

First edition

FACILITATORS'
GUIDEBOOK

FOR

PARTICIPATORY COUNCIL PLANNING

APPROACH

(FOR COMMUNITY COUNCILS)

2007

**MINISTRY OF LOCAL GOVERNMENT & CHIEFTAINSHIP
LESOTHO**

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List of acronyms

AIDS	Acquired Immunity Deficiency Syndrome
CCAP	Community Council Action Plan
CBO	Community Based Organization
CC	Community Council
CEO	Chief Executive Officer
DA	District Administrator
DC	District Council
IDAP	Integrated District Action Plan
DCS	District Council Secretary
DDCC	District Development Co-ordinating Committee
DPU	District Planning Unit
DRDP	Decentralized Rural Development Program
ED	Electoral Division (=Local Government Constituency)
HIV	Human Immuno-deficiency virus
MAFS	Ministry of Agriculture & Food Security
MoLG	Ministry of Local Government and Chieftainship
MTEF	Medium Term Expenditure Framework
NAC	National AIDS Commission
PCP	Participatory Council Planning
PRS	Poverty Reduction Strategy
PSIRP	Public Sector Improvement and Reform Project
PS	Principal Secretary
QSP	Quick and SMART Planning Approach
SDDP	Support to Decentralization and District Planning Project
SMART	Small, Measurable, Achievable, Relevant, Time bound
SWOT	Strengths, Weaknesses, Opportunities and Threats

0. Introduction

0.1 Background

The Participatory Council Planning (PCP) process, based on the 'Quick and SMART' (*Simple to understand by everybody, Measurable, Achievable, Relevant and Time bound*), is a participatory action planning process for Community and District Councils. The salient features of the approach are explained in Chapter 02. Planning approaches tested and tried in Lesotho, other African states, Bolivia and India were consulted in developing this approach for Council Level Planning.

The Tools to assist PCP: This Guidebook, the Community Council Action Plan (CCAP) Manual and the [Electoral Division \(ED\) Workbook](#) have been drafted based on the field testing of the planning approach in Qacha's Nek and Mophale's Hoek Districts.

This Guidebook attempts to provide all the information on planning steps, their methodological details, the intermediary formats to be filled and how to produce the CCAP and the Integrated District Action Plan (IDAP).

This Guidebook is a training manual to assist all those tasked with assisting the Community and District Councils to come up with their plans. The proper training of the new expanded District Planning Units is a prerequisite for success of the envisaged planning process in Lesotho. This also includes their reorientation to become the technical support service providers to Local Governments.

Learning from the experiences of the GateWay approach, this planning approach promotes the role of CCs as coordinators of development processes in their areas, and also in the HIV AIDS Mainstreaming into normal developmental projects. GateWay approach believes that CCs must perform a coordinating role in the development of actions plans based on the community priorities and monitor their implementation through the support of competent service providers. When the community is selecting the priorities, they must consider how the design of project will positively or negatively effect and be effected by the HIV AIDS pandemic (see Annexure 9).

Once the plans are ready, it would be the Ministry's responsibility to dovetail the fiscal decentralisation grants and procedures based on the council plans so that the money can be channelled to the communities through their councils for implementation cycle to begin. Other stake holders can pick up priorities from the plans and support their implementation, leading to generating the experiences of how to manage planned development interventions through the Local Governments.

It is hoped that the application of this methodology by all concerned will assist the Community and District Councils to identify clearly defined projects that are based on community priorities and the overall directions of the Poverty Reduction Strategy of Lesotho.

0.2 Salient features of the Participatory Council Planning process

The Ministry of Local Government and Chieftainship is supporting the elected CCs and the DCs in the preparation of medium term Community Council and Integrated District Action Plans for their respective mandated functions and areas. The plans will in particular support the function of the Councils as the GATEWAY for service delivery and combating HIV & AIDS in a mainstreamed manner.

The PCP process provides simple medium term developmental priorities of CCs based on a highly participatory process driven by the councils and technically supported by relevant line Ministries

The matrix below illustrates where the Community Council and Integrated District Action Plans should be located in the national planning system. The shaded areas show the domains of planning included under the PCP. The arrows indicate how these domains should influence the development of the subsequent planning elements.

Planning levels and types of plans

Planning level:	Community Council (CC) level	District Council (DC) level	National level
Planning horizon:			
Long term 6 – 10 years	Visions defined by the Community Councils ↓	Future "Strategic District Development Plans" ↓	Vision 2020
Medium term 3 – 5 years	Community Council Action Plans (CCAPs): PCP ↓	Integrated District Action Plans (IDAPs): PCP ↓	Poverty Reduction Strategy ←
Short term ~ 1 year	Annual Work Plans (2nd Schedule)	Annual Work Plans	Annual investment plans

With the intention of delivering speedy implementation by the newly established Local Governments, the Participatory Council Planning (PCP) offers a shortened planning cycle. The purpose of PCP is to:

- Base the decisions to be taken by the Councils on visions, goals, objectives and strategies that fulfil the requirements of the Vision 2020, the Poverty Reduction Strategy (PRS) and the National HIV & AIDS Strategic Plan.
- Facilitate the acquisition of funds required for the implementation of activities and projects within the area of responsibilities of the Councils (see Schedule 1 and 2 of the Local Government Act).

The classic long term Strategic District Development Planning, to be undertaken at a later stage, has to be based among others, on projections of population profiles and settlement structures, on the definition of development zones, on sectoral scenarios, etc. The time required for this type of planning exceeds the current mandate period of the Councillors. The PCP approach, on the other hand, is focused on those needs of the local population

- for which the CCs have a mandate, and
- which can be met without the existence of a long term strategic framework for the development of the District.

The CCs and the DC will be the owners of the plans.

CCAPs and the long term Strategic District Development plans are not mutually exclusive but complementary: CCAPs and the IDAP will be an important input for future long-term regional development planning. Currently the MLGC is allocating capital grants to CCs based on a formula. The CCAPs can help on the selection of projects to be implemented over a 3 year period.

The phases and steps of the PCP method are presented in the table below:

Phases and steps in "Participatory Council Planning"	
Phases	Steps
1. Preparatory measures (~ 3 weeks)	<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="border: 1px solid black; padding: 5px; text-align: center;">Briefing of MPs (2 hrs)</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">CC- and District Fact Sheets</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Training of facilitators (2-3 days)</div> <div style="font-size: 2em; margin: 0 10px;">→</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Pre-planning workshops with stakeholders (2-3)</div> </div>
2. Participatory identification of priorities by CCs (~ 6 weeks)	<div style="border: 1px solid black; padding: 10px; width: fit-content; margin: auto;">CCAP workshops with CCs and others at CC-level (3-4 days each)</div>
3. Cost estimates and District situation analysis (~ 2 months)	<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="border: 1px solid black; padding: 5px; text-align: center;">Cost estimates of CCAPs by Technical Departments (~2 months)</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">District situation analysis for IDAP by DPU/ consultants</div> </div>
4. Preparation of IDAP, co-ordinated by DDCC (~ 5 weeks)	<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="border: 1px solid black; padding: 5px; text-align: center;">DC defines vision, objectives and projects for District</div> <div style="font-size: 2em; margin: 0 10px;">→</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Cost estimates of District projects by Technical Dpts. (~3 weeks)</div> <div style="font-size: 2em; margin: 0 10px;">→</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Preparation of IDAP document and approval by DC</div> </div> <div style="border: 1px solid black; padding: 5px; text-align: center; margin-top: 10px;">Briefing of MPs on the outcome</div>
5. Funding	<div style="border: 1px dashed black; padding: 10px; width: fit-content; margin: auto;">Presentation of CCAPs, IDAPs and individual projects to funding agencies</div>

0.3. ROLE OF THE DPU

The DPU members will be resource persons/facilitators in the planning process. They are an integrated technical team composed of all technical sectors at the district level. They shall be accountable to the DA, who in turn will ensure that the necessary financial and other resources (vehicles, subsistence etc.) to implement this role are available to them and on time. Where necessary the DPU may bring in public servants from a selected district that has already completed PCP. They can be requested by the DA of the host district from the DA of the district that has completed PCP. They shall be released for specified inputs for specific dates by the DA and shall be catered for (local transport, accommodation, food etc.) by the host district/MoLG. The DA of the supporting district should provide the transport for their movement to and from the host district.

0.4. STRUCTURE AND REPORTING OF DPU

The DPU shall be headed by a person selected by the members of the DPU. Such a person shall be called the **Chairperson** of the DPU. The Chairperson shall be responsible for leading discussions during the meeting and help participants reach consensus. The Planning Office of the Ministry of Local Government at the District shall act as the **Secretariat** of the DPU. A planner from this office should be the **Secretary** of the DPU. S/he shall be responsible for sharing the reports of the DPU with the DA as well as sending copies to Directorate of Planning, Ministry of Local Government and Chieftainship.

0.5. COMPOSITION OF THE DPU

The DPU shall be composed of the following key representatives of the stakeholders at the District Level.

1. Economic Planners
2. Physical Planners (LSPP, Ministry of Local Government)
3. Land Use Planners (LSPP, Ministry of Local Government)
4. Ministry of Agriculture and Food Security, preferably a Technical representative nominated by District Head of the Department.
5. Ministry of Natural Resources (Rural Water Supply), preferably a Technical representative nominated by District Head of the Department.
6. Ministry of Public Works & Transport (Rural Roads Department), preferably a Technical representative nominated by District Head of the Department.
7. Ministry of Health & Social Welfare, preferably a Technical representative nominated by District Head of the Department.
8. Ministry of Trade & Industry, Cooperatives and Marketing, preferably a Technical representative nominated by District Head of the Department.
9. Ministry of Forestry & Land Reclamation, preferably a Technical representative nominated by District Head of the Department.
10. Ministry of Tourism, Environment & Culture, preferably a Technical representative nominated by District Head of the Department.
11. Ministry of Gender, Youth, Sports & Recreation, preferably a Technical representative nominated by District Head of the Department.
12. Ministry of Local Government, Rural Development Officers.
13. National Aids Commission (NAC)
14. Any other Technical Officer that DPU may require at a given point in time.

Note: The DPU can from time to time invite any other department, not mentioned above, as may be necessary. It is suggested that grassroots based NGOs in the District, who are highly experienced in community mobilization and participatory planning, may be included into the DPU to enhance its capacities and involve Civil Society in empowering Local Government planning and service delivery aspect.

All these representatives should be considered nominated into the DPU and should not be replaced by other officers by the concerned Line Ministry from time to time, in order to ensure continuity of the institutional functioning of the DPU. Membership may be extended depending on circumstances.

Facilitators: These are the selected members of the DPU that are given total responsibility to manage Area Planning Teams doing the council level planning process in designated clusters.

Area Planning Teams: These are existing government extension officers who are in direct contact with the communities they serve but work together as a team for a cluster of CCs grouped together as an area. They are supported by the facilitators to undertake the planning process in these CCs.

0.6. ROLE OF DEPARTMENT OF PLANNING (HQ)

- Responsible for standardizing the planning methodology
- Securing additional funding for the planning process
- Provide technical backstopping to the DPU

0.7. ROLES & FUNCTIONS OF THE DISTRICT PLANNING OFFICE

The Planning Office of the Ministry of Local Government and Chieftainship at the District shall act as the **Secretariat** of the DPU and shall be called the **District Planning Office (DPO)**. The Secretary of the DPU shall be a planner from this office. The specific functions of the DPO shall be:

- To organize, coordinate and record minutes of the meetings of the DPU.
- Follow up the actions emanating from the previous meeting of the DPU.
- Assist the District Council to submit, for No Objection/recommendations, the Annual Plans and Project Proposals to Directorate of Planning, Ministry of Local Government.
- Provide the CCs and the DC with the Annual Plans of the Line Ministries for that district.
- Undertake quarterly Monitoring of the implementation of the council projects.

0.8. ROLE OF DISTRICT ADMINISTRATION OFFICE

- To generally oversee the planning process
- To provide the necessary resources

0.9. ROLE OF DISTRICT COUNCIL SECRETARY'S OFFICE

To ensure that the community councils and secretaries participate fully in the planning process

0.10. ROLE OF DDCC

As per the LGA:

- To consider draft development plans for the district prepared by each council, and
- To coordinate such plans into a composite District Development Plan and to approve such plans.

