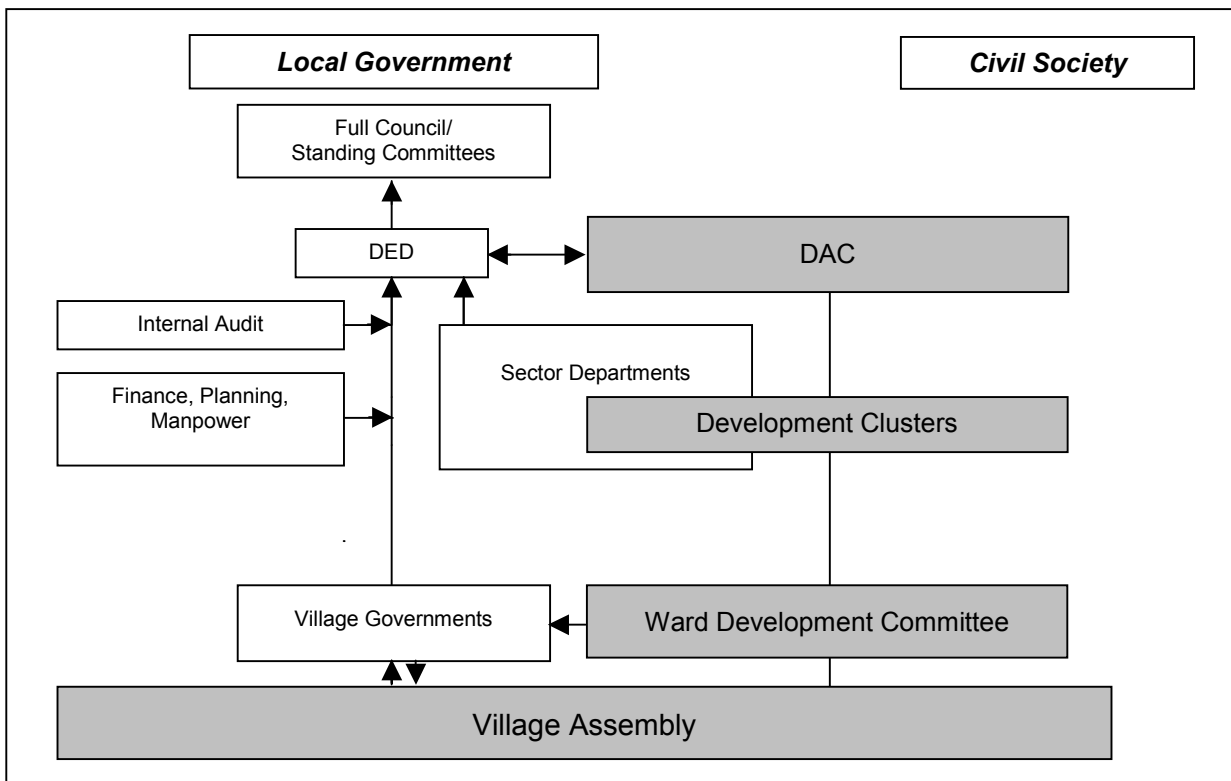
**2.5 The District Planning Facilitation Team (DFT)**

The District Planning Facilitation Team spearheads and coordinates the process of participatory planning from village to district level. This is a demanding task that needs a combination of skills and expertise, usually not available within the district planning office alone. The DPLO therefore needs to form a permanent team of dedicated and committed individuals with the relevant experiences.

Although roles and responsibilities of the DFT may vary from district to district to best suit local circumstances and opportunities, they should at least cover the following:

Select, train, coach and supervise members of the Village Planning Facilitating Teams (VFTs) who are responsible for actually facilitating the planning process at village level.

**Figure 3: The position of the DAC and Development Clusters within local governance**



- Plan, budget, coordinate, and monitor all participatory planning activities from village to district level.
- Liaise with all district development stakeholders on the need and importance of comprehensive district participatory planning.
- Review and report on the comprehensive participatory planning process.
- Introduce participatory monitoring and evaluation.
- Facilitate the WDC to review and consolidate village plans into WDP.
- Assess village plans and proposals (as well as those originating from other actors).

