



Republic of Uganda



## **The National Planning Authority**

# **LOCAL GOVERNMENT DEVELOPMENT PLANNING GUIDELINES**

*Second Edition*

**Date: July, 2020**

## FOREWORD

The revised Local Government Development Planning Guidelines is in line with the new Comprehensive National Development Planning Framework (CNDPF) that was revised in 2020. The revised Guidelines are meant to guide and support the development of Local Government Development Plans for the period, FY2020/21 to FY2024/25. The revised guidelines are consistent with new reforms that have implications on local government development planning process for instance; the enactment of the Public Finance Management Act (PFMA), 2015; transition from Sector based planning to Programme Approach to Planning, and the development of the National Planning Authority (Development Plans) Regulations, 2018. Also, there were a number of emerging issues e.g. influx of refugees and adoption of the Comprehensive Refugee Response Framework (CRRF) and 2030 Agenda for Sustainable Development Goals.

These revised guidelines replace the existing guidelines issued in April 2014 and I urge all players to follow them closely to enable the country achieve the objectives of NDPIII and progressively the Vision 2040 aspirations. At the heart of these guidelines is a recognition that effective consultation and consensus building is critical for the development of successful Local Government Development Plans.

On behalf of Government, NPA and on my own behalf, I wish to thank the various stakeholders who have made valuable contributions toward the revision of these Guidelines. Specifically, I wish to extend my recognition and gratitude to the Authority, Management and technical team of NPA, and the Local Government Development Planning Department for providing technical support and quality assurance of the guidelines. I would like in a special way to thank JICA and GIZ for the continued financial and technical support to NPA, and specifically for partly funding the revision of these guidelines.

It is my wish, desire and belief that the coming Local Government Development Plans will be greatly improved and fully aligned to NDPIII thus impacting quality of service delivery in the Local Governments. I once again, wish to appreciate all stakeholders who have contributed to the development of these revised guidelines and I call upon the Local Governments and all stakeholders to utilize them in the development and implementation of their forthcoming development plans.

For God and My Country.

**Prof. Pamela Mbabazi**

Chairperson, National Planning Authority

## ABBREVIATIONS AND ACRONYMS

ATC	Assistant Town Clerk
AWP	Annualized Work Plan
CEO	Chief Executive Officer
CAO	Chief Administrative Officer
CDO	Community Development Officer
CSOs	Civil Society Organizations
CNDPF	Comprehensive National Development Planning Framework
NGOs	Non-Governmental Organizations
PSOs	Private Sector Organizations
FBOs	Faith Based Organizations
CBOs	Community Based Organizations
DEC	District Executive Committee
DDPs	District Development Plans
DLC	District Local Council
DPs	Development Partners
DTPC	District Technical Planning Committee
DPA	District Planning Authority
DPDs	District Planning Departments
EMIS	Education Management Information System
GIS	Geographic Information System
GOU	Government of Uganda
HMIS	Health Management Information System
HLGs	Higher Local Governments
HRBA	Human Rights Based Approach
HOD	Head of Department
PFMA	Public Finance Management Act
LA	Local Authority
LCA	Life Cycle Approach
LED	Local Economic Development
LGs	Local Governments
LGDPs	Local Government Development Plans
LGDPG	Local Government Development Planning Guideline
LGMSD	Local Government Management and Service Delivery Programme
LLGs	Lower Local Governments
MCs	Municipal Councils
MCPU	Municipal Council Planning Unit
MCTPC	Municipal Council Technical Planning Committee
MDAs	Ministries Departments and Agencies
MEC	Municipal Executive Committee
M&E	Monitoring and Evaluation
MIS	Management Information System
MLC	Municipal Local Council

MoFPED	Ministry of Finance Planning and Economic Development
MoLG	Ministry of Local Government
MPUs	Municipal Planning Units
MoPS	Ministry of Public Service
MTPC	Municipal Technical Planning Committee
MTR	Mid Term Review
NAADS	National Agricultural Advisory Services
NDP	National Development Plan
NPA	National Planning Authority
NPP	National Population Policy
NUSAF	Northern Uganda Social Action Fund
PBB	Programme Based Budgeting
PBS	Performance Budgeting System
PDC	Parish Development Committee
PIAPs	Programme Implementation Action Plans
PIP	Public Investment Plan
PLAs	Persons Living with Aids
PLWD	People Living with Disabilities
POCC	Potentials, Opportunities, Constraints and Challenges
POPDEV	Population and Development
PSs	Permanent Secretaries
SACCOs	Savings and Credit Cooperative Organizations
SDGs	Sustainable Development Goals
TCs	Town councils
VCA	Value Chain Analysis

## GLOSSARY OF KEY WORDS AND TERMINOLOGIES

**Challenges:** These are external factors or obstacles (outside the LG's control) that may hamper smooth development effort.

**Constraints:** These are disadvantages coming from internal factors such as failures in institutional, human and physical resources, etc., that might hinder the LG from achieving the selected development targets. Examples of constraints are an uneducated and unskilled labour force, environmental hazards, rapid population growth, ethnic conflicts, etc.

**Cross-cutting issues:** These are issues that can contribute to accelerating or derailing the progress of development. It is therefore prudent that they are prioritized. They are, i) Gender, ii) Environment, iii) Human rights, iv) Disability, v) Nutrition, vi) Governance, vii) Population and Development, viii) Science and Innovation, ix) Child health, x) Social Protection, xi) Climate Change xii) HIV/AIDS and xiii) Culture and Mind set. Disaster preparedness is another issue being added though this may be district specific.

**Decentralized Planning:** Planning where local governments make their own development plans guided by the national strategic direction.

**Demographic Characteristics:** These are the aspects of the population that helps us to understand the existing diversity, such as age, sex, employment status.

**Development Planning:** This is the process of identifying problems, needs, priorities, resources as well as designing action plans with a view of improving the welfare of the people. The development planning process includes plan formulation, implementation, monitoring and evaluation.

**Development Policy:** A general course of action or proposed overall direction that a government or other institution is, or would be, pursuing and which guides on-going decision-making regarding development planning and execution.

**Development Potentials:** These are internal factors, advantages and resources which when used can enable the LG to enhance its chances of achieving the selected development targets and aims.

**Environmental Mainstreaming:** A continuous process of identifying environment and natural resource issues/ opportunities that contribute to the development goals of an activity identifying potential impacts and mitigation measures, budgeting for the intervention, monitoring the implementation of Environment and Natural Resources (ENR) intervention and mitigation in order to reduce the negative impacts of development Programmes" (NEMA) or "Integrating environmental activities in policies, plans, Programmes and projects" NEMA or "Bringing environmental issues from the 'background' into the 'lime light'" Ministry of Local Government.

**Financing Framework:** Arrangements to raise and use the resources necessary to implement a development plan.

**Gender Mainstreaming:** Is the process of assessing the implications for women and men of any planned action, including legislation, policies or Programmes, in any area and at all levels. It is a strategy for making the concerns and experiences of women as well as of men an integral part of the design, implementation, monitoring and evaluation of policies and Programmes in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated. The ultimate goal of mainstreaming is to achieve gender equality.” (United Nations Economic and Social Council).

**Indicator:** This is data or statistics that describe a person, place or an event and the changes in it. Indicators are used to describe various aspects of a given situation.

**Integration:** This is taking into account or incorporating one or more elements into another element or system. In this case, integration of population issues means making population factors fundamental to the development planning process.

**Interventions:** Practical activities undertaken to implement development.

**Livelihood Analysis:** This is a deep look at what activities people do to go through life, meeting their basic needs and solving the problems that they face.

**Local Government Development Stakeholders:** Includes all people, organisations and institutions that are interested and concerned about the development of the local government.

**Life Cycle Approach (LCA):** Life Cycle Approach is a tool predominantly used in the human capital development Value Chain Analysis: It entails identification of appropriate multi-sectoral investments towards high-end jobs and life well-lived.

**Local Government Planning Cycle:** This is the regular period covered by the planning activities of a local government every 5 years.

**Local Revenue:** These are financial resources obtained from a particular locality as opposed to money that comes to a local government from sources outside the local government.

**Short Term:** A planning period between 1 and 5 years.

**Medium Term Planning:** The type of planning that usually takes a period of 5-10 years

**Long Term Planning:** The is the inspiration type of planning and usually for a period of more than 10 years.

**Monitoring and Evaluation Matrix:** This is a simple table in which the results of checking on the progress of development activities are fitted and documented.

**Monitoring and Evaluation:** Refers to a process of monitoring a Programme and evaluating the impact it has on the target population in order to assess the success and gaps in Programme implementation. It is usually done to ensure whether what is being done is right and is being done in the right way.

**Opportunities:** These are the external factors (beyond the LG's control) that positively influence development in the LG.

**Outputs:** These are products or immediate results of development interventions in a given period in order to achieve stated development objectives. In proactive planning, desired outputs establish the basis for selecting activities that should be carried out.

**Physical Assets:** These are infrastructure of the LG that exist to provide specific level services to the communities critical in maintaining a standard of living, safety, wellbeing and economic prosperity of the people in the localities with the continuity maintenance and replacement of its components. Typical assets in LGs include: Land; infrastructure e.g. roads and bridges, parks and public spaces, etc.; buildings; equipment and machinery.

**Physical Planning:** Planning that focuses on the allocation and use of physical space. In Uganda Physical planning has been an established practice in urban local governments, but is increasingly becoming a major development issue even for non-urban local governments.

**Planning Call Circular:** This is the official written communication specifying the procedures, processes, timeframes and roles and responsibilities involved in a planning cycle by national and local government units. In Uganda, Planning call circulars are issued by the National Planning Authority at the start of each planning cycle.

**POPDEV planning approach:** A planning approach which aims to improve development planning to make development plans and investment Programmes more effective, efficient and equitable by explicitly considering population, gender and sustainable development interrelationships in each step of the planning process.

**Population Profile:** This is a summarized description of the demographic characteristics of the country/ local government. The population profile focuses on the key aspects of the population that are important to consider in a planning process (population sizes, distributions, settlements, etc.).

**Progress Reporting:** This is a short write up periodically produced to show what is happening to the development interventions being implemented.

**Project Profile:** This is a summarized description of each specific project to be implemented in development plan.

**Programme:** A Programme is a group of related interventions/projects that are intended to achieve a common objective with a specified timeframe.

**MDA Strategic Plan:** A specific plan focusing on a number of Programmes. According to the NDPIII, examples of the 18 Programmes include; agro-industrialization, tourism development, mineral-based development, etc.

**Situation Analysis:** A description of the general state of affairs affecting development, arising from the natural resources, the human resources, and the progress achieved from past development efforts that are important for the future of the local government.

**Strategic Development Direction:** This is an agreed development path which a county/ Local government should take in order to arrive at the desired vision results. The strategic direction guides the smaller efforts and activities that a local government undertakes.

**Strategic Objectives:** Strategic objectives are long-term aims or goals that a HLG will hope to attain over a period of 5 to 10 years. The eradication of all poverty pockets could be considered a strategic objective. Annual plans and budgets should be organized so that they are in accordance with the strategic objectives and the activities they contain will help to achieve the strategic objectives. However, it is recognized that strategic objectives will require several years of individual activities, often by different departments, before they can be achieved.

**Value Chain Analysis (VCA):** VCA is a tool predominantly used in the private sector to characterize activities required to deliver final products. Value Chain Analysis entails “full range of activities which are required to bring a product or service from conception, through the different phases of production (involving a combination of physical transformation and the input of various producer services), delivery to final consumers, and final disposal after use”. If a supply chain is “what” and “where”, a value chain describes the “who”, “how”, and “why”. The principal elements that define the “who, how, and why” are geography, input/output, institutions, and governance. Of these, governance is the most important, as it determines how the other three elements work together to bring a product or service to its end use. Value chains can also help highlight inefficiencies that may forestall a particular intervention achieving its maximum possible output.

**Work plan:** This is a draft time table indicating activities and the times they are to be done, usually done on an annual basis.



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# CHAPTER ONE: INTRODUCTION

## 1.1 Background

Development Plans are a legal requirement for all higher and lower local governments in Uganda. Section 35 of the Local Government Act (Cap 243) requires district councils to prepare comprehensive and integrated development plans incorporating plans of lower local governments. The same section also obliges lower local governments to prepare development plans incorporating plans of lower local councils in their respective areas of jurisdiction. Local Government Development Plans are, therefore, a basic instrument for implementing the decentralized objectives with regard to delivery of development programmes and services in local governments. In addition, local government plans are key instruments for national development management processes in Uganda. Local government development plans are the main modality through which strategies and interventions of the NDPs are cascaded to the levels where citizens can participate and benefit from them. Equally, as required by the Constitution of the Republic of Uganda, 1995 (article 190), local government development plans are supposed to inform the National Development Planning (NDP) Process.

In 2013, Government of Uganda launched a long-term development vision, the Uganda Vision 2040, which is an all-encompassing perspective plan. The theme of this vision is to have a “Transformed Ugandan society from a peasant to a modern and prosperous country within 30 years”. This Vision stipulates that the road to transformation will require careful planning and commitment of resources, and that the human rights-based approach to development will be integrated in the policies, legislation, plans and Programmes of all development actors to ensure that the development planning process is participatory and empowers the citizens of Uganda. The Uganda Vision 2040 acts as the overall reference point for all planning frameworks in the country including those at the local government levels. A key prerequisite for attaining the theme of Uganda’s Vision is that the country’s planning framework needs to be coordinated and harmonized in order to create the necessary critical mass. The Vision, therefore, obliges all development actors in the country to follow a common strategic direction in their planning in order to achieve faster socio-economic transformation<sup>1</sup>. In essence, all Ministries, Departments and Agencies (MDAs) of government, whether autonomous or semi-autonomous, are required to align their development priorities to the strategic direction of the Vision 2040. This also goes for Civil Society Organizations (CSOs), Development Partners, Private Sector and the entire citizenry of Uganda.

However, in order to reach the above desired objective of aligning local government development planning frameworks to national development and service delivery strategies, a number of challenges still need to be addressed. Some of these challenges include; adapting Local Government planning to the new planning paradigm; striking a balance between bottom-up planning objective and top-down influences expected out of the Vision 2040 and the NDP

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<sup>1</sup> The vision aspirations, principles, targets and policy shifts, Uganda vision 2040, 2013

frameworks; re-orienting local governments from being mere service delivery units to wealth creating entities; ensuring effective civic participation in the planning process through effective engagement with civic groups (such as social enterprises, community-based associations/cooperatives, traders and other private sector groups, etc.) as well as through effective collaboration with Non-Governmental Organizations (NGOs), Faith Based Organizations (FBOs), Private Sector Organizations (PSOs) and Development Partners; and providing for changes in the legal, policy and procedure frameworks (such as the provisions of the Public Finance Management Act (PFMA) 2015- annual certification of public expenditure allocations, Gender and equity certification, Programme based budgeting, Planning Authority (Development Plans) Regulations 2018 and ensuring harmonization of physical planning with socio-economic planning, and others). These challenges have to be mitigated if the LG planning function is to yield effective results.

The Local Government Development Planning Guide (LGDPG) is produced by the National Planning Authority (NPA) to guide the process of preparing local government development plans in order to operationalize the local government development planning functions, roles and mandates as enshrined in the 1995 constitution of the republic of Uganda. The first Local Government Planning Guide was produced in 2014 and this was used to produce the second-generation District Development Plans 2015-2020. This second edition of the same guide has been revised primarily to address the technical gaps met in the process of applying the first LGDP Guidelines, 2014 but also to incorporate new and emerging issues in the legal, policy, and operational frameworks concerning national development planning and service delivery including those brought about by changes in the PFMA of 2015 and the Development Planning Regulations, 2018.

Like all public sector planning processes, production of local government development plans is supposed to be a political as well as a technical process. Planning elicits from the active roles of elected local government councils, their executive and sub-committees as well as from technical departments, planning committees and technocrats at different levels of local government. This guide is, therefore, intended to be used by a wide audience including civil society organizations, faith-based organizations and private sector.

## **1.2 Objectives and Purpose of the Local Government Development Planning Guide (LGDPG)**

The aim of these guidelines is to provide a framework for the formulation of harmonized decentralized plans within local governments in Uganda. On the one hand, the guidelines are supposed to ensure that decentralized development plans are well linked to the overall National development strategic direction as well as to the Programme development goals (Vertical Harmony). On the other hand, the guidelines are also supposed to ensure effective community participation as well as intra-local government and inter-agency synergies and linkages in the local government planning framework (the horizontal harmony). Horizontal harmony is to ensure that there is inter-Programme and inter-agency coordination in the selection and Programmemeing of development activities within local governments (LGs). The guidelines

aim at operationalizing effective coordination between district departments and MDAs; coordination amongst the different departments within a local government; as well as between local government departments and other non-state development actors including Civil Society Organizations (CSOs) Faith-based Organizations (FBOs), Community Based Organizations (CBOs), Development Partners (DPs), and Private Sector Organizations (PSOs), etc. In addition, the guidelines also aim at facilitating planning for inter-jurisdictional Programmes and services (i.e. Programmes and services between two or more Local Governments).

Specifically, the Guidelines are designed to serve the following purposes:

- i. Provide a simple but integrated framework<sup>2</sup> for development of local government plans and incorporation of these plans in MDA and national development plans to ensure that local government plans support achievement of aspirations of the Uganda Vision 2040 as well as those of the NDP.
- ii. Clarify the institutional framework governing decentralized planning in Uganda and spell out the key stakeholders that should take part in the decentralized planning framework and their roles
- iii. Provide appropriate linkage and harmony between national and local government budgeting instruments
- iv. Provide for enhanced integration of participatory planning practices in local government development planning processes
- v. Provide for effective inclusion of Local Economic Development, localization of SDGs, in a bid to leave no one behind, and integration of refugee and other vulnerable persons' issues in local government development plans
- vi. Provide for the development of a Monitoring and Evaluation strategy for local government plans that contributes to both local and national governments' M&E requirements but without duplicating efforts as a means of accountability.
- vii. Provide a systematic approach on how to integrate crosscutting issues into local government development planning processes and frameworks.
- viii. Address emerging issues from the National Planning Authority (Development Plans) Regulations, 2018 which seek to strengthen coordination and harmonization of the development planning function in the country.
- ix. Provide a structure for the Local Government development plans

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<sup>2</sup> Integrated framework in this case involves community, LLG, HLG, MDA strategic plans, NDP; integrating physical and urban planning and socio-economic planning; involving non-state development actors

- x. Provide a basis for budgeting and financing of the Local Government planning process to ensure its timely execution

### **1.3 Users of the Local Government Development Planning Guide**

This guide is intended to facilitate a harmonized development planning process in local governments in Uganda where: i) Local Government development aspirations are adequately coordinated towards a common strategic direction guided by the Uganda Vision 2040 and National Development Plans; and ii) Local Government development needs and opportunities, including those of lower local councils, are adequately integrated in MDA and national development plans. The guide will also facilitate development actors in local governments (CSOs, PSO, communities and others) to effectively participate and contribute to achievement of a common strategic development direction for their areas of operation.

The primary users of the Local Government Development Planning Guide (LGDP Guide) will be local government institutions as well as other development actors operating in local governments. The following are the specific categories of the users of this guide:

- i. Higher and lower councils which are the paramount leadership institutions in LGs which decide on the manner in which public resources are allocated. The district council is the Planning Authority in the district.
- ii. The District Technical Planning Committee (DTPC) that is responsible for coordination and development planning functions in LGs
- iii. Lower Local Government Technical Planning Committees
- iv. Local Government planning forum
- v. Civil society organizations, faith-based organizations, and community-based organizations
- vi. Private sector organizations and enterprises that would wish to integrate their activities within local government development plans
- vii. Citizens that participate in the planning process to ensure that their needs form the basic foundation for development planning in local governments
- viii. The National Planning Authority that is responsible for overall guidance of the LG planning process
- ix. Ministry of Finance, Planning and Economic Development that will need to corroborate local government plans with national budgets
- x. Ministry of Local Government that is responsible for offering administrative support and technical advice
- xi. Office of the Prime Minister for performance Assessment of Local Governments
- xii. Local Government Finance Commission that is responsible for providing advice to the president on financing Local Governments
- xiii. MDAs that are responsible for conceiving specific development interventions for LGs as well as integrating LG development priorities in their strategic plans.
- xiv. Local Government Associations that advocate for the strengthening of Local Governments' capacity to perform their functions
- xv. Other national Ministries, Departments and Agencies (MDAs) will use the LGDP guide to



execute their planning roles and responsibilities in local governments as stipulated in the Comprehensive National Development Planning Framework (CNDPF).

## 1.4 Structure of the Guide

The LGDP Guide is organized in six chapters including this introduction which is **Chapter One** covering the background and objectives of the guide, a description of the users of the LGDPG and the guide structure.

**Chapter Two** outlines the legal and policy frameworks underpinning the introduction of the local government development planning framework in Uganda as well as linking LG planning to the national planning framework.

**Chapter Three** covers the formulation process of LG plans including a specification of how and what to do at each step of this process. The plan formulation steps vary between levels of local government with some levels having fewer steps than others. However, in all cases local government processes go through some standard trajectories including common stages for consultations and data collection; those for actual plan formulation; as well as those for Plan approval and submission.

**Chapter Four** covers the planning cycle and roles of key stakeholders in the Local Government planning framework, while chapters five and six cover the LGDP monitoring and evaluation strategy, and the communication and feedback strategy respectively. **Chapter Five** gives a detailed description of M&E strategies, values and principles plus clarifying the roles, responsibilities and schedules for LGDP monitoring and evaluation arrangements. **Chapter Six**, elaborates the values and principles guiding the LGDP communication and feedback arrangements as well as a statement of the LGDP monitoring and evaluation follow-up and feedback arrangements.

## **CHAPTER TWO: LEGAL, POLICY AND INSTITUTIONAL FRAMEWORK UNDERPINNING LGDP PROCESS**

### **2.1 Legal and Policy Framework for Local Government Development Planning**

The following are some of the major legal and policy provisions that underpin the Local Government Development Planning function. It is important to emphasize that there are also other legal / policy instruments that are not mentioned here, but which are, nonetheless, binding on LGs and other development actors participating in the LGDP process.