With respect to PCP:

- To harmonise the IDAP with the plans of the various department for centrally planned and budgeted functions and projects.
- Thus give recommendations on the IDAP
- Ensure utilisation of Advocacy Lists from the CCAPs by the central ministries in planning their next year's budget.

0.11. PLANNING RELATED FUNCTIONS OF COMMUNITY COUNCILS

For the purpose of doing their mandated role of planning and supervising plan implementation for their constituencies, the CC shall:

- Oversee the filling up and annually updating of the CC Fact Sheet.
- Know and have a thorough understanding of their councils: boundaries, socio-economic challenges, opportunities and constraints etc.

- Coordinate the planning of the development activities of their council for the next three years, which should be reviewed annually and translated into Annual Plans, priorities and Budgets.
- Based on participatory planning methodologies (see section 5), develop prioritized needs for the CC and ensure their compilation in form of Project Profiles, that should then be submitted to the DPU.
- Mobilize communities and ensure immediate implementation of the self help projects.
- Coordinate implementation of the approved projects.
- Ensure holding of Social Audits of each project whereby, before the project completion acceptance, the concerned councilor assisted by the council secretary hold a meeting of all project beneficiaries at the site. The original project is read out and community confirms if the implementation is as per the plan.
- Appoint sub committees for implementation and management of each project.
- Manage financial resources, assets and project inputs associated with the approved Annual Plans and projects.

1. First Phase: Preparatory measures for the planning process

1.1 District Administration & District Council

The Planning Office of the Ministry of Local Government & Chieftainship shall be responsible for the steps below:

a. Briefing of the DA & DCS

b. Briefing of the DPU

Output: Action Plan for conducting PCP in the district including budget.

c. Approval of Action Plan and Budgets

This process will differ, depending on the logistical arrangements per district.

d. Selection of Resource Persons and Facilitators

The timely recruitment and training of appropriate facilitators with experience in participatory planning (preferably three teams with four members each) for the moderation of the CC workshops is crucial and decisive for the success of the planning process.

Where possible, it is recommended that at least one of the members of each Area Planning Team should be an experienced facilitator from the non-government sector, advisedly, an active community mobilizer/planner from an NGO working in that area. An additional criterion in selection is that the facilitator is a person who is seconded /available unconditionally for the four month period that the PCP process takes place.

It must be remembered – the DPU is the technical coordinator of these plans, the facilitators are the actual enablers of these plans and the councils are the owners of these plans.

At least two or three of the ex-facilitators from another district which has gained extensive and valuable experience in the facilitation in the application of PCP in other districts should be invited to be the Resource Persons during the training of the facilitators by the DPU.

Main functions of Facilitators:

The main functions of the facilitators in the PCP method are

- To prepare and facilitate the area-wise pre-planning workshops and to support the Community Councillors in preparation and execution of their ED level planning.
- To assist area teams in facilitating the process at ED level
- To prepare and facilitate the CCAP workshops and to ensure the filling-up of the CCAP-workbook during the workshops. A team of at least three facilitators is required for each CCAP workshop.
- To support the CCS in the translation of the filled-up workbooks into English.
- To advise the technical Departments in the preparation of project profiles with cost estimates.
- To facilitate meetings of the DC in order to define a vision, objectives and projects for the District, and to approve the IDAP.
- To identify lessons learnt after each workshop and document them in the corresponding template (see Annex 7).

1.2 Briefing of Parliamentarians

Objective:

The parliamentarians of the District should understand the purpose, content and procedures of the Participatory Council Planning (PCP) and their role in supporting the process. In addition, they should recognise how the CCAPs and the IDAP are linked to:

- the annual work plans of the CC area and of the District, and
- the future strategic District Development Plan.

This type of meeting should not take more than 2-3 hours.

Participants:

Team Leader of the District Facilitators' Team, Parliamentarians, Chairperson of the District Council, DA, DCS and the Principal Chiefs.

Agenda: The following agenda is proposed for the meeting:

TIME	SESSION	FACILITATOR	INPUT/MATERIAL
Chair: District Administrator			
8: 30	Opening prayer	Anybody	
8: 40	Welcoming Remarks & Introductions	District Council Chair	
9:20	Opening Remarks and Agenda of the Meeting	DCS	Distributed programme
9:50	Objectives and steps of the CCAP process	District Facilitator Team Leader	Guidebook
10:50	The role of the Parliamentarians	District Facilitators	Guidebook
11:15	Discussions and clarifications	DCS	Chalk & board
12:00	Way Forward	DCS	Guidebook
12:30	Closure	Principal Chief	None

1.3 Community Council Fact Sheet and District Fact Sheet

1.3.1 Community Council Fact Sheets

Objective of the Step: The first step towards the preparation of CC plans and of the DC plan consists of the preparation of Council Fact Sheets by the CC Secretaries (see Annex 1). They will constitute the basis for the descriptive and analytical parts of the CCAPs.

Responsibility and procedure:

- At least 3 weeks ahead of the area-wise pre-planning workshops, the DCS shall organise a half day workshop of CCSs, assisted by the DPU, where the CC Fact Sheet is explained to all Community Council Secretaries (CCS).
- The CCS will be responsible for the filling up of the Fact Sheets and will be supported by the designated Area Planning Team and Councillors of his/her area.
- The CCS will return the filled up Fact Sheets not later than three days before the area-wise pre-planning workshops to the DCS, so that the documents are available for the preparation of those workshops.
- The CCS will keep a copy of the filled up Fact Sheets.

Methodology: The CCS may follow the guidelines in Annexure 1 to fill up each data field.

1.3.2. The District Fact Sheet

Objective of the Step:

The district fact sheet provides a 4-5-page overview of the most important data of the district. Its purpose is to:

- inform the area-wise pre-planning workshops on the basic facts of the District, and
- serve as the basis and framework for the situation analysis required for the IDAP.

Responsibility and procedure:

- The Head of the DPU will be responsible for the filling up of the Fact Sheet.
- The process of filling up the template (see Annex 2) will start at least 3 weeks ahead of the area-wise pre-planning workshops.
- Not later than three days ahead of the area-wise pre-planning workshops, the Head of the DPU makes available copies of the filled up District Fact Sheet to the DCS, the DA, the Chairperson of the DC, the CCS and to the facilitators of the workshops so that the document is available for the preparation of those meetings.
- The data required in the Fact Sheet can be obtained from technical Departments, statistical office, etc. and other documents (e.g. previous development plans, results of surveys, etc.). The data should be based on the latest census figures.

Content of the District Fact Sheet (see Annex 2):

The content of the fact sheet template is structured as follows:

1. Population density
2. Demography
3. Area
4. Physiographic and natural conditions
5. Social indicators
6. Socio-economic indicators
7. Sectors:
 - 7.1 Agriculture
 - 7.2 Health

- 7.3 Education
- 7.4 Water
- 7.5 Roads
- 7.6 Energy
- 7.7 Communication
- 7.8 Trade and commerce
- 8. Environment

The above structure should be seen as a guideline. The DPU should add information categories that may be of importance or relevance to the district. Others that are considered irrelevant should be deleted.

1.4 Training of the DPU and preparatory steps for the pre-planning workshop

1.4.1 Training Workshop for the DPU

DPU who are not yet experienced in the PCP method require a 2-3 days training on the application of this Guidebook and related tools. This will include a part on HIV & AIDS mainstreaming.

Experienced Resource Persons (PCP facilitators from other districts) should be involved in the training as a peer group.

In the training, the documentation of the "Lessons learnt from previous exercises" should be taken into account (see Annex 10).

Outputs of the training workshop:

1. Defining district into Areas. Each district, based on accessibility and geographical considerations may be divided into three or four Areas, each comprising a cluster of CCs. The pre planning workshops are organized at one suitable venue for each Area.
2. Selection of facilitators for each area.
3. Specific dates for Area Based Pre-Planning workshops.
4. Resource Material.
5. Role of Information Offices in popularizing participation in Pre Planning.

Immediately after the training, the DPU must inform the District Council of the planning process in a normal sitting of the District Council.

1.4.2 Preparatory steps for the pre-planning workshops

Clustering of Community Councils for the Pre-planning workshops:

DCS and the Head of DPU decide how the Community Councils can be clustered into areas for the purpose of pre-planning workshops. One suggestion is to look at the clustering already done during the HIV-AIDS Gate-Way competency trainings for the councillors.

Invitation:

The invitation letter with objectives of the Pre-Planning Workshop and the Workshop programme appended must be sent in advance by:

- a) The DCS to the CCSs, the Chairpersons of the Community Councils, representatives of Standing Committees on Finance and Planning of the Community Councils, District Administrator, the expanded DPU, the gazetted chiefs, selected NGO's, and facilitators from MoLG HQ.

b) The DPU to the Team Leader of each Area Team to distribute to his/her team members to arrive on the day of the workshop at the designated venue for the workshop.

Facilitators for the pre-planning workshops:

The Head of DPU, or the person commissioned by him/her, forms one or several teams out of the group of trained facilitators to lead the area-wise pre-planning workshops along with a Team Leader who can be elected by the facilitators. They should select and train specific facilitators for the specific sub-sessions and provide the input material to the concerned facilitators in advance.

The Facilitator from central MoLG should assist the DPU Team in planning for the workshop and provide technical backstopping when necessary. An important consideration for setting up of district facilitators who are committed to the process is essential.

Logistics and accommodation:

The DCS is responsible for organising the logistics and accommodation. It is crucial that the catering for the workshop be done at the site through a competent local caterer who is registered / recognized by the CC. This ensures that local economy is being stimulated by these grassroots planning processes and not those of the big towns and hotels.

The logistical and budgeting issues have to be worked out before the workshop, for these to be presented without any confusion.

The participants have to reach and be lodged at the venue one night before the workshop.

Pre-planning of the CCAP workshops:

The DPU, DCS and the district facilitators have to develop the district roll-out programme, with suggested dates indicating when different community councils will have their CCAP workshops. Based on these, the DPU (and NGOs) will form itself into multidisciplinary Area Planning Support Teams (which should identify the extension officers responsible for their area), which will have designated CCs. Each Area Planning Support Team should have four to five officers.

The list of attachment of the staff of most ministries to either the office of the DA, DC or a CC will be most useful in forming the Area Planning Support Teams.

Given the need to finish the CCAPs before the Budget Call Orders are submitted in September/October, the district may need to have at least three or four Area Planning Support Teams which can conduct one CCAP each week, so that three or four CCs can be covered each week.

1.5 Area-wise pre-planning workshops

Each district, based on accessibility and geographical considerations may be divided into three or four Areas, each comprising a cluster of CCs. The pre planning workshops are organized at one suitable venue for each Area.

1.5.1 Objective and participants of the pre-planning workshops

Objective of the step:

In the area-wise pre-planning workshops, the stakeholders in the district will be informed on the purpose and procedures to be applied in the planning process, using the Workshop Programme and the methodology suggested in these guidelines. In addition, they will be sensitised on the overarching importance of the HIV & AIDS mainstreaming -approach, to be considered already when exploring the priorities of the EDs.

It should be noted that in the context of the Unified Extension System (UES), CAPs have been developed in a participatory process at [village/ED](#) level through the Action Learning Cycle (ALC). An attempt should be made to identify the villages in each ED for which CAPs already exist. Those CAPs will be used during the ED meetings to identify community priorities (See chapter 2). If the ED step is not being done, these CAPs should be used as an input for agriculture sector prioritisation during the CCAPs.

Councillors, in particular, will be fully sensitised on the planning process and trained in the use of the ED Workbook.

The results of the CC Fact sheets, prepared by the CCSs, shall be made known.

The ownership of the planning and implementation process will be broadened as much as possible.

Participants in the workshops:

- 1) All Community Councillors and CC Secretaries, District Council Secretary, District Administrator, the expanded DPU, selected NGO's, and facilitators from MoLG HQ.
- 2) Technical staff of the different Ministries in the designated area: They will be sensitised on their roles and responsibilities in the Participatory Council planning approach, so as:
 - To enable them to be functional in the dispensation process of decentralised planning.
 - To broaden the ownership of the planning and implementation process.
 - To decide which member of the Team will support which CC and its Electoral Divisions on which dates.

By doing the pre-planning workshops area-wise and not centralised at the district level, the Area Teams are in a position to contribute according to the specific conditions and situations of their area. In addition, this will also reduce the need to travel and unnecessary logistics and costs.