The DFT team should bring together expertise in the fields of planning, village participation, training, and relevant technical fields. In line with the philosophy of CPDP, it should involve staff of NGOs and/or the private sector. Typically the team consists of:

- The District Planning Officer (DPLO) as team leader and coordinator
- Assistant planning officers
- Staff seconded from most relevant technical departments, preferably representing each development cluster
- One or several NGO/private sector staff
- One or several Ward Executive Officers (WEO)

As is the case for any task team, it is important that the members of DFT receive the proper mandate, time, and resources to be able to function. It is equally important to ensure that the secondment of staff to the DFT is formalised within the technical departments and authorised by the District Executive Director (DED). This secondment and the ensuing roles and responsibilities should also be included and formalised in the job descriptions of each DFT member. NGOs and private agencies should do this too for their staff.

The DFT members often need additional training to be able to give of their best in CPDP. Suggestions on how to build capacities of the DFT members are given in Chapter 10.

## 2.6 The Village Planning Facilitation Team (VFT)

Most rural districts in Tanzania cover more than 100 villages. It is not feasible for the DFT to facilitate village development planning in all villages of the district. A system of delegation is therefore required to cover the whole district. It is now government policy to build lower-level teams that provide support to village planning. We refer to these teams as the Village Planning Facilitation teams (VFT).





*Participatory Planning emphasises empowerment and ownership by the villagers. CPDP encourages villagers to change from passive recipients of funding and government plans to self confident planners of village development.*



As the name implies, the main task of the VFT is to facilitate village development planning, from preparation to situation analysis to actual planning, budgeting and reporting (see Chapter 5). The team ensures that the 10 basic principles and conditions for meaningful participatory planning, as outlined in Chapter 1.3, are met. The VFT provides on-the-job training to 2-3 villagers, selected by the village council of each village as future village planning facilitators. These villagers will initially function as co-facilitators, but with time and experience, they will eventually become full-fledged village planning facilitators needing minimal outside support. If experienced villagers can be found, e.g. trained in previous programmes, they can directly join as full members of the VFT.

The core of the VFT consists of members representing the ward. Members of the VFT are based within one ward with the advantage that distances to the villages are reduced, communication is relatively easy, and provision of facilitation services can be done at relatively low costs and in a flexible manner. Suitable candidates for the VFTs are selected by the DFT, based on the criteria in Box 6.

Using the criteria mentioned, you may organise recruitment rallies in each ward, to identify and interview potential VFT members and to assess their suitability. Monitoring of their performance during training and later in the field is equally important to ensure quality. It is prudent to have VFT members from a variety of backgrounds: government, NGOs, Community based organisations (CBOs), and religious organisations.

This will not only enhance resource mobilisation, sustainability, and access to various networks of the community, but allow for gaining credibility. Involvement of women in the team will allow good interaction with women in the village during planning activities.

#### Box 6: Selection criteria for VFT membership

- Proven track record of successful participatory planning with and training of villagers.
- Good facilitation and communication skills.
- Creative and open minded.
- Good knowledge of all development sectors in the district.
- Unafraid to question established patterns and power relationships.
- Flexible and able to allow the villagers dictate the pace and direction of planning.
- Resident in ward and village.
- Available full-time during the annual village planning process.

For Ward Executive Officers (WEOs) and the staff of technical departments such as agricultural extension officers, education officers and health personnel, development planning is clearly part of their job. Yet, they may not always meet the above criteria. Sometimes their other duties such as revenue collection, supervision of government programme implementation may conflict with their position as independent facilitator of village planning. It is therefore recommended to get on board individuals from CBOs and/or religious organisations who are committed to development and are reputed for their integrity. Some NGOs might also have committed extension staff who can join the VFT.