- i. The Constitution of Uganda, 1995, in its national objectives and directive principles of state policy provides for the state to be guided by the principle of decentralization and devolution of governmental functions and powers to the people at appropriate levels where they can best manage and direct their affairs. This clause envisions participation and empowerment of communities including through local government planning.
- ii. Article 176, (2b) of the Constitution of the Republic of Uganda (1995 as amended) adopts decentralization as the principle applying to all levels of local government and, in particular, from higher to lower local government units to ensure peoples' participation and democratic control in decision making.
- iii. Article 125 of the Constitution of the Republic of Uganda (1995) and the subsequent Act of Parliament (Act No. 15 of 2002) created the National Planning Authority (NPA) whose primary function is to produce comprehensive and integrated development plans for the country elaborated in terms of the perspective vision and the long-term and medium-term plans.
- iv. Under decentralization obligations, Article 190 of the Constitution of the Republic of Uganda (1995) mandates and obliges District Councils to prepare comprehensive and integrated development plans incorporating plans of LLGs for submission to the National Planning Authority
- v. The Local Government Act, Cap 243 (Section 35 (1)) designates Districts Councils as the planning authorities for the districts. The Act mandates the district technical planning committees to coordinate and integrate all the sectoral plans of lower level Local Governments for presentation to the district council (Section 36 (2))
- vi. The Local Government Act, Cap 234 (Sections 96 &97) mandates and obliges line ministries to offer policy and technical guidance and advice, support supervision, advise on projects involving direct relations with local governments, and establishment of minimum national standards of service delivery in the sectors under their jurisdiction.

- vii. The NPA Act further provides the mandate to NPA to support local capacity development for national planning and, in particular, to provide support and guidance to national and local bodies responsible for the decentralized planning process (NPA Act, section 7(2) (d)). It also mandates the Authority to design and implement Programmes aimed at developing planning capacity in Local Governments (NPA Act, section 7 (2) (i)); and to monitor the performance of the decentralized system of development planning.
- viii. The National Planning Authority (Development Plans) Regulations, 2018 further operationalizes the NPA Act by providing for the preparation and development of the national development plan and the development plans of Ministries, Departments and Agencies of government and those of Local Governments.
- ix. Article 155 (1) of the Constitution provides that the President shall cause to be prepared, submitted and laid before Parliament, estimates of revenue and expenditure for each financial year.
- x. The Public Finance Management Act, 2015 (Sections 13(6) requires that the Annual Budget shall be consistent with the NDP, the Charter of Fiscal Responsibility and the Budget Framework Paper.
- xi. Article 193 (3) of the Constitution mandates local governments to use conditional grants to finance Programmes agreed upon between the Government and Local Governments and shall be expended only for the purpose for which it was made and in accordance to the conditions agreed upon.
- xii. Chapter 4 of the constitution of the Republic of Uganda and regional and international Human rights instruments to which Uganda is a state party call for protection and promotion of fundamental and other human rights and freedom and to utilize the human rights-based approach to ensure: participation, accountability, nondiscrimination and equality and adherence to the law (PANEL principles).
- xiii. The physical planning Act, 2010 (section 6(1)) calls for integration of physical planning with social and economic planning at the national and local levels.
- xiv. Article 38 of the Constitution of the Republic of Uganda (1995) provides for the right to every Uganda citizen to participate in the affairs of government individually or through his or her representative.
- xv. The National Planning Authority (Development Plans) Regulations, 2018 calls for integration of the human resource requirements in the medium-term national development plans and the decentralized development plans (Sect. 14 (2) (d)).
- xvi. The 2008 National Population Policy (NPP) highlights the need to promote the integration of population factors in development planning at the national (ministries, institutions) and lower level (District Planning Departments -DPDs and District Technical Planning Committees -

DTPCs) (section 98(i), and 99 (a) of the policy).

- xvii. The LED Policy (2014) provides for Local Governments to understand their local economies and their competitive advantages and develop strategies integrating private sector support, job creation and household income generation in LG development plans. The policy also requires LGs to conduct local economic business assessment to form a basis for resource and local business mapping strategies, for attracting business development services to the localities and for monitoring and evaluation of economic growth in the communities.
- xviii. The National Non-Governmental Organization (NGO) policy 2010 (Section 5.3) requires the “Chief Administrative Officer (CAO) to provide the NGO community in the district with guidelines to enable the NGOs to participate effectively and in a coordinated manner in the district planning and Programme implementation”.
- xix. Similarly, the National N G O policy 2010 (Section 5.3) requires that “all NGOs and CBOs engaged in development activities within a district shall share their Programme activity plans and budgets with the Local Government Authority for purposes of harmonization of such Programme activities into the broader MDA strategic or area development plans and resource estimates”.

## **2.2. Planning Policy Frameworks at the National Level and their Implications to Local Government Planning**

### **2.2.1 The Comprehensive National Development Planning Framework (CNDPF)**

Introduced by Government in 2007, the Comprehensive National Development Planning Framework (CNDPF) stipulates the principles and guidelines to be followed in developing national and decentralized long and medium-term development plans under the overall guidance of a National Vision. The main Purpose of the CNDPF is to provide a holistic framework for a coherent system of national development planning where short-term interventions and activities are guided by long term development aspirations and objectives contained in various sets of cascading development plans.

The main planning objectives of the CNDPF<sup>3</sup> are:

- i. To put in place an arrangement for development planning with a long-term view of the economy facilitated by perspective vision and long, medium & short-term planning frameworks.
- ii. To strengthen the linkages between long, medium- and short-term development planning processes.
- iii. To synchronize national planning and budgeting processes and cycles.

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<sup>3</sup> These are drawn from the CNDPF, 2009

- iv. To provide an arrangement for harmonizing national level planning with planning at the MDA and local government levels.
- v. To outline the procedures and processes followed in preparing and securing approvals of National Development Plans.
- vi. To define the responsibilities of different players involved in all stages of development planning.

The Comprehensive National Development Planning Framework is supposed to be operationalized through three planning elements namely:

- i. The long-term planning framework including the 30-year vision and the 10-year National Development Plan
- ii. The medium-term planning framework including the 5-year National Development Plan that also covers Local government and MDA Strategic Plans & strategies;
- iii. The short-term planning framework including annual budgets and work-plans

The relationship between the three planning elements of the Comprehensive National Development Planning Framework is described in Figure 1.

### **2.2.2 The 30-year National Vision**

National development planning in Uganda is guided by the 30-year National Vision<sup>4</sup> which articulates the country's long-term aspirations and projections about the desired future. The Vision provides a long-term focus for national development efforts and defines the direction and strategy towards attaining the agreed long-term goals of the nation. Local Government planning, too, must be geared towards realization of the 30-year National Vision.

### **2.2.3 The 10-year Medium Term National Development Plan**

The 10-year National Development Plans are supposed to actualize the aspirations of the 30-year National Vision. They are supposed to outline the overall development objectives for the respective decades which are subsequently elaborated in the 5-year medium term National Development Plans<sup>5</sup>.

### **2.2.4 The 5-Year National and MDA Strategic Plans**

The 5-Year National Development Plans (NDPs) are supposed to operationalize the 10-year National Development Plan and 30-Year Vision. They set medium term development goals, strategic objectives and programme priorities for the country and guide the allocation of public resources by all government and non-government development actors. Operationally, the NDP is

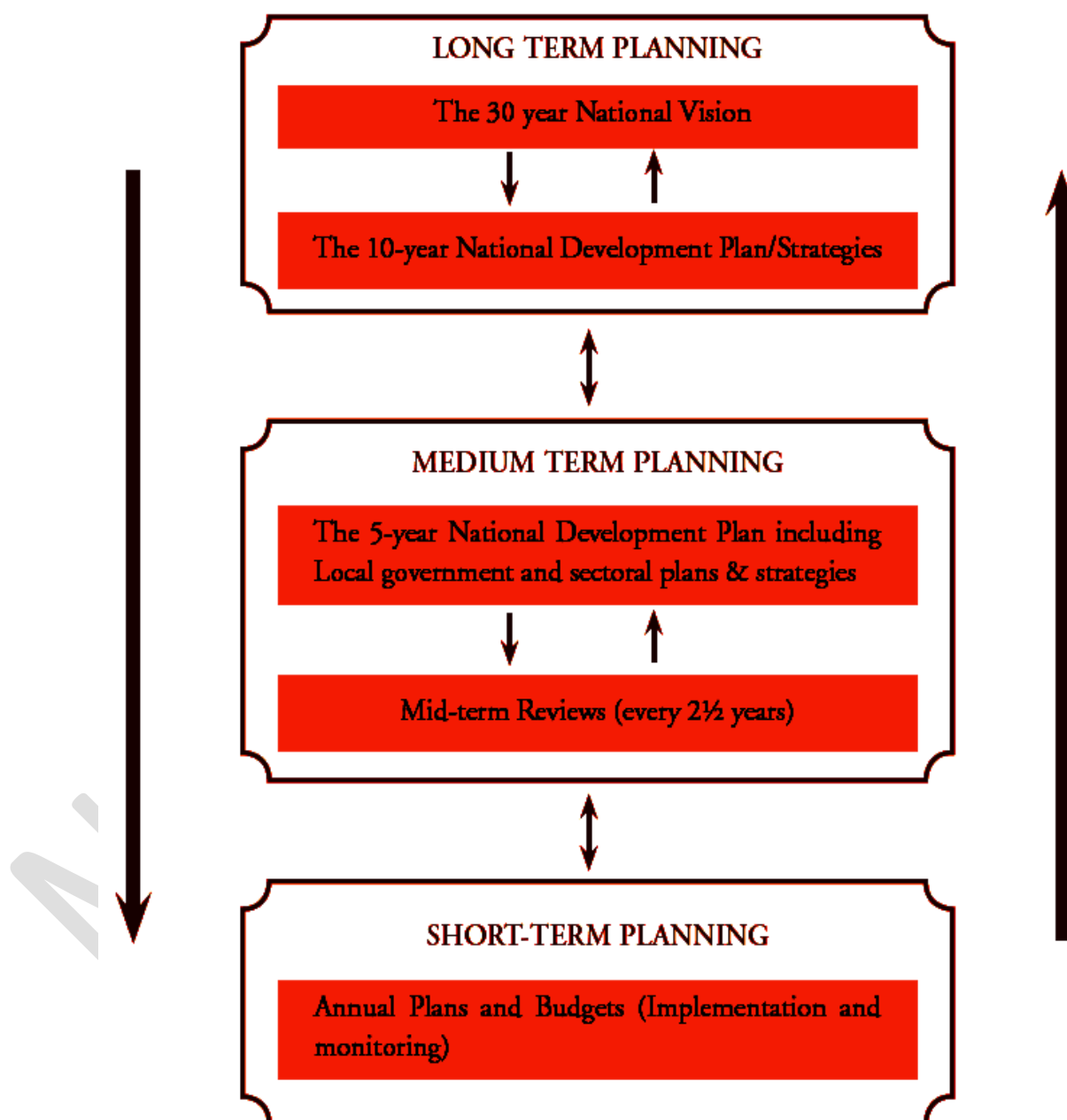
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<sup>4</sup> The current one is the Uganda Vision 2040 that was adopted in 2010.

<sup>5</sup> However, the 10-year National Development planning framework is yet to be operationalized in Uganda

delivered through 5-Year decentralized Plans. MDA Strategic Plans consist of policies, strategies and development interventions that address demographic, social, economic and environmental development challenges, potentials and priority investments. Therefore, the 5-year MDA Strategic Plans have got to be thematically harmonized and their timing will be consistent with the start and end time for the 5- year NDP.

**Fig. 1: The Interface between Elements of the CNDPF**



### 2.2.5 Local Government Development Plans

The 1995 Constitution of Uganda stipulates a decentralized local government planning approach where the needs and aspirations of the people are supposed to determine how governmental units at the local level do allocate and use public resources for development and service delivery. The Local Government Act places the primary responsibilities for development planning to Higher and Lower Local

governments (HLGs and LLGs), which are obliged to produce development plans for their respective jurisdictions. The specific jurisdictions where development plans are supposed to be produced include District, Municipal, Town council, Division and sub-county levels of Local Government. However, the Local Government Act also obliges participation of local administrative units, Civil Society Organizations, private sector organizations and community members in the local government planning process, the local government planning process to be a participatory one.

Technically, there is a two-way influence between National planning processes and Local Government planning processes. On the one hand, because local government plans are supposed to originate from the grass-roots level, these should inform the 5-year MDA Strategic Plans, and consequently the National Development Plan. On the other hand, the CNDPF requires Local governments to be guided by national strategic directions including overall vision, goals and strategies. Local governments are therefore expected to adapt national strategies. Hence, the sequencing of the local government planning process in this planning guide is made in such a way that this dual relationship between MDA and local government planning cycles is facilitated effectively.

There is also a close operational relationship between Local Government Development Plans (LGDPs) and the MDA Strategic Plans. For example, a very big proportion of the financing of Local government development plans is through conditional grants channeled via MDA investment plans (roads, water and Sanitation, Education, Health, Community Services, etc.). Hence, the development priorities, policies and strategies in the MDA Strategic Plans exert a big influence on priorities and strategies that can be selected by local government development plans.

In addition to the MDA Strategic Plans, the 5 Year NDPs are delivered through the 5 Year LGDPs. Therefore, the LGDPs must be consistent with the long and medium-term national development goals and objectives and strategic direction of the country as stipulated in the 30-year National Vision, the 10-year and the 5-year NDPs. Hence, like MDA Strategic Plans, the 5-year LGDPs have got to be thematically harmonized and their timing must be consistent with the start and end time for the 5- year NDP.

## **2.2.6 Other Planning Instruments**

In order to achieve sustainable development results through addressing thematic and crosscutting challenges facing the country, Government of Uganda has adopted a number of planning instruments that aim at achieving a focused analysis and intervention over these challenges. These thematic and crosscutting planning instruments carry a strong influence on Local Government development planning process. The following are some of the thematic and crosscutting planning instruments that carry a strong influence on the Local Government development planning. However, this list is not exhaustive as there are others not included here, which LGs are called upon to take into consideration during their planning processes.

- i) The Population and Development (POPDEV) planning instrument

- ii) Gender mainstreaming planning instrument
- iii) Environment mainstreaming planning instrument
- iv) HIV/AIDS mainstreaming planning instrument
- v) Planning instruments for mainstreaming Human rights
- vi) Planning instruments for integrating/mainstreaming climate change
- vii) National physical planning standards and guidelines 2011
- viii) National Human Resources Development Planning Framework (2018)
- ix) Other crosscutting planning instruments.

All these planning instruments, and others not outlined here, are supported by specific legal instruments in form of Acts of Parliament or policy instruments, which makes it mandatory for agencies of government and other actors at all levels to comply to the specific requirements invoked by the instruments. So, besides the Local Government Act, LGs are obligated by these thematic legal and policy instruments to make action plans to guide the delivery of corresponding services by each LG. In practice, the making of these thematic action plans has provided an opportunity for LGs to have a deeper analysis of the problems inherent in the respective dimensions of the economy/ cross-cutting areas which stands to inform the LGDP process. In turn, the LG Development Plan is designated as the main modality through which these thematic plans can be financed.

In order to achieve the dual purposes, the LGDP guidelines provide that:

- i) LGs should develop all the different thematic action plans before the start of the LGDP process (latest by the end of the 4<sup>th</sup> year of the LDGP cycle) to enable LG Development plans to pick from these thematic plans; and
- ii) Developing these thematic action plans should be adequately supported - both financially and technically - by respective agencies of central government in order to enable LGs to produce quality action plans.

## **2.3 Institutional Framework for Local Government Development Planning in Uganda**

The key institutions involved in the local government development planning function in Uganda include both local and national level establishments as detailed out in the subsections below:

### **2.3.1 Local Government Institutions and Stakeholders**

Local Government planning institutions and stakeholders for the planning function include:

- i. District Council, which is the District Planning Authority (DPA) that is responsible for coordinating the production of Higher and Lower Local Government plans (Ref. LGA/ CNDPF).
- ii. District Technical Planning Committees (DTPCs) that are responsible for co-coordinating and integrating district level development priorities and those of Lower Level Local



Governments to produce district development plans that are presented to the district councils for approval (Ref. LGA/ CNDPF).

- iii. Lower Local Government Technical Planning Committees that are responsible for coordinating the planning process in their areas of jurisdiction (Ref. LGA).
- iv. Civil society organizations, faith-based organizations, and community-based organizations that are required to participate in all stages of the planning cycle in both HLGs and LLGs (Ref. LGA/ CNDPF).
- v. Private sector organizations and enterprises that are required to participate in all stages of the planning cycle (Ref. LGA/ CNDPF).
- vi. Citizens /Communities that are required to participate in situation analysis and plan formulation; plan implementation and oversight (Ref. LGA/ CNDPF)
- vii. District, urban and sub-county physical planning committees that hold physical planning mandates (Ref. Physical Planning Act, 2010).

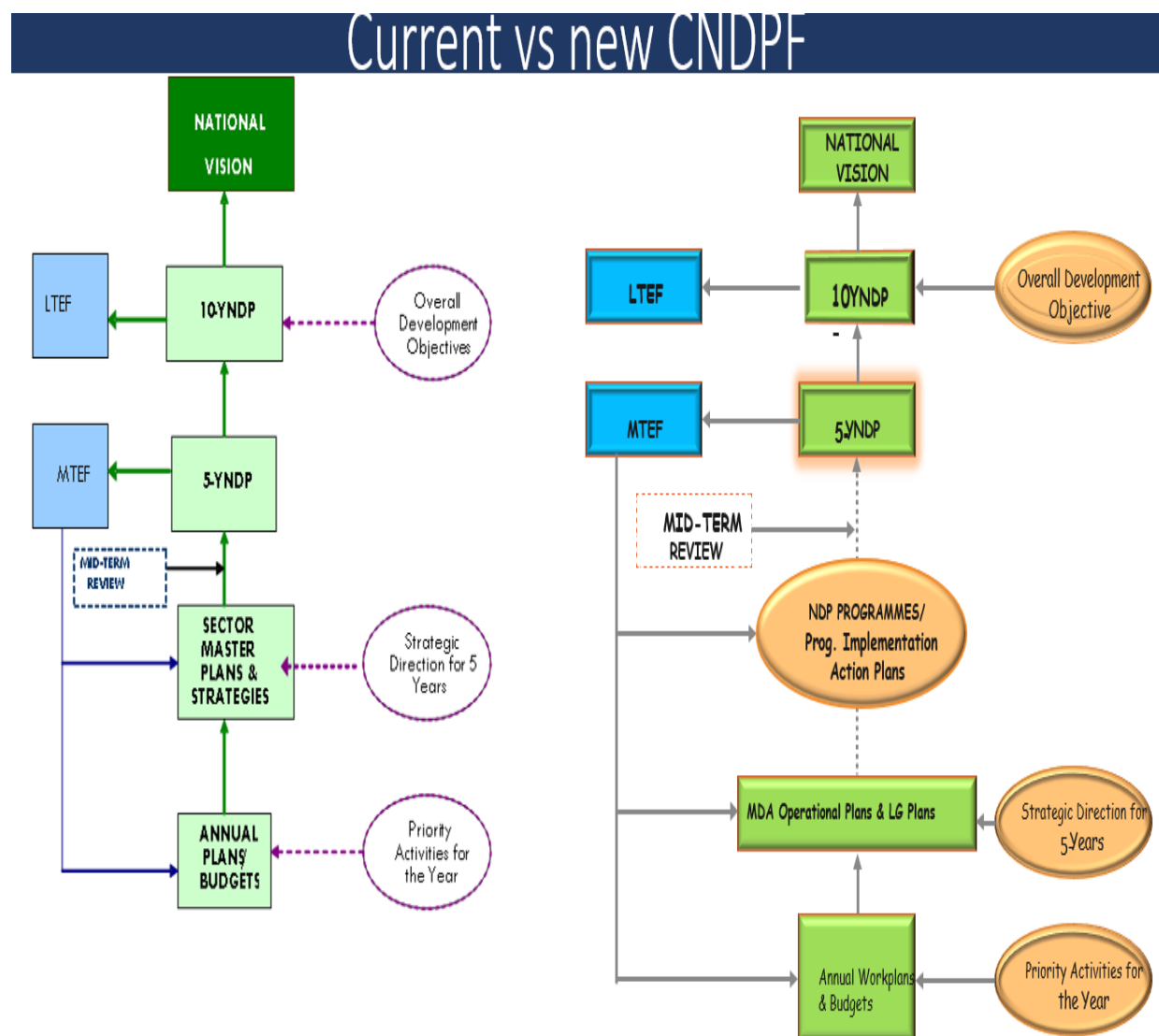
### **2.3.2 National Level Institutions**

National level planning institutions holding stakes in LG planning functions include:

- i. The National Planning Authority that is responsible for overall guidance, technical support and mentoring LGs as they go throughout the Local government development planning cycle. NPA offers capacity building to LG players as well as supporting LGs during plan implementation.
- ii. Ministry of Finance, Planning and Economic Development that is responsible for providing financial resources, technical guidance and mentoring on budgeting requirements all of which help LGs to execute their Development Plans.
- iii. Ministry of Local Government that is responsible for offering administrative support and technical advice, guidance and mentoring required to effectively execute the LGDP processes.
- iv. Uganda Bureau of Statistics that is responsible for providing most of the datasets used in planning process as well as offering technical advice and capacity building to LGs in data collection and management.
- v. Ministries, Departments and Agencies that are responsible for receiving and integrating district priorities in their MDA Strategic Plans; offering technical advice, guidance and mentoring services required to effectively execute LGDPs; and support LGs in mobilizing finances for implementation of LGDPs.

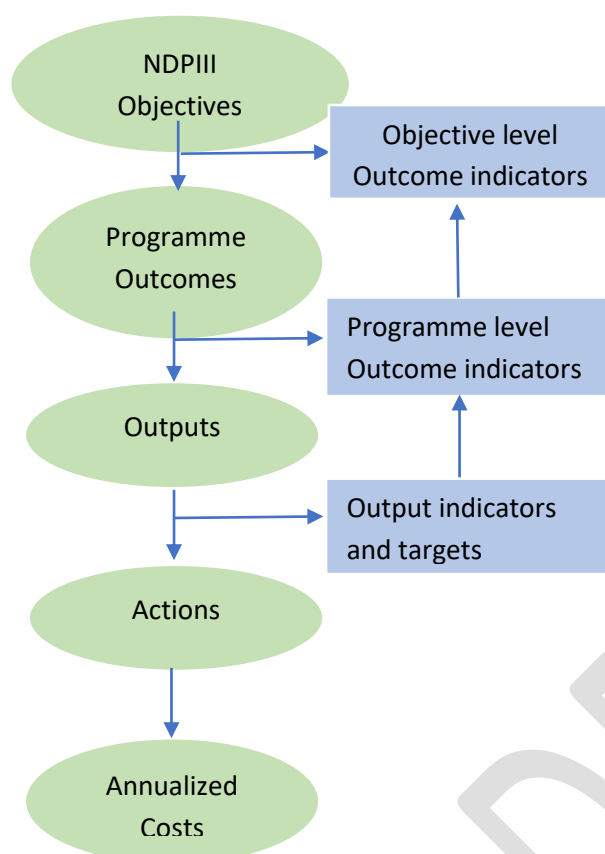
Figure 2 outlines the conceptual framework for the Local government development planning showing how the above-mentioned institutions should interrelate with each other during the local government planning process.