- 3) All the gazetted chiefs within the CCs: Since the planning process at the Local Government Constituency (Electoral Divisions) level (if it is being done in the district), requires the full support of the chiefs of the area in terms of their participation, it is deemed vital to ensure that they are fully informed of the process and that their role is clearly articulated.

Programme schedule for the Pre-Planning Workshops

Day 1:

Time keeping is to be managed by the Chair of the first session, which is the formal one and can become a lengthy one if not managed properly.

TIME	SESSION	FACILITATOR	INPUT/ MATERIAL
Chair: District Council Chairperson			
8:30	Welcoming Remarks	DA	Planning Guidebook
8:45	Opening Prayer	Anybody	None
8:50	Introductions of the participants	DCS	None
9:00	Opening Remarks and objectives of the Workshop	DCS	Planning Guidebook
9:30	Workshop expectations	Team Leader	Flip Charts
10:10	Norms & Values to be adopted during the workshop	Team Leader	Flip Charts
10:30	TEA BREAK		
Chair: District Council Secretary			
11:00	Decentralized planning through councils & linkages to National Vision & PRS	DPU Team member	Hand out which is brief and is translated
11:20	Discussions & clarifications	DPU Team member	None
11: 40	Presentation on the Natural resources management & its relevance within PCP Approach	DPU Team member	Pamphlets & Hand Outs written in the vernacular
12: 10	Councils as Gateway in managing HIV & AIDS issues & its relevance to PCP	DPU Team member	Pamphlets & Hand Outs written in the vernacular
12: 30	Brief discussions on the presentations	Team Leader	None
12: 50	LUNCH		
13:40	Methodological steps of PCP	DPU Team member	Guidebook
14:10	Presentation on the CC Fact Sheet Format & Procedure	Facilitator from MoLG	Guidebook
14: 40	Role of DPU & Line Ministries in the development of CCAP	DPU Team member	Guidebook
15:15	Discussions on the presentations	Chair	None
15:30	TEA		
16: 00	Summary of the day's discussions	Facilitator from MoLG	Flip chart

Day 2

TIME	SESSION	FACILITATOR	INPUT/ MATERIAL
Chair: Chairperson of the District Council			
8:30	Recap	Facilitator from MoLG	Flip chart from yesterday
9:00	Introduction of Format, Guidelines and Criteria for collection of priorities in the ED Meeting (optional)	DPU Team Member	Guidebook
9: 30	Discussions on the presentation (optional)		None

TIME	SESSION	FACILITATOR	INPUT/ MATERIAL
10:00	Techniques for prioritisation (optional)	DPU Team Member	Guidebook
10:30	TEA BREAK		
11:00	Discussions on the presentation (optional)	Chair	None
11:20	How to carry out the ED Meeting (optional)	Facilitator from MoLG	Guidebook
12: 50	LUNCH		
13:40	Introduction of the CCAP Workbook	DPU Team Member	Workbook
14:10	Logistics (food, transport and accommodation) for the roll out	DCS	
15:30	TEA		
15: 45	Evaluation of the workshop	DPU Team Member	Translated Version to be provided
16: 00	Mapping a way forward (see below)	DCS	Guidebook
	Closure	Chairperson of the District Council	

The session on the Way Forward must resolve the following actions:

1. Dates and logistics for the planning process in each ED of the CC (if that step is being done).
2. Letters to concerned chiefs in each ED for organisation of the ED planning process will be written and sent out (if that step is being done).
3. Which members of Area Planning Support Teams will attend which ED planning process and C-CAP-workshop?
4. The dates of the C-CAP workshops and the logistics and responsibilities should be discussed and finalised.
5. The Information Office at Headquarters must be given all the information concerning the process in order for them to prepare sensitisation plan.

2. Second Phase: Participatory Identification of Priorities by Community Councillors

2.1 Meeting at Local Government Constituency (Electoral Division) level

Note 1:

This step is necessary to get real and fresh priorities of the communities based on a participatory pitso process that is being explained in this chapter. However, a quick round of lipitso were done in most of the EDs by DPUs in 2005 to collect a list of priorities. While that list may now be outdated and may have not been developed through a full representation of all villages falling in that ED, the decision to do this step again and properly is best taken by the District Management. The DPU must have lists of priorities for each of the EDs from the 2005 process in hand before deciding not to do the step.

Note 2:

In the context of the Unified Extension System (UES), CAPs for agriculture, livestock and natural resources have been developed in a participatory process at village level through the Action Learning Cycle. An attempt should be made to identify the villages in each ED for which CAPs already exist. These CAPs will be presented during the ED meeting described in this section.

Objective: Identification of the priorities of the communities at ED level by the Councillors through a participatory process.

Participants:

Day 1: Communities, Councillors supported by Area Planning Support Team and local CBOs/NGOs.

Day 2: Selected community representatives from day 1, councillors, Area Planning Support Team (= facilitators) and local CBOs/NGOs.

Procedure: After the area-wise pre-planning workshop, each of the councillors will arrange a meeting for a participatory process in his/her ED, leading to completion of the ED Priority Format (Annex 6) based on the suggested methodology.

Therefore, each of the Community Councils has to:

1. Notify chiefs through a letter of the place, date and time where the ED planning process will take place.
2. Facilitate a participatory process for all the villages within the Electoral Division to analyse the local situation, identify the main problems, opportunities and needs, and agree on priorities for inclusion in the Community Council Action Plan.
3. Be assisted by the Area Planning Support Team, local CBOs/NGOS and extension staff to facilitate compilation of local development priorities at the conclusion of this process, applying the guidelines suggested.

The Councillors will use the following guidelines.

2.1.1 Guidelines for problem identification and opportunities and needs assessment

Members of the Area Team, CBO/NGO facilitators and extension staff should collaborate in facilitating the various activities required for problem identification and for opportunities and needs assessment. It is normally appropriate to divide participants into groups, e.g. women and men, youth, livestock owners.

HELPING TO DEFINE PROBLEMS

What is a problem?

- It is an existing, negative state
- Try to avoid over-generalisation
- We are looking for the core problems and not the causes of a problem

Example of a well-defined problem:

- ❖ High mortality of sheep, cattle and goats due to livestock diseases

Examples of poorly defined problems:

- ❖ Climate (not a negative statement)
- ❖ Lack of knowledge (too general)
- ❖ Lack of extension agents (a cause of a problem)

Based on their decision, community members divide into groups and are asked to identify the main problems affecting them. It is advisable to start with what the local community considers as important issues and they need to be recognised clearly. Opportunities available within the community to solve the problems of economic importance should also be identified.

2.1.4 Guidelines for identification of solutions

In this step, possible solutions to the priority problems of the Electoral Division are agreed upon and confirmed. The solutions may come from within or outside the ED. It is important to discuss and conceptualise these solutions and how they are going to be facilitated. It is essential at this stage to ensure that the participants come up with realistic ideas, which can be implemented with minimum intervention from outside. A solution such as 'increase the number of field workers' is clearly outside of the community's control and cannot lead to any activity.

This process is again done in groups. The solutions are not simply the negative causes turned to positive solutions. For example if 'drought' was one of the causes, this cannot be turned into 'more rainfall' as a solution, as this is clearly something over which we have no control.

Each identified solution should be specified as a defined activity or project. The expected impact of this activity or project on the problem or need in question should be clear and agreed by the participants. For each activity or project, the contribution of the beneficiary community should be specified (in labour, cash or kind) and should, where relevant, conform to government guidelines for that sector.

2.1.6 Guidelines for prioritisation and finalisation of ED plans and proposals

Participants should draw up a list of all the projects or activities they have identified as solutions to the agreed priority problems and needs of the ED.

A felt need supported by the majority of the people representing most of the communities should be given a higher priority.

The technique that can be used for prioritization is:

- a) Raw maize grains/peas/beans: the councilor has to bring a small bag of the grains in a closed bag to the ED meeting (bring enough as per anticipated turn up). Containers are designated for each need that has been listed – different colours of containers or grains

can be used to designate different needs. Each participant is asked to walk up to the grain bin areas and given five grains. They can put as many grains in as many bins as per their choice. At the end the grains in each container are counted and the needs are listed in descending order of grains. The first five are considered selected. In case of a tie between two priorities, a coin can be tossed. The one that wins is a higher priority and the other one goes to the next priority.

- b) Stone voting: stones can also be used but this needs strict monitoring that extra stones are not picked up by the participants.

The Area Team (=facilitators) can ask the community to identify projects or activities that the community can carry out themselves (**Self-help projects**). This should be prioritised using the above technique and the first five placed in a separate list for immediate action. Template attached to annex 6.

For the remaining **projects**, participants should again prioritise them to identify the first five that they consider the most important. These five proposals should then be entered on the form provided and sent to the CCAP workshop. Participants at ED level should be made aware that the final priority in the CCAP process at the Council level will decide the ultimate priorities in the CCAP.

If any approved projects are ultimately found not to be technically or economically feasible, they may be replaced by the project(s) with the next highest priority.

NB: the above guidelines have been formulated based on some Action Learning Cycle (ALC) tools to enhance community participation in the ED meeting and are in no way a fully fledged ALC exercise. The ALC and its tools are a method for the solution of problems in agricultural production, and cannot be used for the identification of priorities in the multi-sectoral context of a Council.

2.1.6 Suggested schedule of the ED meeting

TIME	SESSION	FACILITATOR	INPUT/ MATERIAL
Chair: Councillor of the ED			
Day 1	Welcoming Remarks	Chief	Planning Guidebook
	Opening Prayer	Anybody	None
	Introductions of the Area Planning Support Team	Councillor	None
	Opening Remarks and Agenda of the ED planning process	Councillor	Planning Guidebook
	Introduction to the Community Council Planning Process and outline of the methodology	Area Team Leader and Councillor	CCAP Workbook
	Problems, opportunities and needs assessment	Area Team member	Planning Guidebook
	Analysis of key problems		
Day 2	Identification of solutions/projects	Area Team Member	Planning Guidebook
	Clustering of projects into 2 categories as follows: 1) SELF HELP PROJECTS 2) Other PROJECTS	Area Team Member	Chalk board/flip charts and markers

TIME	SESSION	FACILITATOR	INPUT/ MATERIAL
	Prioritisation of the first five most critical Projects of the ED per cluster	Area Team Member	Maize/Stone voting Use of formats 3.2.1 and 3.2.2 of workbook
	Filling up the final list into the formats at the end of the ED Workbook	Area Team Member	Workbook
	Reading out of the format and approval by the participants	Councillor	
	Closure		

The final five prioritised projects per cluster are to be filled up by the CCs in the formats provided in the ED Workbook in Annex 6. The Self help projects remain with the ED for immediate action by the community while the other priority projects are taken over to the CCAP workshop.

2.2 CCAP Preparation Steps

2.2.1 Objective, participants and logistics

Objective: Preparation of CCAPs in CC-level workshops of at least 3 days' duration on the basis of the needs from the ED presented by each of the councillors, and of the Community Fact Sheets. The core of the CCAPs will be the lists of prioritised projects and activities. These development projects and activities should mainstream HIV and AIDS.

Participants: Community councillors, CCS, Area Planning Team (incl. NGOs/CBOs).

Each Area Planning Team should have four – five people, with a Team Leader elected by the facilitators assigned to a specific CC area.

Logistics: Provision for food, lodging and travel for those councillors who come from far away has to be made by the CCS. The councillors and the Area Team Members must reach the venue the night before the workshop starts. The Area Team Members are expected to bring their own blankets/sleeping bags so that they can sleep in the schools, resource centres etc. It is crucial that the catering for the workshop be done at the site through a competent local caterer who is registered/recognized by the CC. This ensures that the local economy is being stimulated by these grassroots planning processes and not those of the big towns and hotels and also ensures that time is not wasted commuting.

A synopsis of key government policies should be compiled, translated into Sesotho and be available in each workshop. The compilation and translation takes about 3 days.

2.2.2 CCAP Workshop methodology

The CCAPs will be prepared in the three day planning workshops at CC level with the Community Councillors, Area Planning Teams and NGOs.

In these workshops, the Community Councillors will submit the priority lists of projects of the respective Electoral Divisions (EDs) of the Community Council area, using the Workshop Programme and the methodology suggested in these guidelines.

The council members who are chiefs do not represent any specific ED but are the representatives of all the chiefs in that CC area. They will thus not bring any separate ED priority but will assist the Councillors in their areas and will represent the interests of the people during the council level prioritisation in the CCAP workshop.