### 3. PREPARING A STRATEGIC DISTRICT DEVELOPMENT PLAN

#### 3.1 Introduction

This chapter helps you organise strategic planning and arrive at a well-formulated strategic district development plan (SDDP). It explains:

- What strategic planning is and why it is important
- Your role and that of others in strategic development planning
- The main steps in preparing the strategic district development plan

#### 3.2 What is Strategic Planning

Strategic planning is a management tool. It is used for one purpose only: to help the district council and its development partners do a better job, to focus their energy on priorities, to ensure that all personnel are working towards the same goal, and to assess and adjust the council’s direction in response to a changing environment. Simply put, strategic planning is:

*A disciplined effort to produce a set of fundamental decisions and actions that shape and guide an organisation, what it does, and why it does it, with a focus on the future.*

Key characteristics of a strategic planning process are:

- *Being strategic.* The process is strategic because it prepares the best way forward, responding to the circumstances of the council’s (dynamic) environment.
- *Being participatory.* The process is participatory because it intentionally brings together district development stakeholders; goals (i.e. the desired future) are set and approaches to achieving these goals are developed in partnership with key district development practitioners.
- *Being disciplined.* The process is disciplined in that it calls for a certain order and pattern to keep it focused and productive. The process raises a sequence of questions that helps planners examine experience, test assumptions, gather and incorporate information about the present, and anticipate the environment in which the council will be working in the future.

- *Relating to fundamental decision and action.* The process is about fundamental choices, decisions, and actions in order to answer the questions mentioned above.

Strategic planning is important as it:

- Ensures meaningful involvement of all major stakeholders in the development process, building consensus among them in relation to the desired future of the district, and resulting in mutual understanding, respect, and commitment for further collaboration within CPDP.
- Clearly defines the purpose of district development (i.e. the framework for operational comprehensive district development planning), as it formulates objectives and strategies in a realistic and defined time frame for implementation.
- Ensures that optimal use is made of the district’s resources, by focusing resources on key priorities.
- Provides a baseline from which progress can be made and measured.

District strategic planning is long term by nature. It sets and defines the ‘playing field’ for operational action planning, i.e. the Annual Comprehensive Planning (see Chapter 4). While a time frame of 5 years is recommended by the Local Government Reform Programme, a longer time frame (up to 10 years) could be considered. As a rule of thumb, choose a longer time frame only after gaining experience with strategic planning.

The key features of Strategic Planning versus those of Annual Comprehensive Planning are given in Table 3.

**Table 3: Key features of Strategic Planning versus Annual Comprehensive Planning**

<i>Strategic Planning</i>	<i>Annual Comprehensive Planning</i>
Forward orientation	Present orientation
Searching	Concrete
Innovative ideas, new directions	Re-arranging existing ideas, actions
Synthesis	Analysis
Aims and Vision	Concrete objectives
Long term	Short term
Focus on strengths and opportunities	Focus on solving weaknesses and threats
Intuition, use of ‘soft’ information	Rational, use of ‘hard’ information



*Strategic Planning provides a framework to put development priorities in the right order with a long-term perspective for the district.*

### 3.3 Who should make the District Strategic Plan

In Tanzania, strategic planning is often associated with the Central Government. The Central Government is responsible for formulating and monitoring national policies and strategic plans, in order to guide and streamline national development. In recent years, a large number of national policies and strategic planning documents have been issued or revised. These can roughly be divided into 3 groups, namely: (a) overall guiding strategies, such as Vision 2025, National Poverty Eradication Strategy and the Poverty Reduction Strategy; (b) (sub) sector specific strategies, associated with sector ministries, such as the agricultural sector development strategy, the national health policy, the primary education development strategy; and (c) supportive – often cross-cutting – strategies, such as the rural development strategy, and the multi-sectoral strategy on HIV/Aids.