**Figure 2: Conceptual Framework for Interaction During the Local Government Development Planning Process**



The CNDPF remains the overall strategic document guiding the country towards achievement of the Uganda Vision 2040 through a series of NDPs. Programme Implementation Action Plans (PIAPs) have been introduced to constitute a link between the MDA/LG Plans to the NDPIII. PIAPs will be results and action based with annualized targets and costs for the five-year period. They will be the basis for development of LG plans. Key elements of the PIAPs are shown in Figure 3.

**Figure 1: Elements of the NDPIII PIP Results Chain**



**Programme Outcomes:** Changes brought about by public interventions upon individuals, social structures, or physical environment

**Outputs:** A good or service provided by an MDA. Eg patients' treatments, Functional Intensive Care Units (ICUs), irrigation dams.

**Actions:** types or categories of work process undertaken in the production and delivery of outputs. E.g. nursing, Establishing ICUs, constructing irrigation dams

**Annualized Costs:** Financing requirements to deliver actions per year

## **CHAPTER THREE: LGDP FORMULATION PROCESS**

The LGDP formulation process consists of three main stages, namely: i) **Data collection and Consultations** ii) **Actual plan preparation** iii) **Plan approval and submission**

### **3.1 Data Collection and Consultations**

Consultations and data collection will take place concurrently at all levels (district, municipal, sub-county/town council/division, parish/ward and village/cell). To facilitate evidence-based planning (*in accordance with Development Planning Regulations<sup>22</sup> &<sup>23</sup>*), LGs will ensure that there is an effective level of village/cell and parish/ward participation in the consultation and data collection process for the 5-year LG development planning cycle including effective participation of special interest groups<sup>6</sup> at all levels. In order to accommodate grassroots consultations / data collection, the planning process shall begin in **the last month** of the fourth year (financial year) of implementation of the running Local Government Development Plan. *Tools for grassroots data collection is provided in Appendix 10.*

Consultations and data collection will involve but not limited to the following processes:

- Dissemination of the information contained in the Planning Call Circular to all levels of LGs and other stakeholders participating in the planning process
- Community-based data collection/ inventory taking processes
- Parish/ward level consolidation of community-based data
- Sub-county/Division level consolidation of parish priorities
- Joint LLG performance review attended by HLG departmental heads and LLG planning task teams (during planning forums/ conferences).
- HLG performance reviews (attended by LLGs)
- Discussion of the Local Government key development potentials, opportunities, constraints and challenges (during planning forums/ conferences)
- Identification of key development issues arising from LLG situation analysis as well as from HLG constraints and challenges
- Production/ Update of LG spatial maps

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<sup>6</sup> Special Interest groups include and are not limited to the following: Persons with Disabilities, Youth, Women , Refugees, Elderly , PLWHIV,

In practice, Local Governments will collect data on:

- Prevailing physical, social and economic characteristics of a Local Government including inventory of assets (land, infrastructure, facilities and critical equipment) that are existing in a LG;
- Local economy concerning Trade, Industry and Local Economic Development such as household income, housing, livelihood, employment, etc. Also, an analysis of how social factors affect / are affected by local economic factors should be carried out (*Development Planning Regulations, 24(2b &c)*);
- Development situations focusing on opportunities and potentials for wealth creation and local economic development;
- Analysis of opportunities and challenges posed by factors in the local economy or neighboring local governments;
- The key stakeholders in the LG development process (Government departments, Private Sector, CSOs and FBOs, etc.);
- Data concerning the key crosscutting issues analyzed by each LG department;
- Disaggregated refugee population data for refugee hosting and neighboring LGs. Further analysis of refugee issues should be made in the Potentials, Opportunities, Constraints and Challenges (POCC) sub section of the plan where opportunities and challenges brought about by the influx of refugees to the host LLG and HLG should be considered in the analysis. For other LGs, data on internal and seasonal migrants should be included; and
- Any other basic data that is essential in informing the formulation of the LGDP strategic direction or its implementation modalities.

### **3.2 Actual Plan Formulation**

The following main steps comprise the LGDP formulation phase:

- Situation analysis and identification of development issues for a LG;*
- Definition of broad strategic direction which is done through adoption of NDP development Goal, Overall objectives, and development Programmes;*
- Definition of targeted Programme objectives and outcomes/ results and identification and formulation of development interventions and their respective outputs;*

iv. *Description of the implementation and coordination framework of the LGDP.*

### **3.2.1 Situation Analysis and Identification of Development Issues**

Situation analysis and identification of development issues will always be the opening phase of the LGDP formulation process. In brief, the situation analysis should entail a narration of current and previous developments occurring in respective LG including outstanding problems / challenges; the implications of these issues, problems / challenges to the LG development / service delivery processes; and how the issues, problems / challenges inter-relate with cross cutting issues like environment, gender, HIV/AIDS, human rights, food security and nutrition and population issues, etc. In every case, efforts should be made to define issues and problems in terms of magnitude, most affected groups of the population and spatial distribution. Use of disaggregated data (by gender, geographic location, socio-economic group, age, religion, income level), statistics and spatial maps to present and illustrate the situations analyzed is essential. The sub-sections below give more details on what might be contained in the situation analysis section of a LG development plan.

- i) Description and analysis of the physical and socio-economic characteristics prevailing in a LG at the time of planning, as well as issues concerning recent developments in the physical asset (land, infrastructure and facilities) of a Local Government;
- ii) Results-based review and analysis of development situations focusing on opportunities and potentials for wealth creation, as well as analysis of other specific/ peculiar and crosscutting issues. Development situation analysis should also highlight how the situations in one dimension of the local economy affects or is affected by the situation in other dimensions in the same LG or by situation from other LGs;
- iii) Local Economy and Business Assessment as guided by the LED Guidelines;
- iv) Analysis of factors affecting human capital development in the LG including expounding on some of the issues / factors already covered in performance review and analysis affect that human resources in a LG. The analysis here should be on the quality of the human capital in terms of employment and employability in line with the priority development focus of the LG, the delivery of the education and training at all level within the broader context of government in an effort to develop the human resource required by national and LG, assessment of the gaps and proposals for improvement with the LG and at the national level;
- v) (For Refugee hosting and neighboring LGs) Analysis by all departments on opportunities and challenges brought about by refugees to host areas. These could also be analyzed as part of the POCC analysis. In non-refugee-hosting LGs, this analysis could also cover opportunities and challenges brought about by internal and seasonal migrants. Analysis of other data that is essential in informing LGDP formulation or its implementation.

- vi) Identification and Analysis of Major Development Issues, Potentials, Opportunities, Constraints and Challenges.

Though situation analysis processes will primarily be done separately by each LG department, in the end, all development situations will be synthesized (by the planning Task Team and DTPC) to produce a single chapter (on Situation Analysis) which should include, inter alia, a summary of *development issues* that will inform LG's choices of the interventions for implementing under selected NDP Programmes.

### **3.2.1.1 Description and analysis of the Physical and Social Economic Characteristics of a Local Government**

The basic physical and social economic characteristics of a Local Government may comprise, though not necessarily limited to, the following aspects:

- A description of the physical characteristics of a LG covering aspects like the geographical location, size, longitudinal and latitudinal boundaries, neighboring, local governments and a general description of the topography, soils, hydrology, climate and vegetation of the Local Government, etc. A map of the Local Government should be included as an illustrative aide to present the physical description of the LG. An evaluation of the extent to which some of the physical features /characteristics of a LG have been affected by human activity should be made.
- A description of the population profile of a local government which should include the population size and structures disaggregated by age and gender, distribution by LGs and Administrative Units<sup>7</sup>, critical population issues and dynamics (fertility, mortality and migration), population densities (spatial distribution); labor force analysis; migration issues analysis; population pyramids and population projections for LG or administrative units (included for illustrative purposes). For Refugee hosting LGs and neighboring LGs, disaggregated refugee population data should be included and analyzed by all departments as part of the demographic characteristics of a LG.
- A description and analysis of the social economic data of a Local Government outlining issues like the political and administrative structures of the LG; the demographic characteristics; life standards indicators; livelihood patterns; human settlement patterns; productive resources and economic activities of a LG; human capital development issues including factors affecting the supply and demand of human resources in a LG; etc.
- Livelihood analysis which should mainly focus on access to livelihood resources by communities, households and individuals and how the variation in access influences

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<sup>7</sup> A description of the demographic structure should be according to functional groupings, for example, infants (0-4), primary school going age (5-12) adolescents, reproductive women group (15-49), youths (18-30), economically active group (15-64) and the elderly (60+) including short, medium- and long-term projection.

livelihood. In addition, the section could describe the extent to which a local government's production process such as industrial production or micro and small enterprises as well as other economic activities like agriculture, livestock, and fisheries and other commercial activities, do support livelihood patterns for the population at household level and by administrative units.

- Finally, the review of the physical and social economic characteristics of the Local Government should be climaxed by producing spatial maps indicative of the different physical, administrative, social and economic features. The maps shall supplement the narrative presented in this section.

### **3.2.1.2 Results- Based Performance Review and Analysis of Development Situations**

The local economy consists of elements that provide social, economic and environmental services and administrative functions required to maintain a healthy and quality population in a Local Government. The dimensions of the local economy relevant to the local government development planning process include **Economic** (Agriculture; Tourism; Minerals; Trade, Industry, Cooperatives; Financial Services; including economic infrastructure, i.e. Transport and Connectivity, Energy and ICT, Water for Production); **Social and Cultural** (Health, Education, Water and Sanitation, Housing, Household Sanitation and Hygiene, Community Development, Social Protection; including facilities); **Environment** (Land, Forest, Wetlands, and other natural resources); **Urbanization and Physical Planning** (Analysis in relation to Economic Issues, Social Issues and Environment Issues); and **LG Service Delivery Management** (Administration, Planning, Financing; Monitoring; Evaluation; Legislation and Oversight functions)

Results-based performance review and analysis of the dimensions of the local economy should focus on, though not necessarily restricted to the following:

- A general description and assessment of the local economy and its elements including a statement of the importance to the LG economy;
- A statement of basic national policy standards and conditions applicable to each dimensions (Where applicable reflect national standard indicators in a box) in view of the NDP and the Uganda Vision 2040;
- Assess the dimensions of the local economy with respect to access, equity, quantity, quality, utilization, affordability, efficiency and sustainability of the goods, services and service delivery;
- Basic data (disaggregated) and/or statistics integrating analysis of cross cutting issues relevant to planning requirements in the LG economy;
- A comparison of the LG performance on each dimensions of the local economy in



relation to national indicators and how they inter-relate with cross cutting issues like environment, gender, HIV/AIDS, human rights, food security and nutrition and population issues, etc.;

- An assessment of the situation of vulnerable and marginalized groups and the issues;
- Outline of main Potentials, Opportunities, Constraints and Challenges (POCC) for each dimension of the local economy, including for each of the crosscutting issues - Basic information/ statistics regarding recent development interventions promoting the respective dimension in the LG (including trends extending at least five years back) and their physical performance results;
- On-budgetary and off-budgetary allocations of the dimensions of the local economy for the previous five years' period including physical results achieved should be an essential component of this analysis;
- A statement of any lessons learnt from previous development interventions in the LG which may have implications for implementation of the next development plan;
- Analysis of the inventories, capacities, potentials, opportunities, and challenges facing the Private Sector and CSOs in the LG;
- Highlight how the situations in one dimension of the local economy affects or is affected by the situation in others in the same LG or by situations from other LGs.

Finally, the review of the development situation of a Local Government should draw out the main development issues arising out of the scenarios presented by the data and analyses made (See section 3.2.7).

### **3.2.1.3 *Local Economy and Business Assessment***

Local Economy Assessment is another aspect that needs to be included in a situation analysis section of a LG development plan. The Local Economic Development (LED) Guidelines issued by Ministry of Local Government stipulates Local Economy and Business Assessment (LEBA) to include analysis of a broad range of factors that impact on local businesses as well as on the economic well-being of individuals and communities in a LG. The impact may be either positive or negative. The following aspects may be considered in a local economy and business assessment:

- i) Business and enterprise structure of local economy incorporating gender dimensions;
- ii) Mapping and documentation of natural resource endowments and assets for LGs;

- iii) Estimation of household income levels;
- iv) Assessment of economic inclusion including identification of areas facing high levels of deprivation and economic exclusion as well as key underlying economic and social barriers to economic participation;
- v) Labor market and welfare (including gender perspectives); etc.

### **3.2.1.4      *Performance Review and Analysis of the State of Crosscutting Issues***

The Comprehensive National Development Planning Framework identifies a number of development issues whose effects and influences extend beyond one dimension of the local economy. These are referred to as crosscutting issues. They are issues, whose development impacts reach beyond one field. The CNDPF recognizes that it is important for all development actors to address crosscutting issues as a way of ensuring higher effectiveness of development policies and programmes in the country. For this reason, the national development planning framework requires that cross-cutting issues be adequately integrated in national and sub-national development plans.

In the LG planning process, some of the cross-cutting issues will be analyzed as part of the review of local economy situations (see section 3.2.1.2), while others which do not relate with a specific field will be analyzed separately. This sub-section concerns those crosscutting issues falling under the latter category.

Just like in the review and analysis of development situations, the review of cross-cutting issues should focus, though not necessarily limited, to the following aspects:

- A general description of each of the crosscutting issue including a statement of relevance/ importance of the issue in the LG economy;
- A statement of basic national standards and conditions applicable to the crosscutting issue (Where applicable reflect national positions with regard to the crosscutting issue in a box). Basic information/ statistics regarding recent development interventions promoting the respective crosscutting issue in the LG (including trends extending at least five years back) and their performance results;
- Incorporation of analysis of cross cutting issues into the analyses of Economic, Social and Cultural and Environment with focus on their implications on development results (desired/undesired) e.g. production, productivity, health outcomes; learning outcomes; poverty, vulnerability etc., supported by measurement indicators in regard to Basic data (disaggregated) and/or statistics integrating analysis of cross cutting issues relevant to planning requirements in the LG economy;
- Baseline data/statistics quantification of the gaps and statement of the implication of cross cutting issues on development in terms of emerging issues.

- An assessment of the situation of vulnerable and marginalized groups and the issues affecting them such as refugees, PWDs;
- Budgetary and non-budgetary allocations on the crosscutting issue for the previous five years should be an essential component of this section;
- A comparison of the LG performance on each crosscutting issue's indicators in relation to national standards;
- Outline of main Opportunities, Constraints and Challenges for each crosscutting issue. A statement of lessons learnt from previous interventions on the respective crosscutting issue in the LG which may have implications for similar or related interventions in the next development plan. The review of the crosscutting issues should be climaxed by highlighting the main development implications arising out of the scenarios presented by the data and analyses made in this step.

The depth of analysis to be made by LGs on each cross-cutting issue shall depend on how significant the issue is to a respective LG's development situations.

It should also be noted that most government agencies responsible for cross-cutting issues have developed separate tools to guide local governments on how to plan and integrate respective cross-cutting issues in Local Government Development Plans. LGs should therefore make use of these tools to supplement the information prescribed in this section. However, a harmonized tool for integration and mainstreaming cross cutting issues will be issued in the due course.

### **3.2.1.5      *Analysis of Other Data Informing the LGDP Process***

This section will involve analysis of the situation regarding other issues that carry a significant influence on the development process of a LG. The issues analyzed in this section will be those that are not covered in development situation and crosscutting issues analyses. This section will mostly cover development issues that are peculiar to a particular local government in order to make adequate provisions for these issues in the development plan. Analysis of other development issues should focus, though not necessarily limited, on the following:

- A general description of the issues including a statement of its importance in the LG economy;
- Analysis of the economic and social structural changes over the past years, e.g. Local economic growth, employment generation, poverty, etc.; demographic characteristics (migration issues, refugee issues, urbanization, etc.); human settlement patterns; life standards indicators (literacy, life expectancy, mortality); livelihood patterns; productive resources and economic activities, etc.)

- Data/statistics (disaggregate) to show who is most affected population groups, underserved areas (geographical locations- urban, rural, sub-county, parish, etc.); and provide reasons – why the disparity exist/ factors behind the gaps;
- Budgetary and non-budgetary allocations on the issue for the previous five years should be an essential component of this section;
- A statement of any lessons learnt from previous interventions addressing the issues in question in the LG and the implications these lessons may have on future development plans of the LG;
- Outline of main Potentials, Opportunities, Constraints and Challenges for the issue.

#### ***3.2.1.6 Identification and Analysis of Major Development Issues, Potentials, Opportunities, Constraints and Challenges***

A final stage of the situation analysis will involve amalgamation, by the planning task teams, of development issues from the different dimensions of the local economy and cross-cutting analyses to make a single list of development issues for informing the LGDP. This same process should identify the development issues, potentials, opportunities, constraints and challenges for the entire LG coming out of the development situation and cross-cutting situation analyses made.

The process of identifying, analyzing and ranking the broad development issues, potentials, opportunities, constraints and challenges of a LG will be initiated as a desk-based analysis using inputs from the LG departments and cross-cutting situation analyses and consultations. In addition, LLG and HLG planning forums will brainstorm over the broad development issues, potentials, opportunities, constraints and challenges to produce a final list of these issues. The process will involve the following steps:

- Listing of all broad development issues arising from local economy and crosscutting analyses. This will initially be identified by the planning task teams but will later be presented to the HLG planning forums for discussion and/or supplementation. Even where they arise from analysis of the different dimensions of the local economy, development issues of similar nature will be amalgamated, to make a single comprehensive issue. A development issue can also be raised out of independent crosscutting issues.
- Analysis of the cause- effect relationships between the identified issues in order to determine their ranking. This step will produce a ranked list of the broad development issues of the LG. An inter-relationship diagram technique may be used to accomplish this analysis scientifically

- Conducting a general analysis of the main development potentials<sup>8</sup>, opportunities, constraints and challenges (POCC) facing a Local Government.
- Presentation of final list of development issues to the HLG TPC and, later, Executive Committees for approval. It is advisable that a LG should not come up with too many development issues that cannot be addressed in a single planning season. A maximum of twenty issues is advisable.

The development issues identified will be used to determine how LG departments and non-state actors will contribute to selected NDP Programme areas.

**Box 1: Example of How a Development Issue Informs the Choice of Programme Interventions:**

If “Poor quality of basic education brought about by multiple factors including inadequate supply of teachers, inadequate scholastic materials, and poor attitude of parents towards education” is one of the development issues that is identified by a LG, this issue will inform this LG that it has got to do something in, at least, two national Programme areas (as stipulated in NDPIII Programmes). The two areas are i) the *human capital development Programme* (which prioritizes improving the quality of education), and ii) the *Community development and attitude change Programme*. Focusing on these issues, the education department will target interventions addressing teacher supply and provision of scholastic materials, while the community services departments will integrate community education and sensitization activities focusing on adults as a target group.

### 3.2.2 Definition of Broad Strategic Direction of the LGDP

Elaboration of the strategic direction of the LGDP will follow the situation analysis phase. In this process, Local Governments shall describe and seek political sanction of the high-level goal, objectives and Programmes that will form the basis for LGDP formulation. In addition, elaboration of the strategic direction for the LGDP shall entail a definition of Programme objectives and outcomes/ results, and these will be the basis for conceiving development interventions/ projects and outputs.

#### 3.2.2.1 Overall Development Goal, Objectives and Programmes of the LGDP

The national planning regulations require decentralized plans to conform to the national development plan goals and objectives. For this reason, the process of defining the LG broad strategic direction shall involve **adoption** of NDP development Goal, Overall objectives, and development Programmes by HLGs. These goals, objectives, and Programmes will be simulated from the National Development plan as guided by the Plan call circular. Adopted Goal, Overall objectives, and development Programmes will be presented in the following format.

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<sup>8</sup> **Development Potentials** for a LG refer to internal factors, advantages and resources which when utilised can enable the LG to enhance its chances achieving the selected development outcomes and goals and overcome its development challenges. **Opportunities** are the external factors (beyond the LG) that positively influence development in the LG. **Constraints** are the disadvantages emanating from internal factors such as failures in institutional, human and physical resources, etc. that might hinder the LG from achieving the selected development outcomes and goals. Examples of constraints are an uneducated and unskilled labour force, environmental hazards, rapid population growth, ethnic conflicts, etc. **Challenges**, on the other hand, are the external factors or obstacles (outside the LG) that may hamper smooth development effort (e.g. influx of refugees etc.).

**Table 1: Format of Presenting LGDP Goals, Overall objectives, and Programmes**

<b>NDPIII Goal:</b>	<b>LG Goal (Adopted):</b>
<b>NDPIII Objectives:</b> I. II. III. Etc.	<b>LG Strategic Objectives (Adopted NDPIII Strategic Objectives):</b> I. II. III. Etc.
<b>NDPIII Key Results</b> 1. 2. 3. Etc.	<b>LGDP Key Results (Adopted/Adapted NDPIII Results)</b> 1. 2. 3. Etc.
<b>NDPIII Programmes</b> 1. 2. 3. Etc.	<b>LGDP Programmes (Adopted NDP Programmes)</b> 1. 2. 3. Etc.

To enhance its legality, the list of Goal, Overall objectives, and development Programmes compiled by the HLG planning task team will have to be presented to HLG councils for a formal adoption before it is used to guide the LG process. After adoption, Higher Local Governments (HLGs) will communicate these goals, strategic objectives and Programmes plus other aspects of the national strategic direction<sup>9</sup> to all Lower Local Governments (LLGs), CSOs, Private Sector and other development partners in their areas of jurisdiction. LLGs will adopt their specific strategic development directions in close reference to the strategic direction communicated by HLGs.

### **3.2.2.2      *Definition of LG Programme objectives and outcomes/ results.***

HLGs and Municipal LGs shall develop plans aligned to the NDPIII PIAPs. In this respect, LG plans will seek to contribute to the realization of the broad NDPIII goal through adaption of broad NDPIII Programme objectives within the framework of decentralized services. The adaption of the NDPIII Programmes should be in light of the national indicators and targets.

Definition of Programme objectives, outcomes/ results, interventions and outputs targeted for the LGDP will be done through **adaptation** of NDP Programme objectives and outcomes to local situations. So, while the broad goals, overall objectives and Programmes will be adopted from the national Development planning process, Programme objectives, outcomes/ results, interventions and outputs will themselves be adapted (see illustration in Box 2).