A crucial aspect of council based planning is the process of prioritisation and negotiation. The huge number of projects emanating from the innumerable problems of the communities have already been clustered and prioritised in the ED meeting to come up with the five most important ones.

At the CC level, each Councillor must do the following:

- Begin by presenting the five priority projects from his/her ED, based on the ED Workbook .
 - The Area Team members make two groupings as per the following project clustering. This clustering has been done to link the projects to possible funding and implementation sources available.
- a) Priority projects covered under the **Second Schedule**: these are those projects that directly fall under the Second Schedule of the Local Government Act.

They consist of:

1. Control of Natural Resources (e.g. sand, stones) and environmental protection (e.g. dongas, pollution).
2. Land/site allocation.
3. Minor Roads (also bridle paths).
4. Grazing Control.
5. Water supply in villages (maintenance).
6. Markets (provision and regulation).
7. Burial grounds.

Those ED priorities that fit into these functions should be clustered here as they can access funds and technical support from the Ministry of Local Government and the District Council.

A description of projects that councils cannot do is available in the Negative list for council projects in annex 11.

- b) **Recommended Projects** for District and National Level Line Ministries: these are those projects that directly fall under the mandate of a Line Ministry and not of the Local Government themselves (are beyond Schedule 2). Since the budgets of such projects are still with the concerned Line Ministries and the technical staff under the DA, these are not in pervue of implementation by CCs and thus the suggested priorities of projects should go on to inform (advocate) the bottom up priority for the district planning by these ministries. Thus these are CC projects that are advocated into the different Line Ministries and other organisations that can provide the financial and technical implementation support to the CC.

- The CC should now take each cluster one at a time and list the projects in descending order of priority. Now these are filled into the formats **3.2.2 A (Second Schedule)**, **3.2.3 A (Recommended Projects)** in the CCAP workbook and rest of the project details completed.

This process allows the ED (community) priorities to be considered while also allowing all the councillors, as a council, to agree to their implementation priority.

The following Workshop Programme is suggested to conduct the CCAP process.

2.2.3 SEQUENCE OF SESSIONS FOR THE CCAP ACTION PLANNING WORKSHOP

DAY & TIME	SESSION DESCRIPTION	FACILITATOR	TOOL TO BE USED	TO BE FILLED INTO
DAY 1				
9: 00	Welcome	Area Chief		
9: 30	Brief discussion on attendance, constraints, challenges and quality of ED meetings held by Councillors	CCS	CCAP Guidebook	Workbook: Introduction
10:30	TEA			
11:00	Presentation of ED priorities collection formats by each councillor	CCS	The lists of five priority projects from the EDs	Flip charts & markers
13:00	LUNCH			
14:00	Presentation on situational analyses of the CC based on CC Fact Sheet (chapter 2)	CCS and Area Planning Team	CCS presents the information already put into the CC Fact Sheet. The Area Planning Team takes each issue in Situational Analyses (chapter 2 of workbook) one by one and gets a discussion done based on guidelines in next section.	Chapter 2 CCAP Workbook.
16:00	Strengths, weaknesses, opportunities and threats of the CC area as a whole.	Area Team	SWOT to be done by the Area Team.	CCAP Workbook
17.00	Development of the Vision, Goals of the CC and linkage to PRSP	Area Team	Area Team members	CCAP workbook
DAY 2				
9:00	Recap	CCS		
9:30	Compilation of ED priority project lists	Area Team	The Area Team members will facilitate the	List into forms 3.2.1A, 3.2.2 A,

DAY & TIME	SESSION DESCRIPTION	FACILITATOR	TOOL TO BE USED	TO BE FILLED INTO
	to form a joint Council list Clustering of projects into: <ul style="list-style-type: none"> - Schedule 2 - Recommended Projects 		process together with the community councillors.	3.2.3A in the CCAP workbook
	Prioritization of projects within each cluster and filling of: <ul style="list-style-type: none"> - Format 3.2.1 A - Format 3.2.2 A 	Councillor & Area Team	The community councillors with the help of the Area Team.	Use of already developed format
10:30	TEA			
11:00	Presentation of the template of Project Profiles ² for priorities in each of the above formats	Area Team	Area Planning Team	Use of already developed format
13:00	LUNCH			
14:00	Presentation of the costing template of Project Profiles ³	Area Team	The concerned members from the Area Planning Support Team will try to facilitate the process. The main work will have to be done later at the district level.	Use already developed format
DAY 3				
9:00	Recap			
9:30	Presentation & discussion on drafts for following sections for CCAP Workbook	Area Team	Area Team will carry out the process with the help of the community councillors	Flip charts & markers

² These are to be dealt with at a different level by the CCSs together with the respective technical departments.

³ As above

DAY & TIME	SESSION DESCRIPTION	FACILITATOR	TOOL TO BE USED	TO BE FILLED INTO
	<ul style="list-style-type: none"> - Monitoring and Evaluation (sections of the formats 3.2.1 to 3.2.4) - Introduction (chap 1) - Executive Summary - Foreword 			
10:30	TEA			
11:00	Presentation of the Draft CCAP, discussion in a special meeting of the Community Council and approval by it.	Area Team	Area Team will facilitate the process	Flip charts & markers

2.2.4 Filling up the CCAP Workbook

The PCP approach innovates to provide a simple way for councillors to fill up their consensus plans by hand into an already printed CCAP workbook which is provided. This will enable rural CCs to directly fill up their CCAPs without needing to depend on computers and typewriters so that the draft plans can be readied in the CCAP workshop itself and after approval will become the final CCAP plan. Such a process ensures a higher level of ownership and faith in the plan by the CCs.

The guidelines for filling up each chapter of the CCAP Workbook (provided separately and not a part of the Annexes of this Guidebook) are:

Foreword

Explain that it includes the commitment of the council to the CCAP. CCS should write it but it should be signed by the Council Chairperson at the end of the CCAP process after the Council has approved it.

Copy the format 3.3 for priority projects in the CCAP Workbook into the foreword page.

Executive Summary

CC Secretary assisted by the Area Team members writes a brief description of each issue listed in this section of the workbook.

Introduction

The CC Secretary writes this section.

Brief description of the location and topography of the CC.

About main steps (Pre Planning Workshop, the ED planning processes and the CCAP Workshop): their venue, the dates they were held, and the level of participation.

Write the name of the councillors, the CC Secretary and other people (volunteers, Line Ministry extension workers, people from DPU) and organisations that were active in the CCAP process from start to finish.

Also write about problems and constraints faced and how to improve them in the future.

Overview of Selected Sectors

The CC Secretary writes a description of the council based on data available from the CC Fact Sheet and fills it up with respect to each issue in this section in the CCAP workbook.

2.1 Profile of the Community Council (CC) area (location, size, number of villages, etc)

2.2 Population (size disaggregated by sex and age groups; birth rate, death rate, under five mortality rate)

2.3 Social indicators (with emphasis on impact of HIV & AIDS).

2.4 Socio-economic indicators

2.5 Gender analysis (describing time use, participation, access and control over resources by men, women and youth)

2.6 Productive sectors and service providers

2.6.1 Agriculture, livestock and natural resources

2.6.2 Trade and commerce

2.7 Infrastructure and service providers supporting the Community

2.7.1 Health sector in general

2.7.2 HIV & AIDS:

- *Situation (prevalence, people dependent on home based care, death rate, readiness of undergoing Voluntary Counselling and Testing, etc)*
- *What kind of prevention measures have been carried out by whom and with what results?*
- *What kind of treatment and care activities have been carried out by whom and with what results?*
- *What kind of impact mitigation measures have been carried out by whom and with what results?*
- *What kind of systemic interventions to breaking the vicious cycle of HIV and AIDS infections have been carried out by whom and with what results?*

2.7.3 *Education sector*

2.7.4 *Water sector*

2.7.5 *Roads sector*

2.7.6 *Energy sector*

2.7.7 *Communication sector*

2.7.8 *Security Sector*

2.8 . *Recent changes in the Community Council area (HIV & AIDS related, social, economic, environmental)*

2.9 *Results of the SWOT analysis of the Community Council area as a unit.*

The reason for and the method of doing SWOT is first explained to the councillors. The idea is to assess the situation in the overall council area for them to be able to see in which of the three clusters each of the five projects from each ED can be put. The following table is drawn on the Flip Chart to assist this process:

STRENGTHS	WEAKNESSES
OPPORTUNITIES	THREATS

2.5 Translation of the CCAPs

Immediately after the CCAP workshops, the Community Council Secretaries translate the developed CCAPs into English, with the assistance of the area teams (facilitators), a process that should take about 3 days.

2.6 Documentation of lessons learnt

After completion of all CCAP workshops, the area teams (facilitators) have to produce lessons learnt during the CCAP process using format provided in annex 7. This has to be submitted to the DPU chair.

3. Third Phase: Cost estimates of the CCAP and situation analysis of the District

3.1 Preparation of project profiles with cost estimates by Council Secretaries and Technical Departments

Note:

Since cost estimation is a very resource and time intensive exercise and the estimates become outdated due to price and cost changes each year, it is suggested that cost estimation only be done for the first three projects priorities in each of Second Schedule and Recommended Projects category for each CC. Once these have been implemented, the DPU should assist with cost-estimation of the next priorities.

Objective:

Project profiles with preliminary cost estimates are required for a pre-assessment of the economic/financial, technical and social feasibility of the priority projects identified in the CCAPs.

Responsible: District planning office

Procedure:

- a) The CCSs shall submit the English version of CCAPs to the Office of DCS for onward transmission to the DPU.
- b) Co-ordinated by the district planning office, the CCS prepares project profiles and submits to the planning office. Based on the project profiles, the Technical departments prepare the preliminary cost estimates (see template in Annex 3).
- c) When undertaking the costing field trips, the technical departments have to alert the CCS of their scheduled field visit so that the respective council members are notified and are present during the technical and economic assessment of the projects on site and possible options.
- d) Besides the investment costs of the proposed projects, approximate estimates of the operation and maintenance costs should be given.
- e) The DPU Office should annex copies of the project profiles with the cost estimates to the CCAPs and enter the results of the estimates into the Budget Table of the CCAPs.
- f) Once project profiles with preliminary cost estimates have been prepared, the DPU compiles the results in synopsis tables for a) each CC area, and b) for each sector (examples in the Annex). Schedule II, and Advocacy project categories are maintained. The intention is to have these tables submitted to the DC for their information and feedback.

Time required:

Depending on the capacities of the technical Departments in the District, it is assumed that the preparation of project profiles with preliminary cost estimates will take about two months.

Information of the DC on the cost estimates:

The DPU distributes the synopsis tables on cost estimates - prepared by the DPU Office - to the members of the DC for their information and their reaction. They are also expected to take this information back to their respective CC areas for review, which has to be done against the submitted CCAPs. The intention is to have a formal written feedback of the Community Councils submitted to the office of the DCS for onward submission to the DA and to the DCS.

3.2 Overview of Selected Sectors in the District for the IDAP

Note:

This step can also be done as a part of the preparatory phase in Step 1 if the field level planning processes are not possible to be started with immediately (heavy winters ahead etc.).

Objective:

Latest during the weeks of the preparation of project profiles with cost estimates, the DPU and/or consultants prepare the situation analysis required for the IDAP⁴. The analysis represents the basis for the vision, goals, objectives and strategies to be defined by the DC and DDCC. They and other readers are provided with an analytical overview of the most relevant facts and figures of the district in a compact manner.

Responsible:

The Head of DPU co-ordinates the preparation of the District situation analysis and hands over the document to the DA and DCS.

Methodology:

The information is collected from the District Fact Sheet, other documents and in interviews with the staff of the sector Departments and NGOs in the District.