In the decentralised governance system of Tanzania, District Councils – in partnership with major district development stakeholders – have the

obligation and responsibility to ‘translate’ these national policies/strategies into a coherent set of district strategies, taking into account the specific local realities. Every district is made up of a unique blend of natural, cultural, social, economic, and institutional resources and potential; what may be possible with relative ease and within a short time span in one district can be complex and difficult to achieve in another. District Councils also differ in resource base – be it human, organisational and/or financial resources. Lastly, districts differ in the number, size and capacity of different stakeholders – at district, ward and village levels – involved in district development. By definition therefore, strategic plans will differ from one district to another: there should not and cannot be a common recipe for all.

While the district council senior management is ultimately responsible for the development of a strategic district development plan, strategic planning should be an inclusive, consultative process, involving all key district development stakeholders. These are:

- District council senior management and staff;

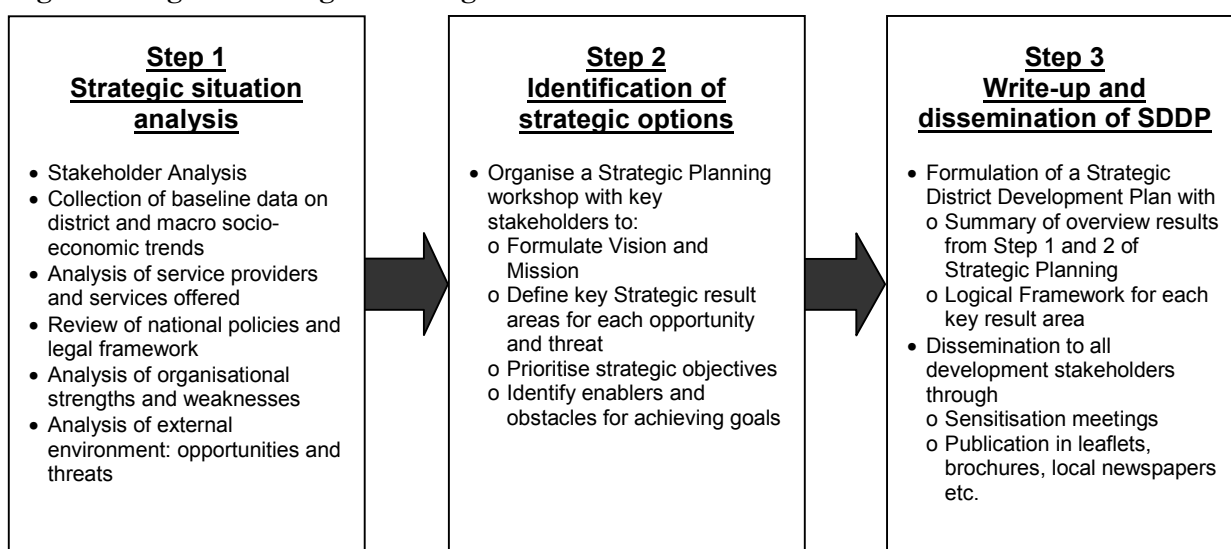
- Councillors;
- Representatives of development stakeholders (e.g. civil society and the private sector);
- Funders, who can help fund the action plans derived from strategic planning.

Experience has shown the importance of establishing a planning steering committee, to guide and oversee the strategic planning process until it is formally approved. It is good practice when this steering committee consists of members of the DAC (see Chapter 2), with the inclusion of the DPLO (the day-to-day coordinator of strategic planning and secretary of the steering committee) and possibly other heads of departments (representing the major sectors of the district). You are also free to allocate this responsibility to the Council Reform Team. Such a team is already in place within each District Council to guide the on-going local government restructuring process. Whatever committee is charged to oversee the preparation of the SDDP, it is important that the committee receives the appropriate mandate and support to fulfil its task and the commitment and time of its members.

### 3.4 Developing the Strategic District Development Plan

The way strategic planning is conducted differs from district to district. Three distinct stages can be distinguished as presented in Figure 4.

Figure 4: Stages in Strategic Planning



#### 3.4.1 Strategic situation analysis

Strategic situation analysis forms the core of the strategic planning process. It provides a detailed account and analysis of the current organisational situation, the resources available, and the environment in which it operates. It forms the basis to determine the most appropriate steps to realise the envisaged future. This is not an end in itself, but one step in a process that will lead to action and change.