<sup>9</sup> In the case of the third NDP, this will include communicating Programme-based objectives and interventions adapted by HLG from national Programmes

**Box2: How to do Adoption and Adaptation of National Programme Objectives, Outcomes/ Results and Interventions**

The concept of “Adoption of National Strategic direction” as used in this Guidelines refers to the process of accepting national goals, strategic objectives and Programmes by LGs and using them in their (LG’s) development plans without alterations or modification. In adoption, LGs will take national goals and other values and treat them as their own. This means that the way these National goals, strategic objectives and Programmes are stated in the NDP is the way they will appear in LG development plans. In the LGDP process adoption will be for overall goals, strategic objectives, and Programmes.

Adaptation of national strategic direction, on the other hand, means the process of taking national goals, objectives and other values by LGs and modifying them to suit the conditions / needs prevailing in each LG. In the LGDP process, adaptation will start from Programme objectives to Programme outcomes and interventions. Adaptation will be guided by the list of development issues analyzed for each LG during the early stages of planning process. This process may involve a number of activities including, i) analyzing the different national Programme objectives to identify those which relate to selected development issues of a local Government; ii) declaring which of the Programme objectives a LG intends to prioritize and the reasons why; and iii) pointing out the critical intervention areas upon which a local government will put emphasis per each Programme objectives and why.

*For Example, (using NDPIII Strategic Direction): A Local government should declare that “the local government development plan will address all the (five) objectives constituting the NDP strategic direction, namely..... However, out of these objectives, the (Local Government) will put more emphasis on the following Programme objectives (e.g.): Increasing sustainable production, productivity and value addition in the tea sub-sector because, holding the key growth opportunities, this sub-sector will cause maximum multiplier development benefits to the district economy. Second priority will go to human capital development with a focus on enhancing youth skills and employability to address the problem of high unemployment among the youths). Third priority will be ..... (and so on and so forth)*

Beyond Programme objectives, localization of national strategic direction will also be done through selection of key result areas / interventions for implementing the selected LG Programme objectives. In selecting its intervention areas, a local government is advised to refer to national Programme results areas. However, a LG is also free to conceive other intervention areas that suit its conditions or those that answer, most effectively, to its development issues. Table 2 below outlines how localization of LGDP Programme objectives, result area and targets should be structured.

**3.2.2.3 Identification/ Formulation of Development Interventions and Respective Outputs**

Development interventions will be formulated on the basis of Programme outcomes / results area. In other words, Programme interventions will reflect the actions required to achieve the selected Programme outcomes. In conceiving Programme interventions, LGs must remain cognizant of the main causes and effects of the respective development issues that are being addressed (as analyzed in section 3.2.1.6). It is important to highlight that the investment projects that will be financed in LGs’ five-year plans will be conceived around Programme interventions. Outputs, on the other hand, will be the expected deliverables that will come out of Programme interventions. In addition, it is important for the LGs to identify the likely risks that may affect achievement of the Programme outputs and outcomes/results and propose feasible mitigation measures to reduce the identified risks. Box 3 below illustrates the linkage

between overall development goal objectives, Programme, Programme objectives, Programme interventions, and outputs. We continue with our examples from NDPIII.

**Box 3: Linkage Between Overall Development Goal Objectives, Programme, Programme Objectives, Programme Interventions, And Outputs.**

- A. **NDP Goal:** Increasing Household Income and Improving Quality of life
- B. **Overall Objective (NDPIII):** Enhancing Value addition in Key Growth Opportunities
- C. **Programme (NDP):** Agro-Industrialization
- D. **LGDP Programme:** Agro-Industrialization
- E. **LGDP Programme Outcomes / Results (Adapted):** Increased Productivity of small-holder tea farmers in the district.
- F. **LGDP Programme Objective (NDP/ Adapted):** Enhancing Production and Productivity in key Agriculture Enterprises
- G. **Programme Interventions (Adopted/Adapted):** Provision of water for Irrigation to small holder tea farmers in all the four counties of the district
- H. **Projects:** E.g. Post-Harvest Handling Project
- I. **Outputs:** E.g. A total of 300 small holder tea farmers equipped with affordable irrigation schemes.
- J. **Action:** Construct small scale irrigation schemes
- K. **Activities:** Constructing irrigation dams
- L. **Likely Risks:** E.g. Low agricultural production and productivity due to effects of climate change
- M. **Mitigation Measures:** E.g. Climate SMART Agriculture to ensure sustainable agricultural production

**Table 2: Illustration- LGDP Programme Objectives, Results and Targets**

**NDPIII Objective: Enhancing Value addition in Key Growth Opportunities**

**LGDP Programme 1: Agro Industrialisation**

<b>LGDP Programme: Agro- Industrialization (Adopted)</b>			
<b>Development Challenges/Issue:</b> Low agricultural productivity and value addition, poor storage infrastructure, poor market access and low competitiveness for products in domestic and external, limited access to agricultural financial services and weak coordination and institutional planning			
<b>Programme results (outcomes)- (Adopted/Adapted)</b>	<b>Key Outcome Indicators (Adopted/Adapted)</b>	<b>Status FY2019/20 (Localized)</b>	<b>Target FY2024/25 (Localized)</b>
Increased productivity of small scale farmers in the district	1.		
	2.		
	3.		
<b>Programme Objectives (Adopted/Adapted)</b>	<b>Interventions and Ooutputs (Adopted/Adapted)</b>		
1. Improve post-harvest handling and storage of agricultural products 2. Increase agro processing of selected products	1. Promote establishment of post harvesting handling, storage and processing infrastructure 2. Improve the transportation and logistics infrastructure for priority commodities 3. Promote utilization of modern agro processing technologies		
<b>Programme Outputs (Adopted/Adapted)</b>	<b>Outputs and Targets (localized)</b>	<b>Actions (Localized PIAPs)</b>	<b>Actors (E.g. from Agriculture Department, Private Sector, etc.)</b>
Adapted Outputs 1	- 100 households will be supported with small scale irrigation scheme		



<b>LGDP Programme: Agro- Industrialization (Adopted)</b>			
Output 2	- 50 small scale farmers will be trained on climate smart agriculture		
Output 3	- Provide extension services to 2,000 farmers		
Project 1	- Post-harvest handling project		
<b>Likely risks</b>	- Low agricultural production and productivity due to climate change,		
<b>Mitigation measures</b>	- Climate smart agriculture.		

### 3.2.3 Prioritization of Interventions from Different Levels of Planning

It is crucial that LG Planners are guided on the process of selecting investment choices for their areas by emphasizing some of the technical points they should consider. This guidance on prioritization is intended to ensure that communities, parishes and LLGs do select priorities based on some scientific and evidence-based criteria to avoid producing unrealistic wish lists. Guided prioritization will also strengthen LGs' adherence to national Programme priorities. Similarly, use of standard criteria in prioritization will ensure that priorities identified at the grassroots level have high chances of being funded. Prioritization of LG interventions will take into consideration, though not limited to, the following standard criteria:

- i. *Consistence with national strategic direction and national Programmes*
- ii. *Consistence with National goals and strategies*
- iii. *Consistence with HLG/ LLG development plans*
- iv. *Current condition of the problem the intervention is targeting to address in relation to national service standards*
- v. *Number of people potentially benefiting from the intervention*
- vi. *Additional multiplier benefits*
- vii. *Availability of alternative solutions*
- viii. *Availability of budget for operation and maintenance*
- ix. *Potential / anticipated risks associated with the investment*
- x. *Urgency/ emergency rating*
- xi. *Any other criteria that are locally relevant*

The planning tools for community, parish, and sub county jurisdictions stipulate the manner in which the above-listed criteria will be applied in LLGs. At the start of the planning process, District Planning Departments (DPDs) and Municipal Planning Units (MPUs) will, in consultation with the central government MDAs, produce a standard list of criteria that will be followed by district/ municipal departments and committees in doing their prioritization. This list will have to be approved by DTPC/MTPC and DEC/MEC before it can be used. A copy of the Prioritization Criteria will also be given to members of the DLC/MLC. Local governments will be free to add other criteria but it is advisable that, for ease of application, the number of criteria should not be more than ten.

### **3.2.4 Description of the Implementation and Coordination Framework of the LGDP**

A description of the LGDP implementation and coordination framework will follow the LGDP strategic direction. This phase will involve:

- i) A description of pre-requisites for successful LGDP implementation;*
- ii) A description of main LGDP implementation modalities and the roles of the different stakeholders (including CSO roles);*
- iii) Defining the LGDP Financing Framework;*
- iv) A specification of LGDP Cost Implementation Matrix;*
- v) A description of the linkages between LGDP, Annual Work plan and Annual Budgets (of central government, LGs and other key Development actors)*

#### **3.2.4.1 Description of Pre-Requisites for Successful LGDP Implementation**

Pre-requisites for successful LGDP implementation refer to factors conducive or the necessary good conditions that are essential for bringing about effective implementation of LGDP strategies and interventions. These may take diverse forms including policy, managerial, technical, financial, and behavioral/attitude factors.

In describing the basic pre-requisites for LGDP implementation, LGs will:

- Outline the basic conditions that will be vital in bringing about successful implementation of LGDP (specific not generic);
- Describe the strategies for bringing about these conditions

#### **3.2.4.2 Description of the LGDP Implementation and Coordination Modalities**

In describing the implementation and coordination modalities of the LGDPs, LGs will:

- Make a general description of the main methods/approaches (e.g. participatory, government-led, private sector-led, public-private partnership, use of HRBA, Value Chain Analysis and Life Cycle Approach) which will be employed to have the different LGDP strategies and interventions implemented
- State the main institutions that will play key roles in implementing and coordinating LGDP and how they will relate.
- State the different roles that will be played by different actors (Roles of the State, the Private

Sector, Civil Society and Development Partners, etc.) in LGDP implementation.

- State the strategies that will be used to ensure effective coordination of LGDP implementation.
- Include any other aspects that might be relevant in guiding plan implementation and co-ordination.

### **3.2.4.3     *Defining the LGDP Financing Framework***

A local government development plan will have an elaborate resource mobilization and financing strategy. In this regard therefore, Local Governments will need to define and specify the strategies through which development resources to finance all the identified LGDP activities will be mobilized and managed.

In defining the LGDP Financing Framework, LGs will:

- Identify the main sources of revenue for financing LGDP including existing and potential development partners (DPs) (E.g. NGOs/ CBOs, FBOs, and Private sector). For Development partners specify the distribution of their contribution over the five years of the LGDP and whether their contribution will be channeled through or outside the budget;
- State the strategies for raising the required resources for funding the LGDP;
- State roles, responsibilities and conditions of development partners in financing LGDP including a specification of whether the funding will be budget or off-budget;
- State strategic actions that will be taken by the LG in mobilizing development partners to finance LGDP activities;
- State strategies for ensuring efficiency in resource use; and
- Specify any other aspect relevant to LGDP financing including innovative financing methods.

Table 3 is recommended for presenting the LGDP financing framework;

**Table 3: Format of LGDP Financing Framework**

Sources of Financing	Total Contributions FY1	Total Contributions FY2	Total Contributions FY3	Total Contributions FY4	Total Contributions FY5	Total Contributions	(%) Share by source of financing	Off Budget Contribution
Central Government Transfers <sup>10</sup> (Total Contribution)								
Local Revenue								
Development Partners (DPs) - Specify <sup>11</sup>								
DP1								
DP2								
DP2								
Etc.								
<b>TOTAL</b>							<b>100</b>	

#### 3.2.4.4 *Drawing the LGDP Costing and Cost Implementation Matrix*

In addition to the LGDP financing Framework, Local governments will also need to develop a Cost Implementation Matrix using a standard template. A Cost Implementation Matrix is a schedule that relates planned objectives, strategies and interventions with estimated costs and also specifies targeted outputs and the responsibility centre for each of the planned intervention. (See appendix 7 for the format of the Cost Implementation Matrix).

#### 3.2.4.5 *A description of the Linkage between LG Development Plans and the Annual Budgets*

It is essential that the 5 Year LG development plans reflect a clear strategy on how LGs will relate with the annual work plan and annual budgets of Local and Central Governments, as well as budgets of other key development partners. In this respect, LGDP will include annualized work plans which, in principle, shall form the basis for the LG annual development budgets, including critical assets (equipment and facilities) necessary for service delivery that will be acquired/constructed and or maintained/rehabilitated during the period.

The Annualized Work Plan (AWP) will provide detailed activity planning and try to forecast what will be accomplished during each year of the LGDP. Structurally, the AWP will contain the LGDP development outputs per Programme; the activities to be carried out towards achievement of the expected outputs; the time frame for undertaking the planned activities; those responsible for

<sup>10</sup> Central government Transfers include direct development transfers to LG by Ministry of Finance; transfers through ministries, departments and agencies; as well as funds expected from projects / Programmes implemented in LG by MDAs.

<sup>11</sup> NGOs, FBOs, CBOs, PSOs as well as Bilateral donors dealing directly with LGs are all included in this categorisation.

carrying out the activities; and the financial resources projected to be provided for each activity. *Appendix 6 presents the format of the annualized work plan.*

In order to describe clearly the relationship between the annual budgets of Local and Central Government, as well as those of other key development partners, local governments will need to include in the LGDP a short narration on:

- How the LGDP will be operationalized through annual budgets of central and local governments.
- The potential/ possibilities that is there to attract off-budget financing of LGDP by development partners (including CSOs) and the strategies to be used in coordinating off-budget financing of LGDP (if any).

The PIAPs together with LGDP will form a foundation on which the PBB will be formulated. The LGDP and its budget framework papers should be aligned in terms of adapted Programmes, sub-outcomes and sub-outputs corresponding with the NDP's results. *See format of PIAP in Appendix 5.*

### **3.3 Elaboration of procedures, Roles and Responsibilities for LGDP Guidance and Integration**

#### **3.3.1 Guidance of the LGDP Process**

Owing to the fact that the LGDP is one of the key elements of the Comprehensive National Development Planning Framework<sup>12</sup> (see Fig.1, section 2.2.1), adequate provisions have got to be in-built within the LGDP formulation process to ensure appropriate guidance by national and other agencies of government.

Guidance of the LGDP process will be at different levels including:

- a. Guidance of HLGs planning processes by the National Planning Authority*
- b. Guidance of HLGs planning processes by ministries, departments and agencies*
- c. Guidance of HLGs planning processes by Cross-cutting agencies*
- d. Guidance of Municipal and LLGs' planning processes by HLGs*
- e. Guidance of Division LGs' planning processes by Municipal Local Governments*
- f. Guidance of Parish and village level planning processes by LLGs*
- g. Guidance of Ward and cell level planning processes by the Division LGs.*

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<sup>12</sup> Together with the NDP and MDA strategic plans, Local Government Development Plans constitute the medium term planning component of the CNDPF

### **3.3.1.1      *Guidance of LG Planning Process by NPA***

According to the National Development Planning Regulations (2018), the National Planning Authority holds the overall responsibility for designing, operationalization and sustainability of effective LG development planning in the country. This role puts NPA at the centre of guiding the LGDP process including production and operationalization of this Guide. NPA guidance to the LGDP process will be channeled via the following mechanisms:

- i. Production and regular review/ update of the LGDP guide;
- ii. Training of LG development planning actors in the respective skills required to undertake the tasks under the LGDP cycle;
- iii. Developing and circulating the planning call circular that will spark the start of the LGDP process. Offer technical guidance and mentoring to LGs during the LG development planning process;
- iv. Receiving final LG plans after approval by LG Councils;
- v. Providing Guidance to LGs during LGDP implementation, monitoring and evaluation;
- vi. Undertaking any other role that might be necessary to ensure effective guidance of LGs during the planning process.

### **3.3.1.2      *Guidance of the LG Planning Process by Ministries, Departments and Agencies***

Ministries' guidance of LG plans will be channeled via the following mechanisms:

- i. Developing and circulating MDA priorities that will guide the LG planning process;
- ii. Providing data and statistics from MDA sources that will be used by LGs in the planning process;
- iii. Offering technical support to the HLGs during the LG planning process;
- iv. Receiving HLG submissions for LG priorities that should be incorporated in the MDA Strategic Plans;
- v. Advising local governments on the resource envelope available to finance LG development priorities or through MDA strategic plans;
- vi. Undertaking any other role that might be necessary to ensure effective guidance of LGs during the planning process.

### **3.3.1.3      *Guidance of LG Planning Process by Agencies of Government Responsible for Crosscutting Issues***

The reality on the ground in LGs is that for some crosscutting issues, LGs do not have the necessary technical competence to handle their planning. This is especially so for those crosscutting issue that relate to non-decentralized functions (e.g. Refugees). It is therefore crucial that LGs are adequately guided by national agencies responsible for respective crosscutting issues during the LG planning process. This guidance will be channeled via the following mechanisms:

- i. Providing guidance to LGs on the policy priorities and action areas regarding respective crosscutting issues as identified in the NDP,
- ii. Providing data and statistics from national sources regarding respective crosscutting issues that will be used by LGs in planning process;
- iii. Offering technical support to the HLGs during the LGDP planning process;
- iv. Advising local governments on the resource envelope available to finance LGDP relevant crosscutting issues;
- v. Undertaking any other role that might be necessary to ensure effective guidance of LGs during the planning process

MDAs responsible for respective crosscutting issues should develop user-friendly technical manuals to guide LGs in mainstreaming. The Planning call circular should highlight the crosscutting issues that have country-wide relevance and those with selective relevance. MDAs responsible for the respective crosscutting issues should undertake capacity building including training and orientation of LG staff in the different aspects of planning and mainstreaming of crosscutting issues as well as other forms of capacity building.

### **3.3.1.4      *Guidance to Municipal and Other LLG Planning Processes by HLGs***

HLGs' guidance to Municipal and other LLG plans will be channeled via the following mechanisms:

- i. Training and mentoring of Municipal and LLG actors on the use of the planning guide;
- ii. Developing and circulating the planning call circular<sup>13</sup> to Municipalities and other LLGs that will spark off the LG planning process at those levels. The planning call circular will include the key national and district strategic development directions that will guide the LGDP process in Municipal and other LLGs;

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<sup>13</sup> This will be done by simply customizing the national planning call circular to the respective HLG context. In the process of customizing the planning call circular, HLG may need to i) draw a practical timeframe for the different planning processes in line with the planning cycle time lines; ii) communicate (disaggregated) national strategic development directions; etc.,

- iii. Supporting municipalities and other LLGs in mobilizing resources for supporting the planning processes (including soliciting non-budgetary support from district-based development partners for planning activities and capacity building);
- iv. Advising municipalities and other LLGs on the resource envelope available to finance LG development priorities either directly or through MDA strategic plans;
- v. Providing data and statistics from national and district sources that will help Municipalities and other LLGs undertake effective planning processes;
- vi. Receiving submissions from municipalities and other LLGs for priorities that need to be integrated in HLG development plans;
- vii. Offering technical support to the municipalities and other LLGs during the LGDP process;
- viii. Undertaking any other role that might be necessary to ensure effective guidance of municipalities and other LLGs during the planning process.

**Box 4: Additional Measures to enhance more collaboration between Municipal councils and districts**

- i. *The Chief Administrative Officer (CAO) and Municipal Town Clerk (MTC) shall establish and operationalize active dialogue and consultative framework between Municipal and district local governments departments during the planning process*
- ii. *Relevant Municipal Council technical heads shall be invited to participate in the planning-related interactions and dialogue between the MDAs and Districts*

### **3.3.1.5 Guidance of Division Planning Processes by Municipal Councils**

Just like district HLGs, Municipal Councils have got statutory responsibility to guide management and service delivery processes in all Division Local Governments under their jurisdiction. As such, besides the district, Municipal Councils will also be another source of guidance to the division local governments during the LGDP process. Guidance of Municipal Councils to Divisions will be channeled via the following mechanisms:

- i. Training and mentoring of division actors on use of the LGDP guide;
- ii. Circulating the planning call circulars to Divisions, which will spark off the LGDP cycle at that level;
- iii. Supporting Divisions in mobilizing funding for facilitating the LG planning process (including soliciting non-budgetary support from district/municipal-based development partners for specific LGDP process activities and capacity building);
- iv. Providing data and statistics from national, district, and Municipal sources that will help Divisions during the LG planning process;



- v. Receiving Division submissions for priorities that have to be integrated in the Municipal Council Development Plan and those that need to be forwarded to the District;
- vi. Offering technical support to the Divisions during the LG planning process;
- vii. Advising Divisions on the resource envelope open to Finance Division development priorities either from the Municipality or from HLGs and other sources;
- viii. Undertaking any other role that might be necessary to ensure effective guidance of Divisions during the planning process;
- ix. Providing the format for presenting community/cell and ward level development constraints issues, potentials, opportunities and aspirations to the LLGs.

#### **3.3.1.6 *Guidance of Parish/Ward and Village/Cell Level Planning Processes by LLGs (Sub counties and Divisions)***

Sub-counties and /Divisions will have responsibility to guide and facilitate the involvement of parish/ward and community level actors in the LG planning process. This guidance will be channeled via the following mechanisms:

- i. Designing and circulating the time schedule to be followed in the parish/ward and community planning processes;
- ii. Training parish/ward and village/ cell level planning facilitators (parish chief/town agent, LC1 personnel, PDC members (where they exist), CBO representatives, etc.) in the LG planning processes;
- iii. Circulating information regarding the national, HLG and LLG development priorities and strategic directions to the parish/ward and community level actors;
- iv. Facilitating collection of relevant data at the village/cell and parishes/ wards for informing the LGDP process;
- v. Facilitating village/ cell and parish/ward level planning forums by members of the LLG planning task teams to discuss community and parish level development constraints/ issues potentials, opportunities and aspirations (including advising parish/ward planning forums on how to amalgamate and rank community development aspirations);
- vi. Undertaking any other role that might be necessary to ensure effective guidance of Parishes and Communities during the planning process

**Box 5: Parish/Ward and village/ cell Level involvement in Planning Processes is to be operationalized through the following Mechanisms:**

- i. Village/ cell participation in collection of community- level planning data
- ii. Village/cell participation in providing development priorities for their communities
- iii. Parishes/ Ward participation in data compilation by amalgamating village/ cell data to give parish/ Ward data for informing the planning process at LLGs and HLGs
- iv. Parish/Ward participation in prioritization and ranking of village/cell priorities and identifying parish/Ward level priorities for submission to LLGs
- v. Villages and parishes will not be required to produce development plans of their own (because they are not a spending level of government) but to actively contribute to the LLG and HLG development plans
- vi. Intensive grassroots involvement of communities should come only in the 5-year development planning process.
- vii. Minimal level of village/cell and parish/ ward participation in the annual LG Budgeting process which shall be done under the framework of the budget cycle as guided by the Budget call circular issued every year by MFPED. Annual consultation is for ensuring evidence-based budgeting which is also a measure to enhance chances of implementation of the community priorities in the 5-year development plan.
- viii. Annual community consultations shall feed into the LLG annual budget conference and will therefore focus on both recurrent and development needs of the community.
- ix. The Parish/ward level is to be made the unit of analysis/ focus of all planning data and interventions. Departments at both LLGs and HLGs will be obliged to present parish/ ward -disaggregated data in situation analysis (including spatial maps) wherever applicable. Department will also be required to show the distribution of the development interventions by parish/ ward where applicable.
- x. Parishes/wards will be required to produce action plans that will feed into the sub-county/division development plans

### 3.3.2 Integration of Local Government Development Priorities

Effective integration of development plans /activities for different levels of governments, administrative units and non-state actors is key requirement of the Comprehensive National Development Planning Framework (CNDPF) which is intended to maximize the responsiveness of public sector development plan. Integration in the Local Government Development Plans will be enforced at different levels as outlined in Table 4 below.