The situation analysis should consist of the following elements:

1. Profile of the District (location, size, number of Communities, villages, etc)
2. Population and demography (size, distribution within the District, birth rate, death rate, under five mortality rate)
3. Physiographic and natural conditions
4. Social and economic indicators (with emphasis on impact of HIV & AIDS)
5. Gender analysis
6. Institutional/ organisational structure and framework in the District

7. Sectors and service providers
 - 7.1 Productive sectors
 - 7.1.2 Agriculture, livestock and natural resources
 - 7.1.3 Trade and commerce

 - 7.2 Infrastructure and service providers
 - 7.2.1 Health sector in general
 - 7.2.2 HIV & AIDS
 - 7.2.3 Education sector
 - 7.2.4 Water sector
 - 7.2.5 Roads sector
 - 7.2.6 Energy sector
 - 7.2.7 Telecommunication sector
 - 7.2.8 Rural Development Unit (if available)
 - 7.2.9 Environment
 - 7.2.10 Disaster Management

For the analysis of the above sectors in the district, the following format should be used:

- a) Sector policy: Brief description of the main national and district sector policies

⁴ Depending on the availability of working capacity, the District Situation Analysis can be started already in Phase 1. The analysis does not depend neither on the workshops at area or CC-level nor on the cost estimate of the CCAPs

- b) Main characteristics: Basic data on the sector situation in the district
- c) Institutional/ organisational aspects: Description of the governmental, non-governmental and other District actors in the sector
- d) Past performance: Assessment of the performance of the sector in the District over the past 3-5 years, including achievements and effects of the development work
- e) Main critical issues: Description of the critical issues/problems of the sector from the perspective of the population and of the service providers
- f) Main potentials: Description of the potentials in the sector from the perspective of the population (if information available) and of the sector specialists in the district
- g) Linkages with other sectors: Description of linkages to other sectors and organisations in the District.

Volume: The analysis of the District situation should not exceed 30 pages.

Submission to the DC: The DCS presents the situation analysis document whose preparation was started latest during the cost estimate process to the DC. The results of the District situation analysis represent - together with the synopsis tables of the cost estimate process – an important foundation for the Integrated District Action Plan (IDAP) to be prepared under the responsibility of the DC.

4. Fourth Phase: Preparation of the Integrated District Action Plan

4.1 The IDAP and its relation to the Strategic District Development Plan

The IDAP is to be compiled under the auspices of the DC and its Planning Committee and should encompass the capital domains of the DC. (The domain of the recurrent costs of the District can be integrated if the DC so decides.)

The IDAP is a plan

- focused on the functions of the DC as well as its priorities and needs
- with a medium term horizon (3-5 years)
- based on priorities and needs expressed at the level of the CC areas but synthesized on the basis of impact, efficiencies and resource constraints
- informed by the actual or expected financial flows to the District.

The IDAP represents a useful input for the Strategic District Development Plan (SDDP), to be prepared at a later stage (see box below).

The Strategic District Development Plan (SDDP)	
<p>The SDDP belongs to the realm of medium and long term plans that analyze and interpret the spatial potentials and limitations of sub-district areas as well as the implications of long term trends in those areas, e.g.:</p> <ul style="list-style-type: none"> – Changing demographic profiles (including age profiles) could indicate that more classrooms are not required in specific sub-district areas; – Migration and settlement patterns and densities and their implications for adhering in public expenditure to the constitutional principle of equity; – Declining crop yields per hectare despite ongoing extension advice and more utilisation of fertilizer may indicate that the soils are degraded to such an extent or that climatic conditions are too borderline for crop production to be further promoted in such an area. <p>A SDDP would also identify the economic strength and weaknesses of District localities (e.g. areas with constantly higher yields in quality of wool or mohair, etc).</p> <p>The SDDP provides the central government with a framework to:</p> <ul style="list-style-type: none"> – assess DAPs and CCAPs – evaluate sectoral capital investments in the respective districts, and – evaluate the impact of recurrent expenditure by various line ministries. 	

4.2 The structure of the IDAP

The IDAP should consist of the following parts:

Part:	To be prepared by:
A) Introduction	DPU and/or consultant
B) Description of the planning process	DPU and/or consultant
C) Situation analysis	DPU and/or consultant in close co-operation with the DA, DCS, the sector Departments and NGOs at District level
D) Overview on the priorities defined in the CCAPs	DPU and/or consultant

Part:	To be prepared by:
E) Brief summary of the most important national policies and strategies	DPU and/or consultant
F) Vision, goals, objectives, strategies and projects/ programs	DC and DDCC, supported by DPU
G) Preliminary cost estimate of the IDAP projects	Sector Departments
H) Financing of the IDAP projects	DPU and/or consultant in close co-operation with the DA, DCS, the sector Departments and NGOs at District level

It is recommended that the main chapters be structured as follows:

A) Introduction:

The introduction should comprise the following parts:

- 1) Description of the nature of the Integrated District Action Plan (IDAP) compared with a Strategic District Development Plan (SDDP) (see above).
- 2) Brief description of the main sections that the plan encompasses
- 3) Names of the organizations that have actively contributed to the elaboration and formulation of the IDAP
- 4) A short acknowledgments section which includes names of key persons who actively worked on formulating the plan
- 5) Name of who actually approved the plan (e.g. the DC, the DDCC) and when.

B) Description of the planning process:

This section should contain a brief description of

- how the planning process was undertaken
- how stakeholders were consulted
- how the priorities of the CC areas were taken into account

C) The situation analysis:

The situation analysis represents an important basis for the vision, goals, objectives and strategies to be defined by the DC and DDCC. They and other readers are provided with an analytic overview of the most relevant facts and figures of the district in a compact manner. (For details see section 3.2 above.)

D) Overview on the priorities defined in the CCAPs:

The overview should consist of the following sub-chapters:

1. Brief description of the process of CCAP preparation
2. CC-wise compilation of the project profiles with cost estimates
3. Sector-wise compilation of the project profiles with cost estimates

E) Brief summary of the most important national policies and strategies:

The chapter should give a summing up of

- the overarching national policies and objectives as documented e.g. in the PRS and the Vision 2020, and
- the main sector policies that affect the district, as described in the sector chapters.

Those policies represent an important reference for the definition of the hierarchy of objectives for the District.

F) Vision, goals, objectives, strategies and projects/ programmes

In the definition of vision, goals, objectives, strategies and priority projects/ programmes, the DC takes into account the priorities in the CCAPs as well as the national policies.

Visions represent a future desired situation that can and should be reached in 10-15 years. They define how the stakeholders perceive the future of the district. They are designed to move away from the immediate needs of the population and represent something to which the district is striving.

The time horizon for the objectives in the IDAP is limited to 3-5 years.

Strategies present different approaches for reaching the desired objectives and visions. They map different ways in which limited resources can best be allocated for reaching the defined objectives and goals.

In view of the defined objectives, the DC has to identify and prioritize those projects

- that are deemed to belong to schedule I, and
- where the District has an advocacy function at the national level.

For the prioritized District level projects cost estimates shall be prepared by the technical Departments and compiled in synopsis tables. The results shall be submitted to the DC for approval.

Thereafter, the information will then be presented to DDCC for further scrutiny.

G) Preliminary cost estimate of the IDAP projects

This chapter shall compile the results of the project profiles and cost estimates to be prepared by the sector Departments for the IDAP projects. The project profiles shall be annexed to the IDAP.

H) Financing of the IDAP projects

In this section it should be pointed out from where the financial resources are most likely to come. The level of contribution from various sources should be estimated: from local authorities, central government, donors, NGOs, private sector.

I) Definition of the responsibilities for implementation and monitoring of the District level projects

4.3 Co-ordination of the IDAP preparation by the DDCC

The District Development Co-ordinating Committee (DDCC) is responsible for the co-ordination of the D-CAP preparation, i.e. it ensures that all relevant actors have the opportunity to contribute to the plan in an organized way.

4.4 Approval of the IDAP by the DC

The IDAP has to be formally approved by the District Council. Possible modifications decided by the DC in the approval process have to be documented in the plan. An approval sheet with the signatures of the Chairperson of the DC and of the DCS shall be attached to the plan.

4.5 Briefing of Parliamentarians

Objective:

- The parliamentarians of the District should be briefed now on the outcome of the PCP process – i.e. they know of the community council and DC priorities that have emerged in their constituencies.
- This will enable them to define their support role towards the CCs and DCs by playing an active advocacy role at the national level that they can influence through their position in the Parliament.

This type of meeting should not take more than half a day.

Participants:

Team Leader of the District Facilitators' Team, Parliamentarians, Chairperson of the district council, DA, DCS and the Principal Chiefs.

5. NEXT STEPS

The Participatory Council Planning process is now complete and the district has an approved CCAP for each of its CCs and an IDAP that integrates the Local Government projects into a 3-5 year plan period. These approved plans should be sent to the Principal Secretary, Local Government and Chieftainship, with a copy to the Principal Secretaries of each of the concerned ministries. These plans can assist MLGC in the preparation of Budget Framework Paper as well as give no-objection to projects sent by districts for financing and implementation under Capital Fund for Local Government. These are also invaluable for MLGC to develop its own annual budget as well as determine the capital budget support by other ministries for decentralised functions.

These plans form the basis for MLGC to involve and encourage other sector ministries and development partners to technically and financially support the implementation of projects prioritised by the Community Councils in Lesotho. This will help other sector ministries to perform their decentralised functions as envisioned in the decentralisation process.

These plans are the first set of medium term projects and should be used by CCs and DCs to plan their annual budget for submission to MLGC (using Second Schedule Category), as well as be used by departments of other line ministries in the district to plan their annual budget submissions to their parent ministries (using Recommended Projects Category). Thus this planning process is an important and fundamental input to the budgeting, allocation and eventually, implementation by the Local Government – thereby demonstrating the effectiveness of decentralisation in achieving the National and Millennium Development Goals.

Community Council Fact Sheet**for the Community Council Action Plan (CCAP)****Overview of the most important data of the Community**Template version: July 26, 2006⁵

District :

Name of the Community Council:

Population:	
Total population	
Birth Rate per 1000	
Death per 1000	
Under 5 mortality rate per 1000	
Area:	
Total Area of Community (km ²)	
Social indicators:	
Total No. of households	
Average number of persons per household	
No. of women headed households	
No. of child headed households	
No. of Orphans:	
a) Paternal orphans	
b) Maternal orphans	
c) Double orphans	
Socio-Economic indicators:	
No. of persons receiving food aid.	
Average household incomes (Maloti per year)	
No. of people employed in agriculture and livestock.	
No. of people generating incomes from other sources.	
Agriculture Sector:	

⁵ This template can be photocopied and directly used by the DPUs to give out to be filled up by hand.

Number of households with agricultural plots.	
Average plot sizes in ha.	
Three main crops produced.	
Three main livestock herded.	
Size of public land (ha of range land) within the CC-area.	
What kind of agricultural services providers are available (government and NGO's:)?	
What kind of agricultural projects are planned or under implementation?	
Health Sector:	
Three most prevalent diseases	
Number and names of health centres	
Average distance to nearest Health centre (in hours or km)	
Readiness of undergoing VCT (Voluntary Counselling and Testing).	
Level of interest to get the results of the test.	

No. of people dependent on home based care.	
Education Sector:	
Number of Primary Schools	
Number of Secondary Schools	
Number of High Schools	
Average years of school attendance:	
a) Primary School	
b) Secondary School	
c) High School	
No. and names of Farmers Training Centres (FTC's)	
Number and field of other vocational training schools	
Water Sector:	
Number of households with access to piped water: a) public stand pipes b) private	
Number of wells.	
Number of dams.	
Average distance to nearest potable water point.	
What kind of water supply projects are planned or under implementation?	
Which institutions are in charge of water supply? Are they locally represented?	
Transport Sector:	
Total kilometre of main roads (i.e. national roads) in the CC-area	
Average distance (km) of villages to nearest "good" road .	
No. of villages without road access	

What kind of road projects are planned or under implementation?	
Which institutions are in charge of the Road sector? Are they locally represented?	
Electricity Sector:	
Number and percentage of households with electricity connections.	
Number and percentage of villages without electricity.	
Which institutions are in charge of the electricity sectors? Are they locally represented?	
Communication Sector:	
Is a telephone land line available?	
Is there cell phone reception?	
Which percentage of the villages are covered by mail service?	
Trade and Commerce Sector:	
Number and type of businesses and small entrepreneurs	
Security Services:	
Number of security service providers	Government (Police):
	Private:

Number of Crime Prevention Committees in the council	
Environment:	
Names of rare, vulnerable & endangered species in the council area	Flora:
	Fauna:
Names of protected areas within the council area	
Natural Resource Management projects (e.g. tree planting, gully rehabilitation, rehabilitation of wetlands etc..)	Ongoing:
	Planned:

Suggested methodology for filling up of the CC Fact Sheet

Population

The population data must be collected by the CCS from the Bureau of Statistics at District level – access the Village lists for the villages in their CC area and use the data.

The birth, death and under 5 mortality rates would have to be collected from the Assistant Birth and Deaths Registrars in the DAs office at the District Level by the CCS and verified by figures from the Village Health Centres and from the Chiefs in their CC area.