There are numerous methods and tools available for strategic analysis. The Local Government Restructuring Manual of the Local Government Reform Programme<sup>3</sup> proposes the following tools:

- Stakeholder analysis (assessing the council's readiness for change; assessing stakeholder impact and support, assessing stakeholder priorities).
- Baseline data collection on the district council, services and (macro) socio-economic trends (e.g. population growth, enrolment rates, trade, etc.).
- Assessment of services offered by other providers.
- Review of national policies and legal/institutional framework.
- Community perception survey on the quality of services.

These tools are described in detail in steps 2 and 3 of the Restructuring Manual, and are not repeated here. But do consider the guidelines and principles in Box 7 in your analysis.

<sup>3</sup> United Republic of Tanzania, Local Government Reform Programme, President's Office – Regional Administration and Local Government: Restructuring Manual – a Strategic Approach to Reform by Local Authorities; May 2003.

## Box 7: Guidelines for strategic situation analysis

- Before getting started, it is vital to recognise that an analysis and planning process calls for *extra work*, over and above the already overloaded programming priorities. Therefore, consider the full scope of what needs to be accomplished and make sure sufficient staff, time and funds is available.
- Determine what information needs to be collected and how, what information is essential and what is not necessary. Collect both qualitative (perceptions, perspectives and opinions) and quantitative (facts, figures and percentages) information.
- Make a detailed action plan to collect all required information.
- Make optimal use of information already available. This may include information on:
  - (a) the socio-economic status of your district, e.g. results from previous participatory planning (& monitoring) activities by the district or others, reports of donor project/programmes implemented in the district, results of studies – including perception studies – by universities and others, statistics etc;
  - (b) the organisational performance of the district council, e.g. LGRP benchmarking exercises, audit reports;
  - (c) national policies and (sector) development programmes, e.g. plans and reviews of the LGRP, public sector reform programme, sectoral development programme.
- Ensure that ‘field’ data is disaggregated where possible:
  - (a) by administrative level (ward, but preferably village level). This gives you the possibility to discern differences between these levels;
  - (b) by gender (male/female). This gives you the possibility to discern differences in access- and use of services by gender;
  - (c) by social group. This allows you to ‘quantify’ access to and use of services by ‘disadvantaged’ groups.
- Raw data is not very useful if not analysed, synthesised and evaluated in such a way that conclusions can be drawn (suggestions on data analysis are provided in step 4 of the LGR manual).

Objectivity is the key to a successful analysis. Sometimes an objective outsider (e.g. consultant) could be contracted to design and conduct all or part of the analysis. If you choose to carry out the analysis yourself, the Development Clusters should take the lead in analysing sector specific data. Quality control and consolidation, on the other hand, is the responsibility of the planning department (under the watchful eye of the Planning Steering Committee).

The final Strategic Situation Analysis Report summarises all major issues facing the district and the opportunities available. Box 8 gives you the format for this report while more details are presented in Chapter 4.3 of the Local Government Restructuring Manual.

### Box 8: Proposed Format for Strategic Situation Analysis Report

1. Introduction
  2. Basic data on district (demographic, socio-economic development (+ projections)), district council and other development stakeholders/service providers (organisational structure, resources)
  3. Review of national, legal and institutional framework
  4. Analysis of current service delivery levels/key performance indicators (disaggregated)
  5. Satisfaction of civil society with service delivery (disaggregated)
  6. Assessment of internal environment (District Council, other major stakeholders)
  7. Summary of key issues and opportunities arising from current situation
- (Adapted from: Local Government Restructuring Manual)

### 3.4.2 Identification of strategic options

Based on the data and information compiled as part of the strategic situation analysis, the district can

decide on strategic development options. This implies developing and updating the district council’s vision and mission, and identifying and prioritising strategic directions and objectives.