**Table 4: Integration Levels for Local Government Development Priorities (Level of Government)**

Levels for Local Government	Nature of Integration
Sub-county, Town Councils and Division Local Governments	<ul style="list-style-type: none"> <li>Integration of Community, parish/Ward, CBO, private sector development aspirations and/or Programmes into the respective LLG development plan</li> <li>Integration of physical planning priorities drawn from local government physical development plans into LLG plans.</li> </ul>
Municipal Council	<ul style="list-style-type: none"> <li>Integration of division development priorities in the municipal council development plans either for direct funding by the municipality or for forwarding to HLGs/ National level</li> <li>Integration of Urban physical planning priorities (drawn from urban physical development plans) into municipal development plans</li> </ul>
Higher Local Governments	<ul style="list-style-type: none"> <li>Integration of municipal and sub county/town council and development priorities in the Higher Local Government development plans either for direct funding by the HLG or for forwarding to ministries, departments and agencies.</li> <li>Integration of physical planning priorities into HLG development plans</li> </ul>
MDAs	<ul style="list-style-type: none"> <li>Integration of HLG development priorities in the MDA Strategic Plans either</li> </ul>

Levels for Local Government	Nature of Integration
	for strategic coordination or for direct funding by the MDA.
National Development Plan	<ul style="list-style-type: none"> <li>Integration of HLG development priorities into the NDP and MDA Strategic Plans.</li> </ul>

The following sub-sections provide the details on how the different level of integration will be executed through the various stages of the LGDP/CDP formulation process.

### **3.3.2.1 Integration of Lower Local Government Development Priorities in HLG Plans**

By law, Lower Local Governments (including Municipal, sub-county, Town, and Division local government councils) are autonomous body corporate entities. The Development Planning Regulation, 2018 obliges lower local governments to prepare a comprehensive and integrated development plan and submit to the district council for incorporation in the five-year local government development plan (Regulation 20(2)). Municipal councils are equally obliged to do so (Regulation 20(3)). So, while LLGs (including MCs) have legal obligations and responsibilities to produce their own development plans and budgets, Article 190 of the constitution of the Republic of Uganda and the planning regulations obliges the District Local government to integrate development aspirations from these councils into the its (district's) development plan.

This Guide provides four entry points for integration of LLG's plans (MC's inclusive) into district development plans. These are:

- Districts utilizing LLG specific data (parish/ward level) in situation analysis;
- Districts Integrating LLG unfunded priorities into HLG strategies and interventions (i.e. those LLG mandated functions that require huge resources than what a LLG can raise);
- District and Municipal councils reflecting a summary of LLG investment projects (either as a separate or part of **Appendix 4**). Municipal Council investment projects should also be included in district development plan;
- Districts and Municipal councils reflecting all LLG development interventions on spatial maps (i.e. including those to be funded by LLGs' own resources, those of NGOs and CSOs, and other actors).

Submission of LLG/Municipal Council priorities to be integrated in the HLG plans will be done by the Sub-county chief/Town Clerk latest by the last week of April and last week of March respectively as outlined in section 4.2 (step 11 of Table 5 and step 14 of Table 4). The Town Clerk /sub-county chief shall be obliged to make timely follow-up with the respective HLG before the end of the month of June to secure the position regarding the submitted LLG/Municipal Council priorities and provide feedback to key stakeholders.

### **3.3.2.2      *Integration of Community / Parish Priorities in LLG Plans***

To achieve effective integration of parish priorities in LLG development plans, the Parish chief/ Town agent shall undertake responsibility to ensure;

- Timely compilation and amalgamation of village/ cell data to produce parish/ ward data for submission to the office of the Sub county / Town clerk/ Assistant Town clerk for the purpose of informing the planning process at LLG during the situation analysis;
- Timely prioritization and ranking of village/cell priorities for submission to the office of the Sub county / Town clerk/ Assistant Town clerk for integration in the LLG development plans. The same team will be responsible for identifying parish/Ward- level priorities to be added to priorities identified at the village/ cell levels before the parish prioritization process.
- At the LLG level, Parish data and priorities shall be handed over to technical staffs to ensure that they integrate them in their MDA plan preparations. LG technical staff shall ensure that the visibility of the submitting parishes/ wards is sustained in the LLG development plans.

### **3.3.2.3      *Integration of Division Development Priorities in the Municipal Council Development Plan***

Municipal Divisions are, by law, semi-autonomous body corporate entities. They are therefore given legal obligations and responsibilities to produce their own development plans and budgets. However, the Local Government Act as well as the Development Planning Regulations (Regulation 20(3)) oblige Municipal Councils to integrate Division development Programmes and services into their plans and budgets.

This Guide provides four entry points for integration of Division plans into Municipal Council Development Plan. These are:

- a. Municipal Council (MC) utilizing Division specific data (ward level) in situation analysis;
- b. Municipal Council integrating Division unfunded priorities into MC strategies and interventions (i.e. those Division mandated functions that require huge resources than what a Division can raise);
- c. Municipal councils reflecting a summary of Division investment projects (either as a separate or part of appendix 4). MC investment projects should also be included in district development plans;
- d. Municipal Council reflecting all Division development interventions on spatial maps (i.e. including those to be funded by LLGs' own resources, those of NGOs and CSOs, and other Development Partners).

Submission of division development priorities for integration into the Municipal Council Development Plan will be done by the Assistant Town Clerk in time before the conclusion of the planning process at the municipality (See step 18 in section 4.2.2). The Assistant Town Clerk shall be obliged to make timely follow-up with the municipal council before the end of the month of March to secure the position regarding the submitted division priorities and provide feedback to key stakeholders.

#### **3.3.2.4 Integration of CSO / PSO Development Priorities and Activities into LGDPs**

The National Planning Authority (Development Plans) Regulations, 2018 envisions a LG planning process which engages civil society organizations and development partners, the private sector, cultural leaders, faith-based organizations, in the formulation and implementation of national priorities (sect. 8(2(c))).

In conformity with the planning regulations, this planning guide requires Local Governments to ensure adequate integration of CSOs/PSOs activities in the HLG and LLG plans. Integration of CSO/PSO development activities in the LGDP will be done via the following criteria:

- a. Integration of CSO/PSO relevant issues in the analysis of HLG and LLG development constraints;
- b. Inclusion of CSO/PSO resources in the LG development resource envelop;
- c. Inclusion of CSO/PSO issues in HLG development priorities submitted to the MDAs and NPA for inclusion in MDA Strategic Plans and NDP respectively;
- d. Inclusion of CSO/PSO resources in the LGDP financing matrix;
- e. Inclusion of CSO/PSO in the LGDP implementation and M&E modalities.

#### **Box 6: Additional measures to enhance more collaboration between CSOs, DPs, PSOs and FBOs and LGs**

- *Deliberate actions taken by LGs to mobilize and sensitize CSOs, FBOs PSOs, and other development partners (DPs) in the area to take part in the LG planning process. This should be done prior to the start of the forthcoming planning season.*
- *The guide also emphasizes that, as a rule thumb, CSOs and DPs should be active members of the LG Planning Task teams*
- *(Because CSO and DPs have got specific funding objectives) LGs should endeavor to include the funding objectives of DPs<sup>14</sup> in the LG development Goals, outcomes and strategies. To facilitate this CSOs and DPs should be invited to take part in the planning process right at the start of the process*

#### **3.3.2.5 Integration and linkage of District Local Government Development Priorities with MDA Strategic Plans**

Integration and linkage of LG development plans with the MDA Strategic Plans will be achieved through two criteria:

- i. Inclusion of national goals, strategic objectives and Programme areas in the respective HLG development plans including the specific targets and resources for the components falling

<sup>14</sup> Which presumably are already agreed upon with LGs or National government authorities

under the respective HLG).

- ii. Integration of specific HLG development interventions addressing peculiar needs of LGs into the MDA Strategic Plans. The structure of the MDA Strategic Plans will provide a separate slot for reflecting specific development aspirations originating from HLGs. Under this slot, all approved HLG development interventions that will be supported by the MDA under Programme conditional grants, off-budget finance, or any other funding modality will be reflected.

**Box 7: Additional Measures to enhance more collaboration between District Local Government Plans and MDA Strategic Plans**

- *MDA Strategic Plans should show the specific needs/ priorities coming from each respective HLG and how the MDA has catered for those needs.*
- *LGs will display all national development interventions on the spatial maps including those funded off-budget*
- ***Dealing with changes in national expenditure priorities:** As general principle, LGs should stick to their priorities as approved by their councils. If national government changes its budget priorities, LGs should solicit funding from other sources. - However, there is an exception to this rule. if the change in question is as a result of policy change, faults in the technology, design or approach discovered by central government. In this case LGs will also be obliged to adjust their plans through seeking council approval.*

### 3.3.3.6 Integration of Physical Planning Issues in LG Development Plans

The National Planning Authority (Development Plans) Regulations, 2018 emphasizes the need to integrate spatial plan in national and decentralized development plans. The regulations require these government development plans to incorporate socio-economic, physical and infrastructural development issues, and also call for the plans to be geo-referenced (sect. 13 (1&2)). Accordingly, LG planners are obliged to ensure that there is effective integration of physical development issues in Local government development planning. This integration will be achieved through the following provisions;

- i. Production of District physical development plans prior to formulation of the LGDP as required by the Physical Planning Act 2010. Physical development plans shall highlight on the critical physical planning issues that they should be incorporated in LG development plans. From the Physical Development Plans, districts shall pick priority interventions for integration in the 5-year District Development Plans. However, even in the absence of a district physical development plan, priorities of LG planners must ensure that Physical Planning issues are integrated in the LGDP.
- ii. The designing of all physical development investments included in LGDP should incorporate requirements and standards stipulated in the Physical Planning Act 2010 and the Physical Planning Standards and Guidelines.

- iii. Spatial maps shall be used (geo-referenced) to show detailed distribution of various attributes of the HLG/ MC plan down to the parish/ ward level situation analysis, interventions, Potentials, opportunities, constraints and challenges, etc.
- iv. HLG departments shall identify specific investment information that will need to be presented on spatial maps such as the transport systems, power, water resources, and land uses such as agricultural, protected areas, urban/residential, industrial and commercial areas, etc.
- v. To enhance brevity and visibility qualities of the Plan, LGs shall use spatial maps to supplement / replace narrative sections of their plans.
- vi. Spatial plans shall be made part of the feedback and communication strategy for both the 5-year plan and the annual budget.

### ***3.3.2.7 Integration of Refugee issues in LG Development Plans***

While delivery of refugee services is a central government, and not a decentralized function, refugees carry long-term development implications for host local governments and those in close proximity to host local governments. For example, refugees often put immense pressure on service delivery and basic infrastructure in host and neighboring local governments. However, refugee-hosting has also been seen to bring about a number of development opportunities to hos LGs.

Consequently, Government of Uganda has adopted a comprehensive refugee response framework advocating for a multi-player approach to the refugee question. As part of this response framework, some ministries, departments and agencies have developed refugee response plans (health, education, etc.), which carry implications on Programme allocations and priority setting by host LGs. In the same spirit, all refugee hosting local governments as well as those in close proximity to refugee camps (at least 150 KM radius) are obliged to integrate refugee issues in their plans. Integration of refugee issues in LG development plans will be achieved through:

- i. A mainstreaming approach where all MDAs and LLGs shall be required to analyze the positive and negative effects of refugees to service delivery and other development aspects, and then take care of the identified effects in designing and allocation of development interventions at national and local government levels.
- ii. Planning for exploitation of the opportunities brought about by refugee hosting LGs such as local revenue opportunities, increased market for the productive and trade sectors, employment opportunities, increased presence of development actors, etc.

- iii. Integration of refugee issues in the situation analysis, where, for example, the demographic aspects included in the LG development plan should cover disaggregated refugee population data, etc.
- iv. Conducting focused analysis of refugee issues during the POCC process of the LGDP where opportunities and challenges brought about by the influx of refugees to the host LLG and HLG should be considered Programme by Programme.
- v. For LGs that have refugee response plans in place, the interventions selected in these response plans should be integrated in the LGDP as applicable (i.e. distinguishing between those that need to be mainstreamed in development interventions from those which can be categorized as below the line activities by development partners and central government).
- vi. Another level of integration of refugee issues in LG plans will be through integrating priorities from the national level response plans.

#### **3.3.2.8 Integrating Local Economic and Business Development**

The LG planning function has, traditionally, been known for putting more emphasis on social services delivery than on promotion of economic development. As a result, the role of local governments in Economic development, in general, and the facilitation of the private and corporate sector, in particular, has been marginal. Also, LGs have not utilized the private sector as a partner in development, even though, the Local Government act prescribes borrowing from the private sector and Public Private Partnership as other avenues of funding public sector service delivery in LGs. This Guide intends to change this scenario by ensuring deliberate integration of Local economic development in LG planning. The following measures have been provided to guide LGs in achieving this purpose.

- i. All LG departments are mobilized to undertake LED-related situation analysis by reflecting data relevant to private sector such as household income, housing, livelihood, employment, etc. Also, LG departments will have to analyze how the social factors/ conditions affect / are affected by local economic factors/ conditions.
- ii. All departments will include the private sector in the analysis of the Potentials, Opportunities, Constraints and Challenges for their respective Plans (*Development Planning Regulation 24(2-c)*).
- iii. When discussing the Trade, Industry and Local Economic Development in the LG development plan, all LGs will be required to integrate the objectives, strategies, outputs, outcomes, and interventions for promoting LED and the private sector in the LG Programmes.



- iv. LGs will also ensure that all departments do portray how their investments will benefit / address issues concerning local economic and business development identified in the situation analysis and during prioritization of interventions;
- v. Providing a list of specific LED indicators to be monitored in the M&E framework for respective Programmes.

### 3.3.2.9 *Integration of Sustainable Development Goals*

Sustainable Development Goals (SDGs) are a set of 17 transformative and universal Goals with a total of 169 targets adopted in 2015 by the United Nations. According to the National Development Plan (NDP), national and local development plans are supposed to be guided, both strategically, and operationally, by SDGs.

A basic pre-requisite for localization of SDGs is in having a clear knowledge of the different SDGs and their implications to the national and sub-national planning frameworks. This will enable all stakeholders involved in the preparation of the LGDP to be informed of SDGs and their relationships and to integrate specific. Integration of the SDGs will be at different levels.

The first level of SDG integration is through incorporating SDGs in the situation analysis section of local government development plans. To this regard, LGs are required to include within the situation SDG responsive data and information reflecting, for example, how the demographic, economic, social and environmental set in local governments affect, or is affected by respective SDGs. In the end, integration of SDGs in the situation analysis should guide LGs in developing interventions that address critical issues concerning specific SDGs. It should be noted, however, that because the SDGs are universal for global, continental and regional level, contextualizing some of them to the local government level may prove difficult. Certain goals may be more or less relevant local governments depending on the differences/peculiarities in each case.

The second level of SDG integration is through inclusion of SDG-relevant Programme objectives and interventions in the LGDP implementation matrix. It is recommended that “compliance to SDG targets” should be included as one of the prioritization criteria for LG investments (see section 3.2.3).

The third level of SDG integration is through the monitoring and evaluation strategy of Local Government development plans. Here, LGs are required to incorporate in their M&E strategies indicators for measuring progress on the respective SDGs.

In summary, these Guidelines provide information on integration of SDGs in local government plans by:

- *Explaining what is meant by localization of SDGs;*

- *Highlighting areas of the various SDGs that local governments could prioritize in the process of localizing SDGs;*
- *Explaining how LGs should integrate basic data concerning localized SDGs in situation analysis;*
- *Highlighting the SDG indicators and source of information for the LGDP monitoring and Evaluation framework.*

#### **Box 8: Localization of SDGs Through the LG Plans**

The term ‘Localization of SDGs’ as used in the context of local government planning means not only making the aspirations of the SDGs integrated and visible in LG development plans but also ensuring that the relevant SDGs and their targets are implemented and achieved at subnational level (UNDP, 2018). In practice, Local governments have got responsibility (either directly or shared with central government or in partnership with other stakeholders) to provision services leading to attainment of in most targets of SDGs. However, this guide emphasizes SDG localization via the planning process.

Various entry points are available within the LGDP process to facilitate SDG localization. The first level is at integration of SDG-relevant information / issues in the situation analysis section of local government plans. In this section, an overview of the current situation in the local government with regard to each SDG is presented including how the SDGs reflect on demographic, economic, social and environmental aspects of the local government economy. Certain goals may be more or less relevant to some local governments than to others. Integration of SDGs in the situation analysis should guide LGs in developing interventions that address critical issues concerning specific SDGs.

The second level of SDG integration is at elaboration on of LGDP strategic direction. It is noted that national plans often highlight, through the framing of their goal, overall objectives and Programmes, the respective SDGs to which they are aligned and which targets (of the SDGs) they (the plans) prioritize. Through both adoption and adaptation of national strategic directions, Local Governments should therefore, show in their plans how their interventions are contributing to the SDGs goals and targets adopted in the NDP.

Thirdly, “localizing SDGs” may also refer to incorporation of specific SDG-related indicators in the LGDP monitoring and evaluation framework. refer to the monitoring of progress at local government level (irrespective of whether local governments have competency in that specific area). This can help to assess inequalities within the country, inform better decision-making and resource allocation at all levels as well as enable local communities and civil society organizations to hold their governments accountable.

#### **Example: Localizing SDG on Zero Hunger**

**NDP Level:** NDPIII includes Programmes for addressing Zero Hunger through targeting food insecurity (e.g. Agro-industrialization; Community mobilization and Mindset change; and Inclusive Rural Development Programmes).

**LGDP level:** LGs select to take action through different Programmes (Agro-industrialization; Community mobilization and Mindset change; and Inclusive Rural Development Programmes); as well as through proposed interventions (Provision of enhanced extension services and provision of quality and affordable agriculture inputs, etc.).

**LGDP M&E Level:** M&E framework for LG development plans include measurable indicators that target number / percentage of households in a LG that are food secure.

### **3.3.2.10 Inter-Local Government Linkages and Collaboration in Planning**

The National Planning Regulation (2018) calls for consultations between different decentralized planning institutions (Sect. 24(3)). In order to operationalize this aspect of the regulations, this guide provides for inter-local government linkages and collaboration in the planning process (i.e. linkages between neighboring LLGs within the same district or linkages between neighboring districts). The following entry points for inter-local government collaboration in the planning process are provided:

- i. The situation analysis in each MDA may show how conditions/ developments in one LG affects /is affected by the situation in other LGs (only the main and direct effects should be considered);
- ii. The description of broad development issues, Programme objectives and interventions may include critical cross boundary issues as identified in the situation analysis;
- iii. The format of the project profiles may also show (in the different sub-headings) how the design of the intervention addresses cross-boundary commitments/ targets or strategic linkages with other LGs in the area.

The planning processes at both HLG and LLG provides steps at which cross-boundary dialogue may be affected and the key stakeholders that should be engaged (both political and technical)

In order to provide for enhanced legality of inter-local government collaboration in the planning and development processes, this guide provides that a memorandum of understanding should be signed between two or more LGs opting to cooperate in the planning and implementation of some activities of their plan.

## **3.4 Approval of Respective Local Government Development Plans**

### **3.4.1 Approval of Lower Local Government Development Plans**

Approval of Lower Local Government plans will be done by the respective LLG council through a formal meeting convened in accordance with the legal provisions stipulated in the Local Government Act (council procedures, rules and regulations). The Municipal/LLG council should approve the plan by end of October of year 5 of the outgoing development plan as outlined in Section 4.2 (step 32 in Table 4 and step 20 of Table 5) of this guide. Before the Municipal/LLG council approves the plan, the following levels of discussions will take place (step 31 of Table 6 and step 19 of Table 7).

- *Discussion of the draft plan by Municipal / LLG Executive committee*
- *Laying the draft plan before council by the secretary responsible for finance and /or planning functions at the Municipal/LLG*
- *Council refers the draft plan to Council standing committees for review*
- *Discussion of final amalgamated draft plan by Municipal / LLG Executive committee.*
- *(For MCs only) Submission of the draft five-year MC development plans to the National*

### *Plan Authority for certification*

Presentation of the final draft plan for council approval will be done by the secretary responsible for finance and/ or planning function at the Municipal/ Town Council/ Division/ Sub-county executive committees. It is a requirement that Municipal/ Town Council/ Division/ Sub-county councilors receive the draft plan at least one week before the meeting to study it and generate issues for consideration in the council meeting.

Upon council approval of the final draft of the Municipal/ Town Council/ Division/ Sub-county plan:

- i. The Municipal Planning Unit or the Planning Focal Office in the Town Council/ Division/ Sub-county councils will incorporate the changes recommended by the Council in its approval meeting;
- ii. The Town clerk/ Assistant Town clerk/Sub-county chief will present the draft to the executive committee for a final check to ensure that council recommendations have been incorporated
- iii. The Chairperson of the Municipal/ Town Council/ Division/ Sub-county Council and the Town clerk/Assistant Town Clerk/ Sub county Chief will sign the final development plan and sanction it for printing and dissemination.

It is a requirement that all Municipal/ Town Council/ Division/ Sub-county Councilors must receive a final copy of the approved plan for their reference.