Area

CCS can only be given this information by the DPU which liaises with the Cartography department of LSPP in the Ministry of Local Government, otherwise it may not be accurately determined at the CC level.

Social Indicators

The CCS should contact the District Planning Unit which will provide these data for the villages falling in their CC area sourced from Disaster Management Authority, the World Food Programme Office, other Line Ministries etc.

These data can be verified in subsequent years from the census data.

Socio Economic Indicators

These data will be collected by the councillors and aggregated by the CCS.

Agriculture Sector

Number of households with agric. plots: CCS collects the data from councillors

Average plot sizes: CCS from the extension officer in the Area Resource Centre (MoAFS).

Names of three staple crops produced: from the Area Resource centre and verified by Councillors.

Three main livestock herded: CCS collects from councillors.

Acreage of communal rangeland and arable land in the council area: these conditional data may have to be aggregated by CCS from the Master List in the Area Resource Centres concerned.

Agricultural services providers (government, private and NGO's) in the council area: CCS will get this information from the Area Resource Centres.

Agricultural projects planned or under implementation in the council area: CCS will get this information from the Area Resource Centres.

Health Sector

Three most prevalent diseases: Councillors give this information to the CCS.

Health service providers (government health centres, NGOs and Private) active in the council area: Councillors give this information to the CCS. District AIDS Task Force can also give these data to CCS.

How long does it take on foot to the nearest Health centre: Councillors give this information to the CCS.

Average percentage death rate due to HIV & AIDS: CCS collects it from the AIDS coordinator at the district level.

No. of people dependent on home based care: CCS gets these data from CBOs and Support Groups active in the council area.

Education Sector

These data must be collected for the current fiscal year.

Number of Primary Schools in the council area: CCS to collect these data from councillors.

Number of Secondary Schools (From Form A to C): CCS to collect these data from councillors.

Number of High Schools (From Form A to E): CCS to collect these data from councillors.

In case no schools exist in the council area, how long does it take to reach there: only to be filled up in case no schools exist.

Total enrolment and the average drop out rates: CCS to collect these data from the Secretaries of the schools.

Number and field of other training schools (e.g. tertiary, Farmer Training Centres, Vocational schools) and the time taken (minutes, hours) to reach those: CCS to collect these data from councillors.

Number of Initiation Schools in the council area: CCS to collect this information from the chiefs and committees concerned.

Water Sector

Number of households with access to piped water: CCS to collect these data from councillors.

Number of wells: CCS to collect these data from councillors.

Number of small dams in the council area: CCS to collect these data from councillors.

Time taken (minutes, hours) to nearest potable water point: CCS to collect these data from councillors.

What kind of drinking water supply projects are planned or under implementation: CCS to collect data from DPU which updates it on drinking water from DRWS/ WASA offices and other agencies and for irrigation from Ministry of Agriculture, Forestry and other agencies. If there is an industrial water supply, mention separately.

Which institutions are in charge of water supply? Are they locally represented?: CCS to collect these data from councillors.

Roads Sector

No. of villages without road access: CCS to collect these data from councillors.

Road projects that are planned or under implementation: CCS to collect these data from councillors

Which institutions are in charge of the Road sector? Are they locally represented?: CCS to collect these data from DPU.

Electricity Sector

Number of households with electricity connections: CCS to collect these data from councillors.

Number of towns/villages without electricity: CCS to collect these data from councillors.

Which institutions are in charge of the electricity sectors? Are they locally represented?: CCS to collect these data from DPU.

Communication Sector

All these data are to be collected by the CCS from councillors.

Number of villages with telephone landline available

Number of villages with cell phone reception

Number of villages with radio reception

Number of villages with TV reception

Number of villages with access to newspapers

Number of villages with Postal Mail Services

Trade and Commerce Sector

Number and type of businesses and small entrepreneurs: CCS collects these data from councillors.

Availability of Banking Facility in the Council Area: CCS collects these data from councillors.

Security Services

Number of security service providers: CCS collects these data from councillors.

Number of Crime Prevention Committees in the council: CCS collects these data from councillors.

Environmental Sector

Names of rare, vulnerable & endangered species in the council area:

Names of protected areas within the council area:

These data can be collected by the CCS from the office of National Environment Secretariat at the district level and Maloti Drakensberg Trans-frontier Project in Butha Buthe, Mokhotlong, Maseru and Qacha's Nek.

District Fact Sheet

Overview of the most important data of the district
Format as per July 26, 2006⁶

District: _____

Population Density:	
Total population (year)	
Communities ⁷ with high population density	Insert the name of the communities here; (population/km ² ?)
Communities with low population density	Insert the name of the communities here; (population/km ² ?)
Demography:	
Birth Rate per 1000	
Death Rate per 1000	
Under 5 mortality rate per 1000	
Population Growth Rate in %	
Sex ratio (males/female)	
Projected district population in 2010	
Projected district population in 2015	
Area:	
Total Area of district in Km ²	
Cultivated land in ha	
Non arable land in ha	
Water mass in Km ² (e.g. lakes)	
Forest (in ha)	
Size of urban area coverage in Km ²	
Number and names of towns above 5000 inhabitants	
Physiographic and natural conditions:	
<i>A short narrative description (max. 1 page all together) should be given covering the following main points:</i>	
Topographical features of the district (e.g. drainage patterns, hills or mountain ranges, etc.)	

⁶ This template can be photocopied and directly used by the DPUs to give out to be filled up by hand .

⁷ For the purpose of this paper, the term "Community" refers to the people and to the area within the demarcated boundaries of a Community Council.

Climatic data including annual rainfall patterns (seasonal rainfall distribution), relative humidity,	
Temperature variations, winds, and other relevant data	
Name the main rivers, lakes, dams and other sources of water in the district	
Summary of the main positive and negative natural conditions prevailing in the district	
<i>A copy of a map of the district should be annexed.</i>	
Social indicators:	
What are the names of the Communities in the District?	
Which of the above listed Communities are of town/urban nature?	
Total No. of villages in the District	
Total No. of households in the District	
Average household size	
No. of women headed households	
No. of child headed households	
Percentage of total district population living in towns above 5000 inhabitants	
No. of orphans in the District:	
a) paternal orphans	
b) maternal orphans	
c) double orphans	
Socio-economic indicators:	
No. of persons receiving food aid	

Average household incomes (Maloti per year)	
No. of households employed in agriculture and livestock	
No. of people generating incomes from other sources	
Agriculture Sector:	
No. of households with agricultural plots	
Average plot size in acre	
Number of households having land titles	
Three main crops produced	
Three main livestock herded	
Size of forested area (in ha)	
Size of common land (ha of range land) within the district	
Which agricultural service providers are available at district level (governmental and non-governmental)?	
Which agricultural service providers (governmental and non-governmental) are represented in which communities?	
What kind of agricultural projects are planned or under implementation?	
Health Sector:	
Three most prevalent diseases	
Doctor / patient ratio	
No. and names of health centres	
Average distance to nearest health centre (in km or hours)	
Readiness of undergoing VCT (Voluntary Counselling and Testing)	
Level of interest to get the results of the	

tests	
No. of persons dependent on home based care	
Which are the main institutions/organisations and Community Based Organisations (CBO) involved in combating the HIV & AIDS pandemic?	
Which specific projects are under implementation or planned to fight the HIV & AIDS pandemic?	
Education sector:	
No. of primary schools	
No. of pupils in primary schools	Girls: Boys:
No. of secondary schools	
No. of pupils in secondary schools	Girls: Boys:
No. of high schools	
No. of pupils in high schools	Girls: Boys:
Average years of school attendance:	
a) primary schools	Girls: Boys:
b) secondary schools	Girls: Boys:
c) high schools	Girls: Boys:
Average teacher/pupil ratio:	
a) primary schools	
b) secondary schools	
c) high schools	
Total loss of teachers (no. and %) in the period 2000 – 2006 in primary, secondary and high schools due to illness or death	
No. and location of existing and planned Farmer Training Centres (FTC)	
No. and type of other vocational training schools	

What kind of education projects are planned or are under implementation (in which Communities?)?	
Water sector:	
No. and percentage of households with access to piped water: a) public stand pipes b) private	
No. of wells	
No. of dams	
Average distance to nearest potable water point	
Apart from District and Community Councils, which other institutions (governmental and non governmental) are in charge of the water sector? In which Communities are they represented?	
What kind of water supply projects are planned or are under implementation (in which Communities?)?	
Roads sector:	
Total km of trunk roads (i.e. national roads) in the District	
Total km of access roads	
No. of villages without road access	
Average distance (km) of settlements to nearest "good" road	
Apart from District and Community Councils, which other institutions are in charge of the road sector? In which Communities are they represented?	
What kind of road projects are planned or under implementation (in which Communities?)? Which communities will benefit?	
Electricity sector:	
No. and percentage of households with electricity connections	
No. and percentage of villages without electricity	

Which institutions are in charge of electricity? In which Communities are they represented?	
What kind of electricity projects are planned or under implementation (in which Communities?)?	
Communication sector:	
Number and percentage of households with telephone connections	
To which communities is a telephone land line available?	
In which communities is cell phone reception?	
Which percentage of the villages are covered by mail service?	
Trade and Commerce sector:	
No. and type of businesses and small entrepreneurs	
No. and type of tourist facilities (e.g. guest-houses, parks, etc.)	
Others	
Security Services:	
Number of security service providers	Government (Police):
	Private:
Number of Crime Prevention Committees in the District	
Environment:	
Names of rare, vulnerable & endangered species in the District:	Flora:
	Fauna:

Names of protected areas within the District:	
Natural Resource Management projects (e.g. tree planting, gully rehabilitation, rehabilitation of wetlands etc..)	Ongoing:
	Planned:

Notes/comments:

Please feel free to give additional information pertaining to

- a) District facts
- b) Comments/suggestions on the improvement of the Fact Sheet.

Project profile and preliminary cost estimate template	
PROJECTS FOR COUNCILS	
Sector:	
1. Name of Community Council (CC):	
2. Title of the project:	
3. Category of project:	Indicate the category to which the project belongs: a) Immediate impact on HIV & AIDS <input type="radio"/> <input type="radio"/> b) Other CC-projects <input type="radio"/> <input type="radio"/>
4. Project objective:	
5. Number of beneficiaries & Households and names of benefiting villages:	
6. Description of project location	
7. Brief description of the main components and dimensions of the project:	

8. The project shall be implemented by:		
9. The project shall be	a) supervised by:	
	b) monitored by:	
	c) evaluated by:	
10. The time required for project implementation (in months) & start and finish date:		
11. Completed work will be operated and maintained by:		
12. Main benefits of the Project		
13. Result of the preliminary cost estimate (see cost tables and guidelines in the Annex):	a) Investment costs excluding community contribution(=amount to be financed by sources external to the community): '000 M
	b) Expected amount of community contribution to the project implementation: '000 M
	c) Total investment costs (a)+b)) '000 M
	c) Annual costs of operation, maintenance and repair '000 M
14. The annual costs of operation, maintenance and repair shall be financed by:		
15. Brief pre-assessment of the economic, technical and social justification of the project as well as the risks involved		

16. The next steps in the planning/preparation of the project should be:	
17. General remarks, if any:	

Appendix 1: Preliminary cost estimate

Table 1: Basic data on the project

Sector	Community Council	Name of project	Location of project

Table 2: Preliminary cost estimate of the project, excluding the expected contribution of the villages

	Main cost items (e.g. labour, material, equipment, etc)	Unit (e.g. person- month labour, etc.)	Quantity	Unit cost (in Maloti)	Total costs (in Maloti)
1					
2					
				Total:	

Table 3: Expected contribution of the villages

	Main cost items (e.g. labour, material, etc.)	Unit (e.g. person- month labour, etc.)	Quantity	Unit cost (in Maloti)	Total costs (in Maloti)
1					
2					
				Total:	

Table 4: Annual costs of operation, maintenance and repair

	Main cost items (e.g. labour, material, equipment, etc.)	Unit (e.g. person-month labour, etc.)	Quantity	Unit cost (in Maloti)	Total costs (in Maloti)
1					
2					
	Total:				

Guidelines
for the preliminary cost estimates
for the priority projects proposed in the Community Action Plans (CCAPs)

- a) The costs of the priority projects proposed in the CCAP should be estimated by the technical Departments of the District immediately after the CCAP document has been prepared in the workshop. This preliminary cost estimate is a service of the technical Departments to the Community Councils and does not anticipate any decision on implementation or financing.
- b) The costs should be estimated in liaison with the Community Council Secretary and the Community Councillors who have submitted the project proposals in the CCAP-workshop.
- c) The costs should be estimated on an approximate basis, using the experience and cost information available in the respective technical Department.
- d) During the cost estimate process in the field, the technical Departments should consider and assess possible project alternatives, wherever relevant.
- e) Besides the investment costs of the proposed projects, approximate estimates of the operation and maintenance costs should be given.
- f) The labour to be contributed by the villages should be costed separately and not be entered in the amount of costs to be financed by sources external to the communities.
- g) The documents of the cost estimates should be annexed to the CCAP. The results of the estimates should be entered into the cost-estimate tables of the CCAP.