**Vision** expresses the future state that the district council aspires to; what degree of excellence it would like to display in its specified field of activity, and the manner in which it would like to be viewed and judged. Vision is often described as the most powerful motivator in an organisation. A vision is by nature idealistic, to be continually pursued, but possibly never achieved fully. Yet in the mere pursuit of it, much good is achieved.

The **Mission** is the ‘raison d’etre’ for your council; why it exists. It is a statement of purpose and function. It describes the nature of your services, the target groups and clients that you serve, and how you serve them.

From the issues raised and opportunities identified during strategic analysis you can identify and prioritise so-called key result areas and strategic objectives. Key result areas are the strategic areas where ‘clients’, i.e. the district population, require or have a right to expect results. Usually main result areas are related to the five development clusters: (1) rural economy, (2) health & welfare, (3) trade and industry, (4) education, and (5) good governance. Strategic objectives, in turn, are the specific accomplishments (per result area) that must be realised to (a) achieve the overall mission of the council, and (b) address major issues that face the council.

The Local Government Restructuring Manual proposes a strategic planning workshop. During

this workshop, a broad range of stakeholders is invited to:

- Develop or revisit the council’s vision and mission.
- Discuss the results of the assessment process.
- Identify key strategic result areas.
- Formulate and prioritise strategic objectives.
- Identify enablers and obstacles for achieving objectives.

Such a workshop helps create ownership of (and thus commitment to) the strategic planning process, demonstrates the council’s commitment to participation and listening, and ensures the linkage between vision, mission and strategic objectives.

A detailed description of each activity of the stakeholder workshop is given in the Local Government Restructuring Manual, and is not repeated here. Please, consider carefully the additional suggestions in Box 9 to help you in having a successful strategic planning workshop.

It is advisable to use an outside facilitator to help you carry out the strategic planning stakeholder

workshop, especially if (1) you have not conducted strategic planning before or (2) there appears to be a wide range of ideas and/or concerns among stakeholders about strategic planning and current organisational issues to be addressed.

The final step at this stage is the re-examination and consolidation of the results of the strategic stakeholder workshop into a first draft Strategic District Development Plan (SDDP). The DCs could be useful here to assess relevant technical issues. The DAC could come in to discuss the draft SDDP and to provide additional comment and analysis.

This consolidation process is described in Chapters 5.3 – 5.6 of the Local Government Restructuring Manual. Important to mention though is the need to structure the strategic development plan according to the logical framework format. This will enable you to directly link up with the format required for expenditure planning by the Ministry of Finance (Mid-term Expenditure Framework, MTEF; see also Chapter 6.4.3).

**Box 9: Suggestions for effective stakeholder strategic planning workshops**

- Spend sufficient time on visioning (vision, mission & values) as it will engage people in full exploration of possibilities. It also helps to tie-in values to action!
- Do not focus visioning on generating short, exciting statements – this can result in abstract slogans with little utility value.
- Use the tool SWOT analysis (Strengths, Weaknesses, Opportunities, Threats) to find strategic issues and potential. Ask the participants to do a SWOT analysis on the basis of the information collected during strategic analysis and their own experience/intuition. This will help identify major strengths and weaknesses of the Council, as well as major outside threats and opportunities facing your organisation. Also consider trends affecting the Council, related to both the external and the internal environments.
- Arrive at the major issues by considering the effects of weaknesses and threats identified. Consider issues that have a bearing throughout the term of your strategic plan, but look very closely at the immediate future. What strengths and opportunities can be built on to address the weaknesses and threats?
- Consider each of the issues. Ask whether it’s ‘important’ or ‘urgent’. Often, issues seem very important when they’re only urgent, for example, changing a flat tyre is an urgent issue – but you’d never put ‘changing a tyre’ in your strategic plan. Attend only to the important issues and not the urgent.
- Deal with issues that you can do something about. Issues that are too narrow do not warrant planning and issues that are too broad will bog you down.
- Help other planners realise that they can overcome pending issues. Too often, because of shortage of resources, planners tend to be highly reactive, rather than proactive.
- Issues should be clearly articulated so that an outsider to the organisation can understand the description of the issue. It helps to temper ideas, i.e. to verify them against reality by having someone in the group assigned to be the ‘devil’s advocate’. Their role is to ask straightforward questions in an effort to get other participants to adequately examine the current suggestion or idea before accepting it!
- Main issues need to be formulated in the form of strategic objectives which need to be understood by the participants.
- Gain consensus on the strategic objectives, on how they should be achieved (identification of broad strategies), and then prioritise them.
- Group the strategic objectives according to the main result areas (see above). Express the main result areas as ‘outcomes’, i.e. what benefits can the district population expect after strategic objectives have been achieved, considering the prioritisation of strategic objectives. Gain consensus on the broad strategy for delivering each main result area.
- Develop objectively verifiable indicators and means of verification for each main result area and strategic objective.
- Define stakeholder roles for each strategic objective.