### **3.4.2 Approval of Higher Local Government Development Plans**

Approval of Higher Local Government plans will be done by the respective HLG Council within a formal meeting. HLG council should approve the plan by end of October of year 5 of the outgoing development plan as outlined in step 23 of table 3. Before Council approval of the plan, the following levels of discussion shall take place (step 22 of table 3):

- i. *Discussion of draft plan by HLG Executive committee*
- ii. *Laying the draft plan before Council by the secretary responsible for finance and/or planning functions at HLG*
- iii. *Council refers the draft plan to the responsible Council standing committee for review*
- iv. *Discussion of final amalgamated draft plan by HLG Executive committee and or civic forums (Planning conferences).*
- v. *Submission of the draft five-year development plan to the National Plan Authority for certification*

Presentation of the final draft plan to HLG Council for approval (step 23 of table 3) will be done by the secretary responsible for the planning function at the HLG executive committees. It is a requirement that HLG Councilors must receive the draft plan at least one week before the meeting that is scheduled to debate it (the draft) for them to study it and generate issues for consideration in the council meeting.

Upon council approval of the final draft of the HLG plan:

- i. The DPD will incorporate any changes recommended by the Council in its approval meeting;*
- ii. The CEO will present the draft to the Executive Committee for a final check to ensure that Council recommendations have been incorporated*
- iii. The Chairperson of the HLG and the CEO will sign HLG development plan and sanction it for printing and dissemination.*

It is a requirement that all serving HLG Councilors must receive a final copy of the approved plan for their reference.

### **3.5 Plan Submission**

Plan Submission is an important step in the LG planning process. It involves the sharing of respective approved development plans with different levels of local governments as well as with national level MDAs.

Submission of Lower Local Government development plans will be done by the Chief Executive of the respective lower local government (Town clerk, Sub-county Chief, and Assistant Town Clerk) to the respective levels of HLG.

HLG development plans, on the other hand, shall be disseminated by the Chief Administrative Officer (CAO) to National Planning Authority with copies to the Ministry of Local Government, Ministry of Finance Planning and Economic Development, Office of the Prime Minister, Office of the President, and The Local Government Finance Commission. At all levels of submission, LGs will provide both hard and soft copies of their development plans

The deadline for submission of HLG development plans to national level is 30th October of the 5th Year of the outgoing LGDP.

## **CHAPTER FOUR:**

### **THE LOCAL GOVERNMENT DEVELOPMENT PLANNING CYCLE AND ROLES OF STAKEHOLDERS**

#### **4.1 The 5-year Local Government Development Planning Cycle**

The Local Government Development Planning (LGDP) cycle is a 5-year horizon that corresponds with the National Development Planning cycle. The LGDP cycle runs from year one to year five as outlined in Table 4. The planning process spans between the 4<sup>th</sup> quarter of the third year and the 2<sup>nd</sup> quarter of the fifth year of the outgoing Development plan covering a total duration of 17 months (see Table 4).

The sequencing of the LGD planning process in this guide has been done in such a way that it allows sufficient time for LGs to mobilize and execute effective participation of different stakeholders within local governments. Equally, attempts have been made in this revised Guide to link the LGD planning process with MDA and national development planning processes by providing deliberate steps within the LGDP formulation process for planners at the LG level to interact with those at the MDA and national level. This guide also recognizes the fact that local government plans are supposed to inform the annual budgeting process in local governments. Specifically, the guide arranges the planning process to be concluded before the start of the budgeting cycle. The implication is that LG Development Plans should inform LG budgeting processes including that of year one of the new plan cycle. According to the PFMA (2015), the local government budget cycle is supposed to start in the month of November and end in the month of May. Consequently, this guide provides that the LG planning process should be concluded latest by the month of October in the second quarter of fifth financial year of the outgoing plan (Table 5).

**Table 5: LGDP 5-year Planning Cycle**

<b>Activity</b>	<b>Year One</b>	<b>Year Two</b>	<b>Year Three</b>	<b>Year Four</b>	<b>Year Five</b>
<b>Plan formulation and approval</b>	N/A	N/A	N/A	Starting of LGDP Planning Process – June	Approval of LGDP By October 30 <sup>th</sup>
<b>Plan implementation</b>	July – June	July – June	July – June	July – June	July – June
<b>Midterm Review</b>	N/A	N/A	January– June	N/A	N/A
<b>End Of Term Review</b>	January-March				

#### **4.2 Steps, Methodology, Actors and Timing of the LGDP Formulation Process**

The following planning steps and respective timelines are to be followed by HLGs and LLGs during plan formulation:

## 4.2.1 HLG Planning Process

The HLG planning process is outlined in table 6 below:

**Table 6: Steps, Methodology, Actors and Timing of the LGDP Planning Process**

STEPS	PROCESS ACTIVITIES	METHODOLOGY	LEAD ACTORS	TIME LINE
Step 1	HLG guiding LLG in community data collection, Amalgamation and identification of community needs	Develop Programme and provide instructions, tools, and technical backstopping,	DPD	June - August
Step 2	HLGs receive Planning Call Circular from NPA that includes communication on national development vision /strategic objectives, goals, etc.	Written plan call circular received from NPA	CEO (Chief Executive Officer) District Planner	July
Step 3	HLGs form District Planning Task Teams to be responsible for supporting the district technical Planning Committee (DTPC) in the LDGP formulation process	Formal Appointment of Planning Task Team members <sup>15</sup> by CEO	CEO	August
Step 4	HLGs communicate Planning Call Circular information to LLGs, Municipal, CSOs and Stakeholders by CEO	Written communication by CEO	CEO	August
Step 5	HLGs embark on Consultations and Collection of basic data that will inform the LGDP formulation, including Community data collected in LLGs (as outlined in section 3.1 of this guide)	Desk-based documents review, consultation with LLG, MDAs, CSOs, Private sector and other sources	CEO, District Planning Task Team coordinated by District Planning department (DPD)	September – November
Step 6	HLGs hold Planning Forums to discuss district development situations	District Planning Forum	CEO, District Planning Task Team	December
Step 7	HLGs analyze key development issues/ constraints, potentials, opportunities and challenges for the HLGs (as guided in section 3.2.6).	Programme technical planning meetings, Planning Retreat	Heads of Departments, CSOs and Private Sector, District Planning Task Team	December-January
Step 8	HLGs review and customize the broad National Development Strategic direction; specific strategies, priorities and standards; and relevant crosscutting issues (as guided in sections 3.2.8)	Working meetings for District Planning Task Team	District Planning Task Team, DPD	January
Step 9	HLG departments interface with LLGs to clarify LLG priorities and	Joint planning Meeting	CEO, District Planner	January

<sup>15</sup> Besides the relevant LG technical staffs, these Planning task teams should include Municipal/District Development Forums members, Representatives of CSOs/ Development partners, private sector apex organizations; etc.

STEPS	PROCESS ACTIVITIES	METHODOLOGY	LEAD ACTORS	TIME LINE
	guide LLG planning process			
Step 10	HLG Planning task team synthesize all development issues/ constraints, potentials, opportunities analyzed in steps 5 and 6 as well as those received from LLG planning forums to form one list for DTPCs discussion and onward submission to Ministries and NPA	Working meetings for District Planning Task Team, DTPC meeting	District Planning Task Team, DPDDTPC and DPDs	February
Step 11	Inter-local government Dialogue	Joint meetings	Chairperson/ Mayor, CEO and HODs	February
Step 12	HLGs submit HLG development issues to Ministries and NPA (for integration in MDA development planning and NDP processes)	Written communication by CEO to ministries and NPA	Accounting Officer	February
12(b)	<i>HLGs dialogue with MDAs</i>	<i>Individual / Joint meetings between MDAs and HLGs</i>	<i>PSs and Accounting Officer, HODs, Chairperson/ Mayor</i>	<i>March</i>
Step 13	HLGs analyze and compile the development resource envelope that will be the basis for selecting the investments for the LGDP and determining the plan funding gap	Local revenue projections; Desk-based review of financial commitments; consultation with ministries, other MDAs and respective development partners	District Planning Task Team	March
Step 14	HLGs elaborate and set Development outcomes, Goals and strategic Objectives that will guide the strategic direction of the LGDP	Departmental working sessions	All HLG departments facilitated by District Planning Task Team	March
Step 15	HLG Executive committee approves Development outcomes, goals, and strategic Objectives that will guide the strategic direction of the LGDP	Formal HLG Executive Committee meeting	HLG Executive Committee meeting	End of March
Step 16	HLGs receive Municipal and LLG development priorities for integration in LGDP	Written communication received from Municipal and LLGs	Accounting Officer	April
Step 17	HLG departments identify specific development outcomes, goals, strategic objectives, outputs, strategies and interventions to comprise their sections in the LGDP	Departmental working sessions, inter-district dialogue meetings for cross-boundary development priorities (with neighboring	All HLG departments facilitated by District Planning Task Teams	End of April



STEPS	PROCESS ACTIVITIES	METHODOLOGY	LEAD ACTORS	TIME LINE
		HLGs)		
Step 18	HLG (Planning Task Team) consolidates Development outcomes, Goals, strategic Objectives, outputs, strategies and interventions	Working meetings for District Planning Task Team, DTPC meeting	HLG Planning Task Team and DTPC	May
Step 19	HLGs submit HLG Development priorities to ministries for integration in MDA Strategic Plans	Written communication to ministries with a copy to NPA	CEO	May
Step 20	LGDP documentation- HLGs prepare LGDP documents including elaboration of project profiles, project costing, etc. (as guided in section 3.2.10.1)	HLG Plan drafting meetings	Heads of District departments facilitated by District Planning Task Team	May – End August
Step 21	HLGs develop Spatial maps indicating location of main development interventions/ service delivery points and gaps.	GIS/Computer based mapping Programme	District Planning Units, Heads of Departments, Physical Planners	August-September
Step 22	Draft HLGs Development Plan is presented to relevant committees and Civic Forums <sup>16</sup> for debate	Meetings and /or workshops	HLGs TPC, council committees, HLG Executive Committee	September
Step 23	HLG Development Plan approval by Council	Formal meetings	HLGs Council	October
Step 24	Printing and dissemination of final HLG development plan to (NPA and other MDAS; all HLGs political leaders, technical departments and development partners; and LLGs including feedback on priorities incorporated in HLG plans)	Formal communication	CEO	October
	<i>Beginning of Annual Planning/ HLG Budget Cycle</i>			<i>November</i>

#### 4.2.2 Planning Process for Municipal Councils and Division Local Governments

The planning process at the Municipal and Division LGs is outlined in table 7 below:

<sup>16</sup> Civic forums may include representatives drawn from Private sector, Communities and CSO institutions organised through planning conferences/ workshops

**Table 7: MC and Division Local Government Planning Process**

STEPS	PROCESS ACTIVITIES	METHODOLOGY	LEAD ACTORS	TIME LINE
Step 1	Community Level Data collection / update of public facilities	Participatory Data collection	Town Agent and community facilitators	June/ July
Step 2	Amalgamation and Processing of Community data at Parish level	Desk based work	Town Agent and community facilitators	June /July
Step 3	Identification of community needs	Village meetings	Town Agent and community facilitators	August
Step 4	Municipal Councils (MC) receive Planning Call information from HLG CEO and circulate the information to Divisions and all other key actors in the Municipal Councils planning process	Written plan call information received from HLG CEO and circulated to all actors in the Municipality	Municipal Council (MC)CEO	August
Step 5	MC and Divisions form Planning Task Teams to be responsible for supporting the Municipal Technical Planning Committee (MTCP) in the LGDP formulation process	Formal Appointment of planning task team members by MC and Division CEO	MC CEO, Division CEO guided by Municipal Council Planning Unit (MCPU)	August
Step 6	Ward meetings for Prioritization	Planning meeting	Town Agent and community facilitators assisted by CDO	September
Step 7	Data / priorities' compilation by LLG CDO	Planning meetings	Planning task team	September
Step 8	MC and Divisions embark on Consultations and Collection of basic data that will inform the LGDP formulation (as outlined in section 3.1 of this guide)	Desk-based documents review, consultation with MC, CSOs, Private Sector and other sources	CEO, MC Task Planning Team coordinated by MCPU	October – November
Step 9	Scoring of priorities by Municipal/Division Technical Planning Committee (M/DTPC)	Working sessions	M/DP C facilitated by CDO, Municipal Council Planner and Division Assistant Town Clerk (ATC)	November
Step 10	Divisions hold Planning Forums to discuss Division development situations	Division planning forum	Division ATC, Division Planning Task Team, Municipal Council Planner	January

STEPS	PROCESS ACTIVITIES	METHODOLOGY	LEAD ACTORS	TIME LINE
Step 11	MC holds Planning Forum to discuss MC development situations	Municipal Council Planning forum	MC CEO, MCTPC, MC Planning Task Team, MCPU	End of January
Step 12	HLG departments Interface with LLGs to clarify LLG priorities and guide LLG planning process	Joint planning Meeting	MC TC, Municipal Council Planner	January
Step 13	Divisions customize the broad National Development Strategic direction; specific strategies, priorities, and standards; and relevant crosscutting issues (as guided in sections 3.2.8)	Working meetings for Division planning task Teams	Division Planning Task Team with guidance from MCPU	February
Step 14	Divisions analyze key development issues/ constraints, potentials, opportunities and challenges for the MC (as guided in section 3.2.1.5).	Planning meetings	Division Planning Task Team with guidance from MCPU	February
Step 15	Inter-local government Dialogue	Joint meetings	Chairperson/ Mayor, Accounting Officer, and HODs	February
Step 16	MC customize the broad National Development Strategic direction; specific strategies, priorities, and standards; and relevant cross-cutting issues (as guided in sections (3.2.8)	Working meetings for MC planning Teams	MC Planning Task Team with guidance from DPD/MCPU	End of February
Step 17	MC analyze key development issues/ constraints, potentials, opportunities and challenges for the MC (as guided in section 3.2.6).	Technical Planning meetings (MC), planning meetings (LLGs)	MC Planning Task Team with guidance from DPD/MCPU	March
Step 18	Divisions submit their development issues for integration in MC development issues	Written submission to MC CEO via the MCPU	Division CEO	Early March
Step 19	MC Planning Task Team synthesize all development issues/ constraints, potentials, opportunities analyzed in step 5 as well as those received from Division planning forums to form one list for MCTPCs discussion and onward sub- mission to HLG	Working meetings for MC Planning Task Team, MCTPC meeting	MC Planning Task Team, MCPU, MCTPC	March
Step 20	MC submit their development issues for integration in HLG development issues	Written submission to HLG CEO via the DPD	MC CEO	Late March
Step 21	Divisions analyze and compile the	Desk-based review of	Division	By Late

STEPS	PROCESS ACTIVITIES	METHODOLOGY	LEAD ACTORS	TIME LINE
	development resource envelope that will be the basis for selecting the investments for the LGDP in the Division and determining the plan funding gap	Local revenue projections and other financial commitments; consultation with MC planning team and respective Division development partners (CSOs, Private Sector, NGOs, donors, FBOs, etc.)	planning Teams with guidance from MCPU	March
Step 22	Divisions elaborate and set Development outcomes, goals, strategic objectives and interventions to comprise the MC development plans	Working meetings for Division planning Teams	Division planning Teams facilitated by MC Planning Task Team	Early April
Step 23	Divisions submit to MC development priorities for integration in MC plans	Written submission to MC CEO via the MC PU	Division CEO	Mid-April
Step 24	MC analyze and compile the development resource envelope that will be the basis for selecting the investments for the LGDP in the MC and determining the plan funding gap	Desk-based review of Local revenue projections and other financial commitments; consultation with HLG planning team and respective MC development partners (CSOs, Private Sector, NGOs, donors, FBOs, etc.)	MC planning Teams with guidance from DPD/ MCPU	By End of April
Step 25	MC elaborate and set development outcomes, goals, strategic objectives and interventions to comprise the MC development plans	Working meetings for MC planning Teams	Facilitated by MCPU	By End of April
Step 26	MC Submit to HLG development priorities for integration in HLG plans	Written submission to HLG CEO via the DPD	MC CEO	End of April
Step 27	MC receive feedback from HLG regarding final list of MC priorities integrated in HLG plans for them (MCs) to update their draft Development plans accordingly	Written feedback communication to MC CEO	HLG CEO	June
Step 28	MC sends to divisions feed- back from HLG regarding final list of Division priorities integrated in MC, HLG and national plans for them to modify their draft Development plans	Written feedback communication to Division CEO	MC CEO	Mid-June

STEPS	PROCESS ACTIVITIES	METHODOLOGY	LEAD ACTORS	TIME LINE
Step 29	Division plan documentation: - Divisions prepare LGDP documents including elaboration of project profiles, project costing, etc. (as guided in section 3.2.10.1)	Division Plan drafting meetings	Division planning Teams, facilitated by District Planning Task Team	June – End August
Step 30	MC plan documentation, MC prepare LGDP documents including elaboration of project profiles, project costing, etc. (as guided in section 3.2.10.1)	MC Plan drafting meetings	MC planning Teams supervised by MC TPC	Mid-June – End August
Step 31	Draft MC and Division Development Plans are presented to internal committees for debate	Committee Meetings	MC/Division TPC and political (Executive Committees, Council Standing Committees)	September
Step 32	MC / Division Development Plan approval by Councils	Formal meetings	MC/ Division Councils	By End of October,
Step 33	Printing and dissemination of: 1- Final MC development plan to HLG, MC and Division political leaders, technical departments and development partners at the MC level and downwards to ward and cell councils); 2- Final Division development plan to MC, Division political leaders, technical departments and development partners at the Division level; downwards to ward and cell councils)	-	MC/ Division Chief Executive/ and Planning Office	By November
	<i>Beginning of MC / Division Annual Planning/Budget Cycle for year 1 of LGDP</i>			<i>November</i>

#### 4.2.3 Planning Process in Sub counties and Town Councils

The planning process at the Sub-county and Town Council LGs is outlined in table 8 below:

**Table 8: Planning Process for Sub-counties and Town Councils**

STEP S	PROCESS ACTIVITIES	METHODOLOGY	LEAD ACTORS	TIME LINE
Step 1	Village / Cell Level Data collection / update of public facilities	Participatory Data collection	Parish Chiefs/ Town Agent and Village / Cell facilitators	June/ July
Step 2	Amalgamation and Processing of Village / Cell data at Parish level	Desk based work	Parish Chiefs/ Town Agent and	June /July

STEP S	PROCESS ACTIVITIES	METHODOLOGY	LEAD ACTORS	TIME LINE
			Village/Cell facilitators	
Step 3	Identification of Village / Cell needs	Village meetings	Parish Chiefs / Town Agent and Village/ Cell facilitators	August
Step 4	Sub-county / Town council Receive Planning Call information from CEO and circulate the information to all key actors in the LLG planning process	Written plan call information received from CEO and circulated to all actors	Sub-county/ Town Council Chief Executive Officer (CEO)	August
Step 5	Sub-county / Town council form Planning Task Teams to be responsible for coordinating the LGDP process in the Sub-county / Town council	Formal Appointment of task team members by Sub-county / Town Council CEO	Sub-county/ Town Council CEO guided by District Planning Department	August
Step 6	Parish/ Ward meetings for Prioritization	Planning meeting	Parish Chiefs / Town Agent and Village / Cell facilitators assisted by CDO	August
Step 7	Data / priorities' compilation by Sub-county / Town council CDO	Planning meetings	Planning task team	September
Step 8	Sub-county / Town council hold Planning Forums/ conferences to discuss Sub-county / Town council development situations	Sub-County planning forum	Sub-county/ Town Council CEO, Sub-county/ Town council Planning Task Team, DPD	October
Step 9	Sub-county / Town council analyze key development issues/ constraints, potentials, opportunities and challenges for the Sub-county / Town council (as guided in section (3.2.6)	Technical Planning meetings	Sub-county/ Town council Planning Task Team with guidance from DPD	November-December
Step 10	Inter-local government Dialogue	Joint meetings	Chairperson/ Mayor, CEO and HODs	January
Step 11	HLG departments Interface with Sub-county / Town council to clarify LLG priorities and guide LLG planning process	Joint planning Meeting	CEO, District Planner,	January
Step 12	Sub-county / Town council customize the broad National Development Strategic direction; specific strategies, priorities, and standards; and relevant crosscutting issues (as guided in sections 3.2.8)	Working meetings for Sub-county / Town council planning Teams	Sub-county/ Town council Planning Task Team with guidance from DPD	January
Step 13	Sub-county / Town councils submit their development issues for integration in HLG development issues	Written submission by the Sub-county / Town council chief executive to CEO	LLG	Early February

STEP S	PROCESS ACTIVITIES	METHODOLOGY	LEAD ACTORS	TIME LINE
		via the DPD		
Step 14	Sub-county / Town council analyze and Compile the development resource envelope that will be the basis for selecting the investments for the LGDP in the Sub-county / Town Council and determining the plan funding	Desk-based review of Local revenue projections and other financial commitments; consultation with HLG planning team and respective Sub-county / Town council development partners (CSOs, Private Sector, NGOs, donors, FBOs, etc.) Working meetings	Sub-county/ Town council planning Teams with guidance from DPD	By Late February
Step 15	Sub-county / Town council elaborate and set Development outcomes, Goals strategic Objectives and interventions to comprise the LLG development plans	Working meetings for Sub-County / Town Council Planning Teams	Sub-county / Town Council Planning Teams facilitated by District Planning Task Team	February- April
Step 16	Sub-county / Town council submit to HLG development priorities for integration in HLG plans	Written submission to HLG CEO via the DPD	Sub-county/ Town council CEO	End of April
Step 17	Sub-county / Town council receive feedback from HLG regarding final list of Sub-county / Town council priorities integrated in HLG plans for them to modify their draft Development plans	Written feedback communication	Sub-county/ Town council CEO	Mid-June
Step 18	Sub-county / Town council plan documentation, Sub-county / Town council prepare LGDP documents including elaboration of project profiles, project costing, etc. (as guided in section 3.2.10)	Sub-county / Town council Plan drafting meetings	Sub-county/ Town council planning Teams, facilitated by District Planning Task Team	Mid-June – End August
Step 19	Draft Sub-county / Town council Development Plan is presented to internal committees for debate	Committee meetings	Sub-county/ Town council technical (TPC) and political (Sub-county/Town council/MC Executive Committees, Council Standing Committees)	August- September
Step 20	Sub-county / Town council Development Plan approval by Council	Formal meetings	Sub-county/ Town council Councils	By October

STEP S	PROCESS ACTIVITIES	METHODOLOGY	LEAD ACTORS	TIME LINE
Step 21	Printing and dissemination of final LLG development plan to (upwards to the HLG; horizontally to all Sub-county / Town council political leaders and technical departments and development partners at the LLG level; downwards to parish/ward and village /cell councils)		Sub-county/ Town council Chief Executive/ and Planning Office	By October
	<i>Beginning of Sub-county / Town council Annual Planning/Budget Cycle for year 1 of LGDP</i>			November

### 4.3 Stakeholders in the LGDP Process and Their Respective Roles and Responsibilities

Legally, development planning in local governments is supposed to be centred at two levels- the *Higher Local Government (HLGs)* level, in particular, District or City local governments and Lower Local Governments (comprised of Municipal, Sub County, Division and Town Councils). At each of these local government levels, there are structures and Offices that carry out varied mandates and responsibilities in the development planning process. Therefore, the primary stakeholders in the local government planning process are the institutions, agencies and individuals comprising these two levels.