Example of a sector synopsis table: Drinking water projects

Overview on the drinking water projects suggested by the CC areas and their preliminary cost estimates (in Maloti)

		a	b	c	d	e	F	g
CC-area	Project name (= village)	No. of beneficiaries (persons)	Investment costs excluding community contribution	Expected amount of community contribution	Total investment costs (b+c)	Investment costs per beneficiary (d:a)	Operation and maintenance (O+M) costs p.a.	O+M costs per beneficiary (f:a)
CC...								
CC...								
CC...								
CC..								

**CC-wise synopsis on the projects proposed in the CCAPs (in order of priority)
and their preliminary cost estimates prepared so far by the Sector Departments at District level (in Maloti)
One table for each CC-area**

Name of CC-area:			a	b	c	d	e
Project categories:	Sectors in order of priority	No. of projects	No. of beneficiaries (persons)	Investment costs excluding community contribution	Expected amount of community contribution	Total investment costs (b+c)	Operation and maintenance (O+M) costs p.a.
2nd Schedule projects	1.						
	2.						
	3.						
	4.						
	5.						
Recommended Projects	1.						
	2.						
	3.						
	4.						
	5.						

ELECTORAL DIVISION PRIORITIES COLLECTION WORKBOOK

**TO ASSIST INDIVIDUAL COMMUNITY COUNCILORS TO COLLECT COMMUNITY
PRIORITIES AT ELECTORAL DIVISION LEVEL**

FOR

PARTICIPATORY COUNCIL PLANNING PROCESS

IN LESOTHO

Template version: September 25, 2007

Community meeting at Constituency (Electoral Division) Level

- Objectives:** Identification of the priorities of the communities at ED-level by the Councillors through facilitation of an ED level meeting.
- Participants:** **Day 1:** Communities, Councillors supported by Area Planning Support Team (= facilitators) and local CBOs/NGOs.
Day 2: Selected community representatives from day 1, councillors, Area Planning Support Team (= facilitators) and local CBOs/NGOs.
- Methodology:** Immediately after the training at CC level, each of the councillors will move to arrange a planning process in his/her Electoral Division and fill up the ED Priority Formats based on the suggested methodology.

The assumption is that the community councillors are already aware of the local protocol. It is also assumed that community members would participate in the ED meeting.

Therefore, each of the Community Councils has to:

1. Notify chiefs through a letter of the place, date and time where the ED meeting will take place.
2. Facilitate a participatory process for representatives of all the villages within the Electoral Division to identify problems, opportunities, and solutions and agree on priorities for inclusion in the Community Council Action Plan.
3. Be assisted by the Area Planning Support Team (Facilitators), local CBOs/NGOS and MAFS extension staff to facilitate compilation of local development priorities at the conclusion of this process, applying the guidelines suggested.

SUGGESTED SCHEDULE OF THE PLANNING LIPITSO

TIME	SESSION	FACILITATOR	INPUT/ MATERIAL
Chair: Councillor of the ED			
Day 1	Welcoming Remarks	Chief	Planning Guidebook
	Opening Prayer	Anybody	None
	Introductions of the Area Planning Support Team	Councillor	None
	Opening Remarks and Agenda of the ED planning process	Councillor	Planning Guidebook
	Introduction to the Community Council Planning Process and outline of the methodology	Area Team Leader and Councillor	CCAP Workbook
	Problems, opportunities and needs assessment	Area Team member	Planning Guidebook
	Analysis of key problems		
Day 2	Identification of solutions/projects	Area Team Member	Planning Guidebook
	Clustering of projects into 2 categories as follows: 1) SELF HELP PROJECTS 2) other PROJECTS	Area Team Member	Chalk board/flip charts and markers
	Prioritisation of the first five most critical Projects of the ED per cluster	Area Team Member	Maize/Stone voting Use of formats 3.2.1 and 3.2.1 and 3.2.3 of workbook
	Filling up the final list into the formats at the end of the ED Workbook	Area Team Member	Workbook
	Reading out of the format and public approval	Councillor	
	Closure		

The Councillors will use the following guidelines.

2.1.1 Guidelines for problem identification and opportunities and needs assessment

Members of the Area Team, CBO/NGO facilitators and extension staff should collaborate in facilitating the various activities required for the various activities required for problem identification and opportunities and needs assessment. It is normally appropriate to divide participants into groups, e.g. women and men, youth, livestock owners.

HELPING TO DEFINE PROBLEMS

What is a problem?

- It is an existing, negative state
- Try to avoid over-generalisation
- We are looking for the core problems and not the causes of a problem

Example of a well-defined problem:

- ❖ High mortality of sheep, cattle and goats due to livestock diseases

Examples of poorly defined problems:

- ❖ Climate (not a negative statement)
- ❖ Lack of knowledge (too general)
- ❖ Lack of extension agents (a cause of a problem)

Based on their decision, community members divide into groups and are asked to identify the main problems affecting them. It is advisable to start with what the local community considers as important issues and they need to be recognised clearly. Opportunities available within the community to solve the problems of economic importance should also be identified.

2.1.4 Guidelines for identification of solutions

In this step, possible solutions to the priority problems of the Electoral Division are agreed upon and confirmed. The solutions may come from within or outside the ED. It is important to discuss and conceptualise these solutions and how they are going to be facilitated. It is essential at this stage to ensure that the participants come up with realistic ideas, which can be implemented with minimum intervention from outside. A solution such as 'Increase the number of field workers' is clearly outside of the community's control and cannot lead to any activity.

This process is again done in groups. The solutions are not simply the negative causes turned to positive solutions. For example if 'drought' was one of the causes, this cannot be turned into 'more rainfall' as a solution, as this is clearly something over which we have no control.

Each identified solution should be specified as a defined activity or project. The expected impact of this activity or project on the problem or need in question should be clear and agreed by the participants. For each activity or project, the contribution of the beneficiary community should be specified (in labour, cash or kind) and should, where relevant, conform to government guidelines for that sector.

2.1.5 Guidelines for finalisation of ED plans and proposals

Participants should draw up a list of all the projects or activities they have identified as solutions to the agreed priority problems and needs of the ED.

After this, the Area Team (=facilitators) can ask the community to identify projects or activities that the community can carry out themselves (**Self-help projects**). This should be prioritised and the first five placed in a separate list for immediate action. Fill up in this template.

For the remaining **development projects**, participants should again prioritise them to identify the five that they consider the most important. These five proposals should then be entered on the form provided and sent to the CCAP workshop. Participants at ED level should be made aware that the final priority in the CCAP process at the Council level will decide the ultimate priorities in the CCAP.

If any approved projects are ultimately found not to be technically or economically feasible, they may be replaced by the project(s) with the next highest priority.

NB: the above guidelines have been formulated based on some ACL tools to enhance community participation in the ED meeting and are in no way a fully fledged ALC exercise. The ACL and its tools are a method for the solution of problems in agricultural production, and cannot be used for the identification of priorities in the multi-sectoral context of a Council.

The final five prioritised projects per cluster are to be filled up by the Councillor in the ED meeting formats provided overleaf.

COMMUNITY PRIORITIES COLLECTED IN MEETINGS AT LOCAL GOVERNMENT CONSTITUENCY (ELECTORAL DIVISION) LEVEL

Name of District:

Name of Community Council:

Name and Number of the Electoral Division:

Name of the Councillor:

Date of meeting:

Name of Villages within this ED:

.....
.....
.....

Names of people from other line Ministries/ Organisations who assisted the planning process:

.....
.....

SELF HELP PROJECTS

Priority No.	Need	Objective of the Prioritised Project	Name of Village(s) within ED that will benefit	Project Location	Impact on HIV & AIDS	Community Contribution (labour/cash/land)
1.						
2.						
3.						

Priority No.	Need	Objective of the Prioritised Project	Name of Village(s) within ED that will benefit	Project Location	Impact on HIV & AIDS	Community Contribution (labour/cash/land)
4.						
5.						

3.1.2 Other PROJECTS

Priority No.	Need	Objective of the Prioritised Project	Name of Village(s) within ED that will benefit	Project Location	Impact on HIV & AIDS	Community Contribution (labour/cash/land)
1.						
2.						
3.						

Priority No.	Need	Objective of the Prioritised Project	Name of Village(s) within ED that will benefit	Project Location	Impact on HIV & AIDS	Community Contribution (labour/cash/land)
4.						
5.						

Appendix 1: Ranking or prioritizing method.

What is it?

Ranking or prioritizing is a tool for placing things in order of importance or preference.

What is it used for?

This tool helps to prioritise so that the main problems and best solutions can be identified.

How is it done?

There are many different methods for ranking, one method is detailed below:



1. VOTING METHOD

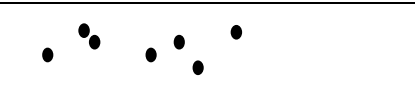
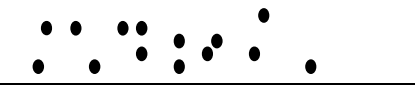

This is the easiest and quickest method of ranking and is the best to do with a large group. The main disadvantage is that it assumes that people can read. This can be overcome by agreeing symbols for each problem, which are stuck on the card next to the written problem. For example, a marketing problem could be symbolized by sticking a coin on the problem card). There is also a tendency for people to copy each other.

How to do it

1. The factors to be ranked are identified and written in a list or on separate cards, with space to put votes against them.
2. The list is read out and then the group is asked to identify which problem is the most important.
3. The participants are given 3 votes each. It is best to use sticky circles to represent votes. The instructions are to place 2 votes on their first choice (e.g. biggest problem) and 1 vote on the second choice.
4. Everyone must vote at more or less the same time to offset people copying each other.
5. The resulting votes against each item or problem are then counted. The higher the score, the higher the rank.

Example: Voting method (11 participants)

Problem	Votes	Total	Rank
Shortage of foot bridges		3	4=
No health centres		5	3

Farm implement shortage		7	2
Drought		14	1
No veterinary clinics		4	4=

Lessons learnt in the individual steps⁸ of the Participatory Council Planning (PCP) process in the District.....

The table refers to the step:.....

	What went well?	What didn't go well, and why?	What could be improved for the replication in other Districts
Preparatory measures			
Organisation and transport			
Program/ content			
Methods applied			
Participants/ attendance			
Results of the step			

⁸ The table should be filled in for each step of the process: a) Training of the facilitators, b) Use of the Community and District Fact Sheet, c) Area-wise Preplanning Workshops, d) C-CAP workshops in CCs (the table should be used for each CC-area), e) Workshops/meetings during the D-CAP process, f) Workshops/meetings during the DDCC process for the D-CAP.

DRAFT ROLL OUT SCHEDULE FOR PCP IN THE DISTRICTS

	KEY ACTIVITIES	TIMELINE	SUPPORT ACTIVITIES
HIV-AIDS COMPETENCY	Competency training for CCs	Dec. 2007	UES CAPs collected and integrated in during C-CAP workshops.
	Curriculum development workshop for M/S H/A	29 th May – 3 rd June	
	DPU selects Facilitators	29 th May	
	Competency training: of DDCC + LM staff M/H +	13 th – 17 th June	
PARTICIPATORY COUNCIL PLANNING PROCESS	Training of Facilitators on PCP	3 rd – 6 th July	<p>Situational Analyses for district council plan done simultaneously</p> <p>Regular reporting of progress to District Council.</p> <p>MoLG provides technical and financial backup with assistance of partners</p>
	Briefing of MPs of MH	21 st July	
	Integrate CC Fact sheets	10 th July – 28 th July	
	DC Fact sheets & collection of overview of projects being implemented by departments	10 th July – 11 th	
	Area wise Pre Planning	24 th July – 28 th	
	C-CAP workshops in CCs	31 st July– 25 th Aug.	
	D-CAP process starts	7 th Aug.	
	DDCC process for D-CAP	14 -15 th Sept.	
	Briefing of MPs of MH	19 th Sept.	
	DC approves final IDAP for MH	25 th Sept.	
	C-CAP & D-CAP inputs into district and national budgeting cycle *	Sept. end	

* Note: it needs to be determined as to what are the inputs required by the budgeting cycle from the district and lower level and to have them ready by Sept. end while the rest of the work may need extra time to finish. Also, should one restrict these inputs to be only for MTEF Pilot Ministries ?