Adapted from various sources

### 3.4.3 Write up and dissemination

A format for the SDDP is recommended in Chapter 5.6 of the restructuring manual. Box 10 gives this format with minor adjustments that incorporate reporting requirements of the MTEF.

#### Box 10: Format for SDDP

1. Title
2. Sub title; summary of SDDP contents in a 'one-liner' e.g. 'to make a difference'
3. Introduction (*describes the consultative process to arrive at document*)
4. Overview of current situation
  - 4.1. Stakeholder analysis (*who are they, what do they do, needs/expectations of stakeholders*)
  - 4.2. SWOT analysis (*strengths, weaknesses, opportunities and threats*)
  - 4.3. Key issues and opportunities
5. Vision, mission and values
6. Key result areas (*including brief statement of the broad strategy for delivering each key result area*)
7. Strategic objectives per each key result area (*including general statements of how the council expects to achieve its objectives*)
8. Conditions (*highlighting factors that help ('enablers') and those that could hinder ('obstacles') the council in achieving its mission and objectives*) and assumptions (*highlighting factors, outside the control of the council which may have an impact on the realisation of objectives*)
9. Verifiable indicators & targets (*for each result area and strategic objective*)
10. Time Plan, Timing
11. Resource Requirements (*indicative; including specification of stakeholder roles and responsibilities*)
12. Monitoring (*describes how the strategic plan will be monitored and updated, when and by whom*)
13. Communication (*with stakeholders and the general public*)
14. Signatures (*for formal endorsement*)

*Annex: Logical framework for each of the key result areas.  
Annex: Consolidated tables with data and baseline information for respective key result areas.*

The plan is presented to the District Management Team and, subsequently, to the Finance and Planning Standing Committee for review and possible refinement. It is advisable to present and discuss the draft plan with departmental staff as well – they often provide valuable suggestions on objectives, responsibilities and timelines for completion of objectives. Finally, the revised SDDP is presented to the Full Council for final approval.

A frequent complaint about the SDDP is that it ends up collecting dust on a bookshelf, instead of being used as a framework for village planning and annual development planning or to attract donors to contribute to its achievement. To avoid this, disseminate your SDDP to all major development stakeholders, both governmental and non-governmental, at district, ward and village levels. Suggestions for dissemination of the SDDP are given in Box 11.

#### Box 11: How to disseminate the Strategic District Development Plan

- The SDDP should be published in both English and Ki-Swahili, including executive summaries;
- All development stakeholders, departmental staff, NGOs in the region, district, ward and village level should receive copies of the SDDP;
- Post your mission, vision and value statements on the walls of your main office, as well as on those of ward and village government offices.
- Publish the SDDP or portions of it in local newspapers (if available), broadcast through local radio and post on bulletin boards at ward and village level;
- Introduce new councillors and employees on the SDDP during orientations;
- Include and translate relevant sections of the plan into district policies and procedures (e.g. as district by-laws).
- Distribute the SDDP to all regional and district donors.
- Have sufficient copies of the SDDP available to give to official visitors to the districts (Ministry personnel, donors, NGO representatives, etc.).
- Publish your SDDP on the official Government of Tanzania website: [www.tanzania.go.tz](http://www.tanzania.go.tz)