At the same time, decentralized governance requires local government planning to be done through a participatory process. According to Uganda's decentralization policy, local government planning is to be made more effective through targeting and addressing development needs and challenges faced by local people. Consequently, non-local government structures are another crucial participant of the Local government planning process. These include lower local councils, community institutions, non-governmental organizations, and the private sector. These same stakeholders are also representative entities for beneficiaries of the local government development plans.

#### 4.3.1 Stakeholders at Higher Local Government Level and their Roles and Responsibilities in LG Development planning process

The main Stakeholders involved in the LG Development Planning process at the Higher Local Government level and their respective roles and responsibilities are summarized in Table 9 below.

**Table 9: Stakeholders at HLG Level and their Roles and Responsibilities in LG development planning process**

S/N	Stakeholders	Roles and responsibilities
1	District council	<ul style="list-style-type: none"> <li>The Planning Authority of the District</li> <li>Discussion and approval of District Development Plan</li> </ul>
2	District Executive Committee	<ul style="list-style-type: none"> <li>Approval of the HLG Development outcomes, goals, and strategic Objectives that will guide the LGDP formulation</li> <li>Review of draft development plans before presentation to council</li> </ul>
3	District Council standing Committees	<ul style="list-style-type: none"> <li>Review and recommend draft Programme goals, outcomes, outputs, strategies and Interventions (draft LGDP) for council approval.</li> </ul>



S/N	Stakeholders	Roles and responsibilities
4	District Chairperson	<ul style="list-style-type: none"> <li>Endorse HLG development plan approved by the Council before its submission and dissemination</li> </ul>
5	District Technical Planning Committee	<ul style="list-style-type: none"> <li>Taking lead in the formulation of LGDP (with support from planning task team)</li> <li>Coordinating the collaboration with other LGs in planning process.</li> <li>Reviewing and localising the broad National Development Strategic direction; specific strategies, priorities and standards; and relevant crosscutting issues;</li> <li>Technical Appraisal of investment priorities proposed for LGDP;</li> <li>Coordinating and integrating LLG plans into HLG development plan, (including municipal plans);</li> <li>Discussing draft LGDP before presentation to DEC Coordinating the production of spatial data and maps</li> <li>Undertaking any other activities necessary to fulfil the LGDP planning cycle.</li> </ul>
6	District Departments	<ul style="list-style-type: none"> <li>Analysing key development issues/ constraints, potentials, opportunities and challenges for their districts</li> <li>Generating baseline data and situation analysis for their respective departments</li> <li>Identifying Programme specific development outcomes, goals, strategic objectives, outputs, strategies and interventions to inform the LGDP</li> <li>Costing of priority interventions identified for the LGDP including assisting LLGs in project costing</li> <li>Reviewing and analysing priorities submitted by LLGs</li> <li>Undertaking any other activities for implementing the LGDP planning cycle as may be determined by the CEO</li> </ul>
7	District Planning Task team	<ul style="list-style-type: none"> <li>Collecting and analysing data for the LGDP formulation process;</li> <li>Support departments in identifying specific development outcomes, goals, strategic objectives, outputs, strategies and interventions to inform the LGDP</li> <li>Supporting the DTPEC in the following; <ul style="list-style-type: none"> <li>➤ Customizing the broad national development strategic direction; specific strategies, priorities and standards; and relevant crosscutting issues;</li> <li>➤ Synthesizing all development issues/ constraints, potentials, opportunities analysed as well as those received from LLG planning forums</li> <li>➤ Consolidating Programme development outcomes, goals, strategic objectives, outputs, strategies and interventions</li> <li>➤ Consolidating LLG priorities and share them with District Technical Planning Committee</li> <li>➤ Drafting of LGDP including elaboration of project profiles, project costing, Plan implementation schedule, M&amp;E plan and communication and feedback strategy</li> <li>➤ Analysing and compiling the development resource envelope to support LGDP implementation and determining the plan funding gap</li> <li>➤ Facilitating planning forum/meetings</li> <li>➤ Undertaking any other activities in the LGDP formulation process as may be determined by the Accounting officers</li> </ul> </li> </ul>

S/N	Stakeholders	Roles and responsibilities
8	District Planning Department	<ul style="list-style-type: none"> <li>• Secretariat for the LGDP formulation process including hosting the Planning task team</li> <li>• Secretariat for the DTPC</li> <li>• Drafting Planning call circulars for signature by accounting officers (based on the national planning call circular)</li> <li>• Handling all documentation of the draft comprehensive Five-Year District Development Plan</li> <li>• Providing overall technical guidance to other participants in LGDP planning process</li> <li>• Managing District Information Systems</li> <li>• Coordinating feedback to LLGs on plan integration</li> <li>• Coordinating other stakeholders on behalf of CEO to achieve effective implementation, monitoring and evaluation of the LGDP in the district</li> <li>• Liaising with the National Planning Authority on all technical matters regarding management and coordination of the Local Government development planning cycle.</li> <li>• Taking the lead in organizing and coordinating planning forums as well as consultative processes of LGDP formulation</li> </ul>
9	Chief Administrative Officer	<ul style="list-style-type: none"> <li>• Taking charge of the entire local government planning process</li> <li>• Issuing of Planning Call Circular to HLG and LLG stakeholders</li> <li>• Endorsing all correspondences to various actors regarding implementation of the Local Government development planning cycle</li> <li>• Endorsing Five Year LGDP after approval by the District Council</li> <li>• Submitting approved LGDP to NPA and other stakeholders</li> <li>• Coordinating and facilitating the DTPC and the planning task team to execute the local government planning processes.</li> <li>• Undertaking any other activities in the Local Government development planning cycle</li> </ul>
10	Civil society and private sector organizations <sup>17</sup> (e.g. NGOs, FBOs, CBOs etc.) and the Academia	<ul style="list-style-type: none"> <li>• Adopt the LG Planning Process as the main modality for integrating their development activities in order to enhance efficiency in resource allocation.</li> <li>• Participating in activities related to LGDP process through membership to Planning Task Teams and co-option to the DTPCs</li> <li>• Providing information about their on-going and planned development activities to the DTPC for integration in the development plan</li> <li>• Contributing to implementation of LGDP financing strategy</li> <li>• Participating in the planning, implementation and M&amp;E of LGDP activities</li> </ul>

#### 4.3.2 Roles and Responsibilities of Stakeholders at Lower Local Government Level

Stakeholders in the LLG Planning process are of different categories. They include Municipal / Sub-county/ Town council/ Division stakeholders; Parish/ward level stakeholders; Village /cell/ level stakeholders; NGO/CBO/Private sector level stakeholders. The composition of the

<sup>17</sup> Owing to the low development of private sector organisations in local governments, HLGs authorities are encouraged to put in extra effort to mobilise small scale producers' associations; prosperous traders, processors, and farmers; producer groups; SACCOs, chambers of commerce, etc. to participate in the planning process.

respective stakeholder categories is detailed out in the following subsections.

#### 4.3.2.1 Municipal/ Sub-county/ Town Council/ Division Level Stakeholders

The main Stakeholders involved in the LGDP process at municipal / Sub-county/ Town council/ Division levels plus the key roles and responsibilities they hold in that process are summed up in Table 10 below.

**Table 10: Main Stakeholders Involved in The LGDP Process at Municipal / Sub-County/ Town Council/ Division Levels**

#### 4.3.2.2 Stakeholders in Parish/Ward Planning Process

The structures that play key roles in the LGDP process at the Parish/ward level include the Parish/ ward Council; the Parish/ward Executive Committee; office of Parish Chief /Town Agent; and the Parish /ward Development Committee (where they exist). Box 1 shows the main LGDP planning tasks that are critical at the parish/ward level

##### **Box 9: Planning tasks at Parish/Ward level**

- Participating in popularizing the national vision, national strategic direction and relevant crosscutting issues
- Assessing potentials, opportunities, challenges and general development constraints faced by the parish/ward
- Holding parish/ward planning meetings to discuss parish development situations attended by various stakeholders- *parish/ward council members, Development Committee members, representatives of community groups, religious organizations, government service institutions, private sector organizations, NGOs working in the area, etc.*
- Receiving and debating development aspirations from village/cell level including synthesizing these aspirations into a single list of development issues for submission to sub-counties/ Town councils / Divisions for consideration.
- Mobilizing people to participate in the planning process and implementation of LGDP activities including ensuring timely compliance to the processes by all stakeholders in the parish/ward

Supported by the sub-counties/ Town councils / Divisions planning task team members, Parish Chiefs/Town Agents are responsible for coordinating parish/ward level LGDP activities. The roles and responsibilities of each of the parish / ward level planning structures are summarized in Table 10.

**Table 10: Planning Roles and Responsibilities for Stakeholders at Parish/Ward level**

Stakeholders	Roles and responsibilities
Parish/Ward Council	<ul style="list-style-type: none"> <li>• Discussing and approving development issues/priorities for submission to sub-counties/ Town council / Divisions council for integration</li> <li>• Convening planning meetings</li> <li>• Monitoring the LGDP process in their areas and ensuring timely implementation of the process</li> <li>• Participating in popularizing the national vision and national strategic direction to the population</li> </ul>
Parish/Ward Executive Committee	<ul style="list-style-type: none"> <li>• Discussing and recommending to parish/ward council development issues/priorities for inclusion in sub-counties/ Town councils / Division council plans</li> <li>• Mobilizing people, materials and technical assistance for Parish/Ward development projects;</li> </ul>

Stakeholders	Roles and responsibilities
	<ul style="list-style-type: none"> <li>Monitoring development projects implemented by government and other partners in the area;</li> <li>Providing feedback to Village/Cell Councils regarding their development activities and concerns submitted to, Sub-county/ Town council/ Division;</li> <li>Participating in popularization of National Vision and strategic directions.</li> </ul>
Parish Chief /Town Agent and Parish/Ward Development Committee	<ul style="list-style-type: none"> <li>Compiling and /or updating Parish/Ward information /data required to support LGDP process in their areas;</li> <li>Coordinating the process of identifying parish/ward development potentials/opportunities, development challenges, priorities;</li> <li>Integrating Village/Cell development priorities and proposals into parish/ward development priorities and proposals;</li> <li>Appraising parish/ward proposals with technical support from Sub-county / Town Council /Division Technical Planning Committee;</li> <li>Identifying and recommending to Parish/Ward Council priorities to be implemented using parish resources and those to be forwarded to Sub-county / Town Council for integration;</li> <li>Facilitating village/cell level planning meetings.</li> </ul>

#### 4.3.2.3 Stakeholders in Village/Cell/ Community Level Planning Processes

The main planning tasks taking place at the village/ cell level under the LGDP process are shown in Box 8.

##### Box 10: Planning tasks at Village/Cell Level

- Dissemination of national vision, strategic direction and relevant crosscutting issues
- Identification of general development issues, potentials, constraints and challenges facing the village / cell
- Conducting planning meetings at village / cell level to discuss village/ cell development situations. These planning meetings are to be organized under village / cell councils attended by all adult people living in the village/cell. Other participants may include representatives of community groups, religious organizations, government service institutions, private sector organizations, NGOs working in the area, etc. It should be as participatory as possible.
- Complying with planning cycle calendar set by NPA and respective HLGs and LLGs
- Mobilization and sensitization of the general public to secure effective participation of different stakeholders in the planning process of the village/ cell level
- Provision of data and information required to facilitate effective planning at different levels

The roles and responsibilities played by different institutions at the Village/Cell level in the execution of the above-listed tasks are summarized in Table 11.

**Table 11: Planning Roles and Responsibilities for Stakeholders at Village/Cell level**

Stakeholders	Roles and responsibilities
Village/Cell Council (All adult members resident in the village/ cell):	<ul style="list-style-type: none"> <li>Receiving information concerning national Vision and strategic direction to the Village/Cell</li> <li>Attending Village/Cell planning meetings</li> <li>Participating in generation of data and information relevant to planning</li> <li>Participating in identification of Village/Cell development issues for submission to parish/ ward level;</li> </ul>

Stakeholders	Roles and responsibilities
	<ul style="list-style-type: none"> <li>• Planning and mobilizing locally available materials and labour towards the Village/Cell projects;</li> <li>• Monitoring the implementation of development activities/delivery of services within the Village/Cell;</li> </ul>
Village/Cell Chairperson and Executive committee:	<ul style="list-style-type: none"> <li>• Mobilizing Village/Cell members to attend the village/cell planning meetings and other development-related meetings;</li> <li>• Collecting and keeping village information/data;</li> <li>• Submitting Village/Cell development priorities and proposals to the Parish/Ward Council for consideration;</li> <li>• Monitoring projects and other activities undertaken by the Government and NGOs in their area;</li> </ul>
Project Management Committee	<ul style="list-style-type: none"> <li>• Attending Village/Cell planning meetings and other development-related forums</li> <li>• Supporting implementation of development activities in their areas by providing project site security, mobilizing community contribution for project implementation, organizing meetings for project implementation, etc.</li> <li>• Undertaking any other development related activities.</li> </ul>

### 4.3.3 Non-state Planning Stakeholders

In order to ensure effective collaboration and complementarity, non-state actors will play a number of critical roles and responsibilities in the local government planning process. Non-state stakeholders will include:

- a. *NGOs/CBOs,*
- b. *Faith Based Organization's (FBO); and*
- c. *the Private Sector*

The most critical planning tasks to be played by non-state actors are summarized in box 9.

#### **Box 11: Planning Roles and Responsibilities for CSOs/NGOs, CBOs & FBOs**

- a. Participating in planning and budgeting meetings organized by Local Councils within their area of operation;
- b. Bringing in their expertise to render technical support to Local Councils during the planning processes;
- c. Contributing funds and logistics towards planning and budgeting processes as well as plan implementation in their respective areas of operation;
- d. Availing their plans and budgets for integration into the Local government development plans and budgets in their respective areas of operation.
- e. Providing information about their on-going and planned interventions for integration in the LG development plans
- f. Production and collection of spatial data and maps
- g. Involvement in M&E during implementation of the development plans

The private sector is comprised of various institutions including, though not limited to, producer associations; small-scale traders and farmers; Produce buyers and processors; SACCOs; chambers of commerce; service providers; etc. However, while, private sector is a critical stakeholder of the LG planning process, it has very weak institutional capability to participate. They therefore need to be specifically mobilized and facilitated.

## **CHAPTER FIVE:**

### **LGDP MONITORING AND EVALUATION STRATEGY**

#### **5.1 Purpose of LGDP Monitoring and Evaluation Strategy**

For LG development plans to be complete, they must have a Monitoring and Evaluation (M&E) strategy that will enable stakeholders to regularly and systematically track implementation of selected priorities and assess progress of the plan with regard to the agreed objectives and outcomes. As critical part of their development plans, Local Governments are therefore required to develop an M&E strategy. In order to maximize harmony between local and national Government M&E systems, the LGDP M&E strategy should be in line with the M&E Framework for the National Development plan both in structure and in indicator stipulation.

Besides serving harmonization objectives, the LGDP M&E strategy will also help Local Governments and other development actors to know, among others, the extent to which:

- The planned activities have been implemented
- The resources (funds, materials, or human resources) made available for plan implementation were adequate and timely
- Implemented activities resulted into the planned outputs.
- Realized Outputs resulted into envisaged outcomes.
- The plan met its goal, i.e. whether the plan brought about the desired changes in the lives of the targeted beneficiaries.

The LGDP M&E strategy will also serve other governance and administrative capacity enhancement objectives at different levels of local and national governments as well as those of other development partners.

#### **5.2 Values and Principles Guiding the LGDP Monitoring and Evaluation Strategy**

The LGDP M&E strategy should be based on the following values and principles:

- **Simplicity and lucidity:** M&E strategy should be simple and unambiguous but effective enough to capture the pertinent information required to guide planning and decision making at the various levels of local governments
- **Involvement of stakeholders including target beneficiaries:** The strategy will facilitate the participation of stakeholders and target beneficiaries in different processes of monitoring and evaluation. Participation of target beneficiaries (either directly or through representatives) is meant to enhance accountability and ownership of development activities.

- **Sustainability:** The strategy should provide for enhanced ownership of development activities as well as building capacity of stakeholders involved in the implementation of the LGDP.
- **Evidence Based:** As much as possible grassroots data will be used to support performance monitoring and evaluation.
- **Timeliness:** It is crucial that timely monitoring and evaluation functions are executed in time to enable effective learning, timely flexibility and ensure accountability

### 5.3 Scope of LGDP Monitoring and Evaluation Strategy

Through ex-ante evaluation, routine reporting, periodic reviews, and ex-post evaluations of planned Programmes and projects, the monitoring and evaluation strategy of LG development plans should provide mechanisms for:

- Conducting pre-implementation appraisal (evaluation of project ideas and feasibility assessments; etc.)
- Judging on Plan implementation (inputs, activities and outputs)
- Assessing relevance of Programmes and activities
- Assessing value and quality of results (intermediate and final outcomes)
- Assessment of efficiency (concerning use of resources) and effectiveness; and
- Assessment of impacts and their sustainability.

### 5.4 Elements of the LGDP M&E Strategy

Structurally, the M&E strategy for LG Development Plans will include definition of:

- Objectives of the M&E strategy
- Stakeholders in the LGDP M&E Function
- Development of LG M&E System
- Reporting Arrangements
- The LGDP Results and Reporting Matrix

#### 5.4.1 Objectives of the M&E Strategy

In line with the LGDP Results Framework, the objectives of the M&E strategy, as guided in section 5.1, should be customized to reflect both operational and accountability (governance) motives of M&E function.

#### 5.4.2 Stakeholders in the LGDP M&E Function

Institutionally, the local government M&E strategy is required to feed into the NDP M&E

results framework. At the national level, upward reporting shall be coordinated by the Ministry of Local Government. Under this responsibility, the Ministry of Local Government, as the leader of the local government department, shall be tasked to consolidate M&E information concerning development activities and feed it to the department reporting channels at the national level.

Besides MoLG, other line ministries, departments and agencies will integrate LG M&E reports in their periodic Programme reports as exemplified in table 12. The overriding strategy is not to duplicate monitoring and reporting efforts and frameworks, but to maximize synergies.

Some of the key national government M&E stakeholders and reporting frameworks to which local government M&E framework will partake are given in table 12.

**Table 12: National Level M&E Stakeholders and Frameworks Relevant to LGDP M&E Strategy**

Institution	Framework	Key features
The National Planning Authority	The National Development Report	<ul style="list-style-type: none"> <li>The National Development Report is an annual report produced by NPA to provide information on the country's current development status and the progress made against NDP indicators at all levels of the Plan's results framework. The report also covers the contribution of non-state actors</li> </ul>
	LG Certificate of Compliance Report (COC)	<ul style="list-style-type: none"> <li>The certificate of compliance is an annual assessment of the LGs' annual budgets to the LGDP and NDP</li> </ul>
Office of the Prime Minister (OPM)	Government Annual Performance Report	<ul style="list-style-type: none"> <li>The Government Annual Performance report assesses performance of Government MDAs and Local Governments against key objectives outlined in the National Development Plan, and the medium terms objectives and budget spending across main government departments implementing the NDP.</li> </ul>
	Annual National Assessment	<ul style="list-style-type: none"> <li>Annual assessment of minimum conditions and performance measures ascertains local government performance against basic services and functions. The assessment also gauges the level of compliance of local governments to the provisions of the laws and national guidelines.</li> </ul>
Ministries (Education, Water, Health, Works, etc.)	Programme Management information Systems (HMIS, EMIS, etc.), Ministerial Policy Statements and Annual Reports	<ul style="list-style-type: none"> <li>Most ministries, departments and agencies have got established MISs that regularly capture and communicate information regarding performance of the main services and functions that these ministries are supposed to deliver in local governments, the challenges and emerging issues experienced in the process of implementing annual budgets. These MISs are key in informing the annual Programme performance reports that are produced and presented to parliament by line ministries.</li> </ul>
	Programme Review Meetings	<ul style="list-style-type: none"> <li>A number of the line ministries hold bi-annual or annual joint Programme reviews where progress against budget commitments are assessed and specific undertakings for improvements are adopted including roadmaps to implement them</li> </ul>



Institution	Framework	Key features
Ministry of Finance	Budget Monitoring and Accountability Mechanisms	<ul style="list-style-type: none"> <li>MoFPED has got a Budget Monitoring and Accountability unit that tracks financial flows to LGs and monitors inputs, outputs and progress of implementation of government Programmes and projects included in annual budgets of government MDAs.</li> </ul>
	Performance Contracts (Performance Form B)	<ul style="list-style-type: none"> <li>Through Performance Contracts, MoFPED obliges all Local Government Accounting Officers to report against commitments made in the annual Performance contracts. This reporting is quarterly.</li> </ul>
Ministry of Public Service	Client Charters	<ul style="list-style-type: none"> <li>The Ministry of Public Service (MoPS) has started the process of developing client charters which define service standards and expectations between public bodies, and between service providers and users. Similar charters have been developed and agreed to by local governments.</li> </ul>

Internally, the monitoring and evaluation mandate in Local Governments is a responsibility of the Local Government administrative and leadership institutions including the local government councils, standing committees, executive committee, chief administrative offices, technical planning committees, etc. At the same time, Programme monitoring is also a technical role embedded in Programme/project execution frameworks and general service delivery mechanisms of local governments as well as those of collaborating CSOs and Development Partners. Table 13: outlines the main stakeholders and frameworks relevant to LGDP M&E strategy.