Mainstreaming HIV & AIDS Case Study: Electrifying a Village

The Electricity Committee of Mathabaneng had been advocating for the electrification of the village for 10 years. Installation of Electricity in the village is also a CCAP priority which the CC was now following up. Finally, the Lesotho Electricity Corporation (LEC) agreed to install electricity in the village. LEC and the Community Council called a pitso (community gathering) to explain the costs and how families could sign up to have electricity connected to their homes. The village was very excited that their turn to have electricity had come.

In order to install electricity, LEC brought in technicians to stay in Mathabaneng to do the construction and wiring work. They rented a vacant house near the centre of the village for the 10 men. They then worked daily, in conjunction with several hired workers from the village to finish the job.

After about a week, the volunteers from outside the village arrived, several women began talking about girls in the village sleeping with the visiting workers. Others began talking about the visiting workers offering incentives to the girls in the village if they would sleep with them.

A support group volunteer in the village was passing by the worker's house one day and started a conversation with the men about HIV and AIDS, the volunteer's area of expertise. She was interested to know what the men knew about the disease. Unfortunately, except for one of the workers, they seemed to know very little. They did not directly discuss having sexual relationships with the village girls, but they did say that they did not have any condoms and, when the volunteer offered to bring some, they agreed they would like a supply of them. The volunteer also tried to teach them the basics of HIV and AIDS during their brief conversation.

The volunteer went to the house of the chair of the support group to discuss what she had learned at the workers' house. They agreed that a pitso should be called to address these issues openly and call on all families and visitors to protect each other from the spread of HIV & AIDS. Unfortunately, due to the absence of the chief, then the chair of the support group and the volunteer, the pitso was set for Saturday the following week. By that time, a funeral had been scheduled to be held in the village and no one was available for the pitso.

The installation of electricity proceeded without any direct interventions other than bringing the condoms to the visiting workers. Eventually, when the job was done, one direct benefit to the whole village was outside lights placed on the houses with electricity connected. They provide more light to the dirt paths on which people walk in the evening, lowering the chance of injuries or incidents of such as rape – which could also lower the spread of HIV & AIDS.

LEC is not yet finished with their work in Mathabaneng. They will be called for repairs and for extension of the services to other households.

Sitting around and thinking about what happened during the installation of the long awaited electricity in the village, and the future needs of the village, the CC thought about what they could have done to make sure that the impact of HIV & AIDS was considered when electricity was installed and to keep in running in future. Someone told them that to make the situation better they could have **MAINSTREAMED** HIV&AIDS into their electricity project. They came up with some examples below,

Examples of Ways to Mainstream HIV and AIDS when connecting a village to electricity



1. Use as many local people as possible to install the electricity poles, wires and grid so that fewer workers have to be away from their families or usual sexual partners



2. Call a community gathering (pitso) BEFORE the workers come to decide how the village will handle the issue of HIV and AIDS and keeping themselves and their visitors safe. Make sure the pitso is not called at a time when people will be unable to attend such as a Saturday when people are likely to be attending funerals. Make sure both adults and children attend.



3. Educate the workers coming into the village about HIV and AIDS and prevention. Make sure they have access to gloves and condoms. Tell them the expectations of the community regarding their behavior while they live in the village.



4. Have the Local Community Council make by-laws regarding HIV and AIDS education and conduct of visiting workers so they have legal standards to which to adhere while they are working.

5. Teach people in the village maintenance techniques so that they can take care of problems when they arise.

If you want to Mainstream any project, ask yourself this 5 questions:

1. How will HIV and AIDS affect/impact this project? Could HIV and AIDS prevent the achievement of the project goals?

2. Based on the answer to question 1, what could you change about the project to better achieve your goals?

3. How might this project contribute to the spread of HIV?

4. Based on the answer to question 3, what could you change about the project to limit the potential for the spread of HIV?

5. Do your overall priorities reflect the priorities/reality of HIV and AIDS in Lesotho? Can slight changes to your work plan better address HIV and AIDS as a major development issue in terms of prevention; care, treatment and support; impact mitigation or supportive environment?

Based on your answers to all of the questions, make the changes necessary to mainstream your project.

**Lessons learnt in Qacha's Nek from Quick and Smart (QSP)
for replication in the PCP process in other Districts**

1. Overall

- 1.1 Identify at District level the person responsible for the process.
- 1.2 Start the process with a briefing of the parliamentarians of the District and the preparation of Community Fact Sheets and of a District Fact Sheet by the CCS and the DCS or DPU, respectively. Ensure that the filled-up Fact Sheets don't get lost (as happened in Q-Nek).
- 1.3 Prepare a multidisciplinary core team of facilitators within the DPU, to be assisted by an experienced group of facilitators from the non-governmental sector.
- 1.4 Arrange logistics for each planning workshop at least two weeks before the event and reach agreement on "Who pays for what".
- 1.5 After each workshop to be conducted in the various phases of the QSP process, the lessons learnt in the preparation and implementation of the event should be documented using the template "Lessons learnt in the individual steps of the "Quick and Smart Planning" (QSP) process in the District....." (see Annex 7 to the "Guidebook") by the facilitators. The filled-up document should be handed over to the person in charge of the QSP process in the District.

2. Pre-planning workshops at District level

- 2.1 Extend the area-wise pre-planning workshops from two to three days in order to allow for enough time for discussions between the agents of the technical Departments in the District on the one side and the Councillors and other stakeholders, including the Chiefs, on the other side.
- 2.2 The Heads of the technical Departments should agree with the DPU and DCS in time on the dates of the workshops so that the technical agents can really be available.

3. Planning at ED level through the Councillors

- 3.1 Councillors should be encouraged to assist one another in the planning process.
- 3.2 Consider if the participants in the process can be grouped by interest groups, age and gender.

4. CCAP-workshops at CC-level

- 4.1 Inform the CCs well in time about the workshop, including what is expected of them in terms of accommodation and food.
- 4.2 The Community Fact Sheets should be available, discussed and confirmed in the workshop.
- 4.3 A map of the CC-area and of the District should be available in the workshop.

- 4.4 There should be someone present who is conversant with GoL policies such as PRS, Vision 2020 and the policies of the main sectors.
- 4.5 Provide all Councillors with the CCAP workbook to facilitate comprehension of the process.
- 4.6 Facilitators assigned to the area-wise preplanning workshops should remain assigned to the area until the CCAP workshop so that they are part of the logistic arrangements throughout the process.
- 4.7 When prioritisation is done in the CCAP workshop, it should also be done for areas most in need as capacity at the district level for the preparation of project profiles and costing is also limited. For instance, if 10 villages within a CC area require water, then there should be prioritization of the villages in need of that particular priority.

5. Translation of the CCAPs

- 5.1 The translation of the CCAPs prepared in Sesotho in the workshops should be the shared responsibility of DPU and facilitators.
- 5.2 The person responsible at District level for the QSP should organise the translators team ahead in time.
- 5.3 After translation of the CCAPs into English, the facilitators or the DPU should immediately ensure that each CCS makes a copy of their CCAP and the original copies are kept in the office of the DCS. This will hopefully facilitate discussions at the CC once synopsis tables with the results of the preliminary cost estimates are made available to them by the facilitators.

6. Preparation of project profiles and cost estimates

- 6.1 The CCSs and the technical Departments at District level are in charge of the preparation of project profiles with preliminary cost estimates using a standard format prepared for the process. For the preparation of the project profiles with cost estimates, the lists of the priority projects defined in the CCAPs have to be handed over to the technical Departments. The activities should be co-ordinated by the DA.
- 6.2 Cost estimates and project profiles should be prepared in liaison with the CCS and the Councillors.
- 6.3 The CCs should receive synopsis tables with the results of the cost estimates and copies of the project profiles in order to be able to give feedback to the technical Departments so that they can make necessary corrections on the cost estimates and profiles. Depending on the results of the cost estimates, the CCs may have to review their priorities.
- 6.4 PCP is a paradigm shift in terms of approaches of development planning particularly of the civil servants in that rather than the development initiatives being imposed from above, the technical departments now have to provide a service in the form of technical backstopping to the priorities as suggested by the democratically elected councillors.
- 6.5 The CC can now demand accountability from the technical departments as was the case with the CC Matebeng in Qacha's Nek where the DRWS was invited to give explanations as to why they have not costed some of the water projects they had proposed and excluded some of the communities that required water.

6.6 There is still some reluctance on the part of some technical departments to travel to the remote community councils.

7. Integrated District Action Plan

7.1 Simultaneously with the planning process at CC level, the Overview of Selected Sectors of the District, i.e. the descriptive and analytical parts of Integrated District Action Plan can be drafted.

7.2 It is important to ensure that all priority projects at the CC level are costed prior to development of the planning part of the IDAP. This requires that those responsible for facilitation are available in the district throughout the costing process to ensure that it is done.

7.3 In identifying district priorities, it is important to make a compilation of the those priorities that have been identified at the CC level and yet fall under schedule 1 for consideration by the DC. This tends to fast track discussions on the district priorities.

7.4 In some cases items in the Schedule 1 and 2 are similar. It is therefore important to develop criteria, for instance for the district, if a need has been identified by more than two CC areas, it can be agreed then that such a priority falls under the district. A typical example is a road, or river bridges. Development of such criteria, however, has to be well thought out since its intention is also to further refine items in Schedule 1 versus Schedule 2.

7.5 Compilation of the CC vision statements in the CCAPs formed a good basis for coming up with the district vision statement.

7.6 A major challenge in the preparation of the IDAP is guarding against the process being hijacked in pursue of individual or group interests.

Guidelines for Selection, Approval & Implementation of Community Council Projects

NEGATIVE LIST

Section 5 of the Local Government Act says: 'Community Council shall perform those subject and functions as specified in the Second Schedule'.

Government is annually earmarking funds through capital budget estimates and allocating them to Councils to perform this mandate. These funds are shared among the 128 community councils using the agreed formula. These Capital Grants are in the nature of capacity building grants to help councils to build up their abilities to plan, implement and maintain services for their communities. These initial funds are targeted towards implementing priority needs of the communities and are not for the purpose of investment by the council for generating revenues and incomes for itself.

The management of the Ministry of Local Government and Chieftainship found it necessary to provide guidance to the councils (based on the Local Government Act 1997) on the type of projects that cannot be implemented with these Capital funds.

Projects that should not be selected by the council:

1. Community Councils cannot use the funds to implement projects that are outside their mandate (schedule II) as specified by the Act.
2. Projects that do not benefit the majority of the communities cannot be implemented.
3. Projects that do not add value to felt needs of the communities or projects that duplicate efforts and programmes already being implemented by some other mandated agency are not encouraged.
4. Projects that that have not passed the feasibility assessment by the DPU.

FUNCTIONS SPECIFIED IN SCHEDULE 2	PROJECTS THAT CANNOT BE IMPLEMENTED
1. Control of Natural Resources and Environment protection(e.g. sand stone, dongas pollution)	Projects that can efficiently be implemented by the private sector instead of the council
2. Land and Site allocation	Allocation of sites on areas specified in Annex 2 of Guidebook on Land Management by Councils (Nov. 2005).
3. Minor roads (also Bridle paths)	Roads that exceed 3Km in length. Construction or maintenance of roads that have negative effect to the environment.
4. Grazing control	Projects that contradict good range management practices
5. Water supply in the villages (maintenance)	Projects that have not gone through 3 year feasibility study (study of the reliability of the spring) by a recognized technical institution. Projects that are technically complicated or too expensive to implement and finance Operation & Maintenance.

6. Markets (provision & regulation)	Providing markets on sites for which Title deed to land (Legal documents for sites allocation) are not available.
7. Burial grounds	On site where title deed not available, close to