**Table 13: LG M&E Stakeholders and Frameworks Relevant to LGDP M&E strategy**

Institution	Framework	Key features
HLG Council	Internal LG reporting System	<ul style="list-style-type: none"> <li>Internal quarterly performance report produced by respective LG departments for submission to their councils through different Standing Committees. CSO reports should also be included in the respective department submissions</li> </ul>
	PBS standardized reports	<ul style="list-style-type: none"> <li>PBS standardized reporting framework provides for quarterly reporting of government expenditure on budgetary priorities</li> </ul>
CSOs and Community institutions	Social Accountability mechanisms such as Barazas and community dialogue forums;	<ul style="list-style-type: none"> <li>Decentralisation policy invokes participatory involvement of grassroots actors and beneficiaries in the monitoring and oversight function of development activities. CSOs empower the citizenry to demand accountability and participate in service delivery</li> </ul>
MoFPED and Local government Councils	PBS standardized Reports	<ul style="list-style-type: none"> <li>The Programme Budgeting System generates standardized reports that can be used by LGs to track performance on financial expenditure as well as physical performance of key LG investments.</li> </ul>
Line ministries	Results-based MIS	<ul style="list-style-type: none"> <li>Some of the MISs for line ministries are operationalised through district departments (e.g. health, water, education, road fund, etc.). These departments produce regular quarterly management reports.</li> </ul>
Different project structures etc.)	Project-based monitoring and reporting mechanisms	<ul style="list-style-type: none"> <li>Project –based monitoring and reporting mechanisms are as varied as the number of Programmes and projects running in a specific local government. The mechanisms are normally</li> </ul>

Institution	Framework	Key features
		operated in the departments running government Programmes and projects.

### 5.4.3 Development of LGDP M&E System

The LGDP M&E System comprises of the Management Information System (MIS) that needs to be established at higher and lower local government levels for internal management of the LG development plans as well as for reporting on the LGDP performance. Therefore, in developing their M&E strategy, local governments are required to link to both local government Management Information systems and NDP M&E system will entail:

- Development of performance indicators that are SMART (which should include baseline indicators) and can track cross cutting issues as well
- Setting performance targets that will be used to assess performance;
- Earmarking methodologies, participants and tools to be used in conducting different M&E activities;
- Setting the timeframes for different M&E activities/ events
- Identifying centres for receiving information generated by M&E events;
- Etc.

#### 5.4.4 Reporting Arrangements

##### 5.4.4.1 Progress Reporting

Local Government reporting requirements will largely include progress reports- quarterly and annual reports. LGDP Progress reporting should follow two processes namely; (i) **Physical Progress Reporting** and **Budget Performance Reporting**. For physical progress reporting, all LGDP implementing agencies will submit results-based progress reports following the LGDP Results and Reporting Matrix or any other M&E frameworks / tools that maybe introduced by NPA in future. Written progress reports will be supplemented by reports from field visits that will be conducted by different stakeholders (including LG, CSOs and national stakeholders). *See format of Consolidated LGDP Results and Reporting Matrix in Appendix 9.*

On the other hand, Budget performance reports should cover quarterly and annual financial performance (revenue and expenditure) from government and non-government actors. The local government budget performance report will be generated from the systems-based Performance Budgeting System (PBS). A format for financial reporting by non-government actors will be developed and agreed upon between respective Higher local governments and Local CSO forums.

The combined district quarterly performance reports will be submitted to NPA, MoFPED, OPM, and line ministries to facilitate national progress reporting by each of these institutions. NPA will produce a general format for district reporting.

#### **5.4.4.2      *Joint Annual LGDP Review***

To undertake regular appraisal of the progress across all LGDP activities, each district local government shall conduct annual joint reviews for all local government level LGDP stakeholders. The review will be based on the cumulative quarterly performance reports produced by the LG planning departments (DPDs) as well as on the first-hand experiences shared by LGDP implementing agencies. The annual joint review meetings shall be organized in May/ June of each FY and will be attended by all key development actors in the district including representatives of Municipal and LLGs, CSOs, FBOs, CBOs, PSO, and selected citizens interest groups (youth groups, women groups, Persons living with Aids (PLAs), Persons living with disabilities (PLWD), etc.). The LGDP management and coordination budgets for each district should provide for this activity.

#### **5.4.4.3      *LGDP Midterm and End of Plan Evaluation***

Led by District Planning Departments (DPD), mid-term reviews of LGDPs will be conducted two-and-a-half years into the Plans' implementation cycle and it will correspond with NDP midterm reviews. The purpose of the mid-term review is to assess progress of LGDP implementation against the set objectives. It is not expected that MTR exercise will come up with new priorities that will result into significant changes in development priorities included in the 5-year priorities although it will provide opportunity for implementers to communicate emerging situations which may have influence on the 5-year priorities including emergency development interventions taken up by a LG during the first two and a half years. The MTR exercise may also result into some changes in the set targets in line with changing situations and or emerging issues. The guidelines for MTR will be issued by NPA at the start of each MTR exercise and these will provide further guidance on the level of changes that can be expected to come from the MTR exercise.

Besides determining interim progress of Programmes and projects, a mid-term report review will include an assessment of challenges that could have inhibited the implementation of identified priority interventions, document lessons learned to improve implementation of remaining period of the plan and to inform the production of the next LDGP. After production, MTR reports will be presented to HLG leadership and administrative machinery including the DTPC, DEC, and councils. In addition, MTR reports will be discussed by joint forums comprised of all development stakeholders participating in the LGDP process. A copy of the LGDP midterm review report will be presented to NPA, and ministries, departments and agencies to inform the production of the next NDP and MDA Strategic Plans.

The LGDP end-of-plan evaluation will be conducted after five years of the Plan's implementation. The end-of plan evaluation will assess the overall effectiveness of the LGDP against its objectives and targets, and where possible, explore the short-term / intermediate impacts. The purpose of conducting the end of plan evaluation is to take stock of the total achievements over the five-year period in addition to generating lessons and recommendations to inform implementation of the subsequent LGDPs. NPA shall provide technical guidance and backstop the DPD in quality control of end-of plan evaluation reports.

#### **5.4.5 The LGDP Monitoring and Evaluation Matrix**

To facilitate alignment with the NDP monitoring and evaluation framework, LGDPs will adopt the same monitoring and evaluation matrix as that of NDPs. Each LG department implementing plan activities will complete a monitoring and evaluation matrix for the activities under its dominion. The matrix will be the primary guide for operationalizing the LGDP M&E strategy. *See format of LGDP Results Framework is provided in Appendix 8.*

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## **CHAPTER SIX:**

### **LGDP COMMUNICATION AND FEEDBACK STRATEGY**

An effective communication strategy is an essential element of LGDP implementation, monitoring and evaluation trajectories of the LGDP. Beyond production of M&E reports, it is critical that all stakeholders in the LGDP process are adequately informed about the content of these reports. In this case, an effective communication strategy will facilitate the transmission of monitoring and evaluation findings and recommendations to the respective centres where actions can be taken to address the issues that will be raised. In addition, it is essential that stakeholders do understand and comply with the objectives, the targeted long-term outcomes and the strategic directions pursued in the LGDP. On the other hand, an effective Communication strategy will also serve to actualize the required bottom-up influences presumed in the LGDP conceptual framework where local government priorities are expected to inform the selection of national development priorities. In addition, this strategy goes a long way in ensuring that access to information is promoted.

#### **6.1 The Importance of an effective Communication and feedback strategy in the LGDP Framework**

The LGDP communication strategy should be designed to serve the following purposes:

- Dissemination of local government Programmes/ projects and their progress reports to inform/create awareness amongst the local citizens
- Creation of awareness on the expected roles of the stakeholders in the implementation of the local government Programmes/projects, including LLGs, CSO, and community members
- Effective management of people's expectations with regard to delivery of public services by local governments.
- Strengthening public ownership of the LG plans
- Enhancing accountability and transparency in the implementation of the LG plans.
- Providing information for the NDP and the MDA strategic plans formulation.

#### **6.2 Values and Principles Guiding the LGDP Communication and Feedback Arrangements**

Overall, the LGDP communication strategy should serve the principles and values of the decentralization policy in Uganda including:

- Effective citizen participation and representation;
- Accountability, transparency and value for money
- Equity in service delivery;
- Effective management of the totality of state and non-state activities at the local level;
- Etc.

### **6.3 Elements of the Communication Strategy**

Structurally, the communication strategy for a LG development plan should:

- Outline the objective/goals of the communication function within the LGDP formulation and implementation processes
- Identify stakeholders and assign roles/ responsibilities for implementing the Communication Strategy
- Define key messages to be communicated
- Identify potential communication methods and means for disseminating information as well as mechanisms for obtaining feedback.

### **6.4 Grassroots Communication**

Grassroots-oriented communication is a special attribute of the communication strategy for LG plans. The government's decentralization policy invokes effective dissemination of LG plans to communities and citizens in order to foster downward accountability. Pursuant of this policy objective, the LGDP communication strategy should ensure:

- Development of summarized popular translated versions of plans, reports and other documents for use by community members;
- Availing copies of LG plans to CSOs and private sector organizations;
- Dissemination of LG plans through available government websites as well as those of collaborating entities.;
- Making use of print media, Baraza's and community dialogue forums to disseminate relevant information to the general public.

## ANNEXES

### Appendix 1: STRUCTURE OF LOCAL GOVERNMENT DEVELOPMENT PLANS FOR HLGS

**Cover Page** (Logo<sup>18</sup>; Name of Local government; Title of Plan<sup>19</sup>; Vision; Theme). 1 page

**Inner Page1** (Map of the district and Map of Uganda showing district location) – 1 page

**Inner Page2** (District vision statement; District Mission Statement, Core values)- 1 page

**Foreword** (By the District Chairperson/ Municipal Mayor)- 1 page

**Acknowledgement** (Statement by Chief Executive / Municipal Town Clerk)- **1 page**

**Table of Contents** (Automatically Generated)

**List of Tables – 1 page**

**List of Figures- 1 page**

**List of Acronyms - 1 – 2 pages**

**EXECUTIVE SUMMARY** (Summary of district Vision, mission, purpose, Broad development objectives/goals, Specific development objectives, investment priorities, list of unfunded priorities, strategies to finance, implement and coordinate the plan, etc.) 2-3 pages

#### 1.0 INTRODUCTION

##### 1.1 Background (1.1.1 to 1.1.3 – maximum 4 pages)

1.1.1 Context of the Local Government Development Plan (description of the past and present national/ local government development context, strategies, Programmes as well as historical developments / recent experiences that underpin/ inform/ influence the current development plan, including recent achievements, unfinished activities and emerging needs and lessons learnt)

1.1.2 Description of the Local Government Development planning process (processes, actors and timeframes / scheduling)

1.1.3 Structure of the Local Government Development plan (Arrangement and content of the different sections/chapters comprising the plan)

##### 1.2 District profile (Summarized information, 1.2.2- 1.2.5- maximum 4 pages)

1.2.1 Key Geographical information (soils, geophysical features, land use, vegetation, etc. focusing on the extent to which some of the key geographical and natural endowment features /characteristics of a LG have been affected by human activity, etc.)

1.2.2 Administrative structure (lower local governments and administrative units comprising the district)

1.2.3 Demographic characteristics (population size and structures disaggregated, critical demographic ratios and population densities for a LG or administrative units; labour force analysis; Migration issues analysis; refugee populations for hosting LGs, etc.)

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<sup>18</sup> LG Development plans should use authentic logos/emblems

<sup>19</sup>Local government Development Plan for..... - ..... FY

- 1.2.4 Natural Endowments (Natural resources and their rate of exploitation)
- 1.2.5 Social –economic infrastructure (*life standards indicators; Local economy analysis; livelihood patterns; human settlement patterns; productive resources and Economic Activities of a LG; etc.*)
- 2.0 SITUATION ANALYSIS (15-20 pages)**
  - 2.1 Analysis of District Potentials, Opportunities, Constraints and Challenges (Based on broad development Issues)
  - 2.2 LG Performance on Key development indicators
  - 2.3 Analysis of Development Situations (*Dimensions: Economic; Social and Cultural; and Environment*)
  - 2.4 Analysis of the State of Crosscutting Issues (*Integrate in 2.3, 2.5 and 2.5*)
  - 2.5 Analysis of urban development as guided by the Physical planning act and implementation guidelines
  - 2.6 Situation Analysis of LG Management and Service Delivery
  - 2.7 Summary of development issues informing the LGDP formulation
- 3.0 LGDP STRATEGIC DIRECTION AND PLAN (15-20 pages)**
  - 3.1 LG Vision and Mission
  - 3.2 Summary of adopted NDPIII Strategic Direction (Goal, Strategic Objectives and Programmes) and Strategies (Translated into local context)
  - 3.3 Key Development Results (Adopted/Adapts)
  - 3.4 Summary of Adopted/Adapted Programmes, Objectives and Result (Outcomes), Interventions and Outputs
- 4.0 LGDP IMPLEMENTATION, COORDINATION AND PARTNERSHIP FRAMEWORK (4 pages)**
  - 4.1 LGDP Implementation and coordination Strategy
  - 4.2 LGDP Institutional Arrangements
  - 4.3 LGDP Integration and Partnership Arrangements
  - 4.4 Pre-Requisites for Successful LGDP Implementation
- 5.0 LGDP FINANCING FRAMEWORKS AND STRATEGY (15-20 pages).**
  - 5.1 Summary of funding sources for the five years (*Source of funding – GoU, DPs, Local CSOs, Private sector, Off budget, Total Costs*)
  - 5.2 Summary of Programme costs for the five years (Based on Outcomes, outputs and Targets, annualized costs, funding sources- GOU, LR, DP, Private Sector)
  - 5.3 Summary of project costs for the five years (Based on Outcomes, outputs and Targets, annualized costs, funding sources- GOU, LR, DP, Private Sector)
  - 5.4 Resource mobilization strategy
- 6.0 LGDP MONITORING AND EVALUATION FRAMEWORK (maximum 5 pages)**
  - 6.1 LGDP Monitoring and Evaluation Arrangements
    - 6.1.1 LGDP Progress Reporting
    - 6.1.2 Joint Annual Review of LGDP
    - 6.1.3 LGDP Mid -term Evaluation
    - 6.1.4 LGDP End of Term Evaluation
  - 6.2 LLGDP Monitoring and Evaluation Matrix
  - 6.3 LGDP Communication and Feedback Strategy/ Arrangements



## **ANNEXES**

**Annex 1: Project Profiles**

**Annex 2: LGDP Results Framework**

**Annex 3: Cost Implementation Matrix**

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## Appendix 2: STRUCTURE OF LOCAL GOVERNMENT DEVELOPMENT PLANS FOR LLGS

**Cover Page** (Logo; Name of Lower Local government; Title of Plan<sup>20</sup>; Vision; Theme)

**Inner Page1** (Map of the LLG<sup>21</sup>; Map of District and Map of Uganda showing LLG and district location)

**Inner Page2** (District vision statement; District Mission Statement)

**Foreword** (by the LLG Chairperson)

**Acknowledgement** (Statement by LLG Chief Executive)

**Table of Contents** (Automatically Generated)

**List of Tables**

**List of Figures**

**List of Acronyms**

**EXECUTIVE SUMMARY** (summary of Broad development objectives/goals, Specific development objectives, investment priorities, list of unfunded priorities, strategies to finance, implement and coordinate the plan, etc.)

### 1.0 INTRODUCTION

#### 1.1 Background

1.1.1 Context of the Lower Local Government Development Plan (description of the past and present national/ local government development context, strategies, Programmes as well as historical developments / recent experiences that underpin/ inform/ influence the current development plan, including recent achievements, unfinished activities and emerging needs and lessons learnt)

1.1.2 Description of the Lower Local Government Development planning process (processes, actors and timeframes / scheduling)

1.1.3 Structure of the Lower Local Government Development plan (Arrangement and content of the different sections/chapters comprising the plan)

#### 1.2 LLG Profile (Summarized information- maximum 3 pages)

1.2.1 Key Geographical information

1.2.2 Administrative infrastructure

1.2.3 Demographic characteristics

1.2.4 Natural Endowments

1.2.5 Social –economic infrastructure

### 2.0 SITUATION ANALYSIS

2.1 Analysis of District Potentials, Opportunities, Constraints and Challenges (Based on broad development Issues)

2.2 Analysis of Development Situations (Dimensions: Economic; Social and Cultural; and Environment)

2.3 Analysis of the State of Crosscutting Issues (Integrate in 2.3, 2.5 and 2.5)

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<sup>20</sup>Local government Development Plan for..... - ..... FY

<sup>21</sup> When it is possible to have this map.

- 2.4 Summary of development issues informing the LGDP formulation

### **3.0 LGDP STRATEGIC DIRECTION**

- 3.1 LG Vision and Mission
- 3.2 Summary of adopted NDPIII Strategic Direction (Goal, Strategic Objectives and Programmes) and Strategies (Translated into local context)
- 3.3 Key Development Results (Adopted/Adapted)
- 3.4 Summary of Adopted/Adapted Programmes, Objectives and Result (Outcomes), Interventions and Outputs

### **4.0 LLGDP IMPLEMENTATION, CORDINATION AND PARTNERSHIP FRAMEWORK**

- 4.1 LLGDP Implementation and coordination Strategy
- 4.2 LLGDP Institutional Arrangements
- 4.3 LLGDP Integration and Partnership Arrangements
- 4.4 Pre-Requisites for Successful LLGDP Implementation

### **5.0 LLGDP FINANCING FRAMEWORKS AND STRATEGY**

- 5.1 Summary of funding sources for the five years (*Source of funding – GoU, DPs, Local CSOs, Private sector, Off budget, Total Costs*)
- 5.2 Summary of Programme costs for the five years (Based on Outcomes, outputs and Targets, annualized costs, funding sources- GOU, LR, DP, Private Sector)
- 5.3 Summary of project costs for the five years (Based on Outcomes, outputs and Targets, annualized costs, funding sources- GOU, LR, DP, Private Sector)
- 5.4 Resource mobilization strategy

### **6.0 MONITORING AND EVALUATION FRAMEWORK**

- 6.1 LLGDP Monitoring and Evaluation Arrangements
  - 6.1.1 LLGDP Progress Reporting
  - 6.1.2 Joint Annual Review of LLGDP
  - 6.1.3 LLGDP Mid -term Evaluation
  - 6.1.4 LLGDP End of Term Evaluation
- 6.2 LLGDP Monitoring and Evaluation Matrix
- 6.3 LLGDP Communication and Feedback Strategy/ Arrangements

## **ANNEXES**

**Annex 1: Project Profiles**

**Annex 2: LGDP Results Framework**

**Annex 3: Cost Implementation Matrix**

### Appendix 3: FRAMEWORK FOR PROJECT PROFILES FOR HLG AND LLG DEVELOPMENT ACTIVITIES

STRUCTURE OF THE NDPIII PIP	
PROJECT SUMMARY	
Project Title	<i>(Let the title be as clear as possible, avoiding duplication of names within the LGDP Investment Plan).</i>
LGDP Programme Description	(Adapted NDP Programme)
LGDP Programme	
Vote Function	
Vote Function Code	
Implementing Agency	(CG, HLG, NGO, LLG, etc)
Project Code	
Location	(District headquarters, sub-counties, parishes, villages)
Estimated Project Cost	<i>Quote figures in UGX</i>
Current stage of project implementation at commencement of LGDP	
Funding Secured	From all sources
Total funding gap	Required budget to complete the project
Project Duration/Life span (Financial Years)	Start date:
	End date:
Officer Responsible	
PROJECT INTRODUCTION	
Problem Statement	Problem to be addressed
	Causes of the problem
Situation Analysis	Past achievements to address the problem (include figures to support the achievements in terms of outputs and budget allocations)
	Ongoing interventions (include figures to support the achievements of outputs and budget allocations)
	Challenges
	Crosscutting aspects
Relevance of the project idea	Alignment to NDP, MDA Strategic Plans and Agency plans
Stakeholders	Direct beneficiaries
	Indirect beneficiaries
	Likely project affected persons
Project objectives/outcomes/outputs	Objectives
	Outcomes
	Outputs
Project inputs/activities/interventions	Inputs
	Activities
	Interventions
STRATEGIC OPTIONS	
Strategic options (indicate the existing asset, non-asset, and new asset solution)	Alternative means of solving the problem stating the advantage and disadvantages of each
	Alternative means of financing stating the advantages and disadvantages of each
	Comparison of the alternatives, indicate methodologies used in the assessment

STRUCTURE OF THE NDPIII PIP											
PROJECT SUMMARY											
	Selected approach, highlight reasons for the superiority of the proposed approach/project										
Coordination with government agencies	Indicate the roles of other stakeholders respecting legal and policy mandates, embrace integrated planning, define the roles of each agency in project implementation										
PROJECT ANNUALISED TARGETS (OUTPUTS)											
Project annualized targets	Output	Year 0	Year 1	Year 2	Year 3	Year 4	Year 5				
	Output1										
	Output2										
	Output3										
	Output4										
	Output5										
	Etc.										
ESTIMATED PROJECT COST AND FUNDING SOURCES											
Project annualized cost	Output1	Source	Cum. Exp. Up to 2019/20	Yr.1	Yr.2	Yr.3	Yr.4	Yr.5	Recurrent (%)	Capital (%)	
		GOU									
		Donor									
		OSR									
		NGO									
		PS									
		Output2	GOU								
			Donor								
		OSR									
		NGO									
		PS									
		Output3	GOU								
			Donor								
			OSR								
	NGO										
	PS										
	Etc.										
	Total										
	PLANNED CUMULATIVE IMPLEMENATATION PERCENTAGE PROGRESSION										

STRUCTURE OF THE NDPIII PIP								
PROJECT SUMMARY								
Percentage progress	Output	Year 0	Year 1	Year 2	Year 3	Year 4	Year 5	
	Overall project progress (%)							
	Output1							
	Output2							
	Output3							
	Output4							
	Output5							
	Etc.							
RESULTS MATRIX								
Results matrix	Objective Hierarchy and Description	Indicators	Means of Verification	Baseline	Target	Assumptions		
	Goal							
	Outcomes							
	Outputs							
	Activities							

#### Appendix 4: SUMMARY OF PPROJECT COSTS AND SOURCE OF FINANCING

Programme description										
Project Name	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	GoU budget	LG Budget	Devt Partners off Budget	Unfunded	Total
<b>Programme:</b>										
Project 1										
Project 2										
Project 3										
Project 4										
Project 5										
Etc.										
<b>Programme:</b>										
Project 1										
Project 2										
Project 3										
Etc.										

**Appendix 5: FORMAT OF PROGRAMME IMPLEMENTATION ACTION PLAN (PIAP) WITH ILLUSTRATION FOR ADOPTION**

Intervention (Adopted/Adapted)	Output (Adopted/ Adapted)	Output Indicators (Adopted/ Adapted)	Action (Strategic activity)	FY2020/21		FY2021/22		FY2022/23		FY2023/24		FY2024/25		Implementing Entity/Agency/ HLG Department/LLG	
				Target (Localized)	Budget (Ushs. Million)	Target (Localized)	Budget (Ushs. Million)	Target (Localized)	Budget (Ushs. Million)	Target (Localized)	Budget (Ushs. Million)	Target (Localized)	Budget (Ushs. Million)		
Objective 1: Stimulate the growth potential of the sub-regions through area-based agribusiness LED initiatives (Adopted/Adapted)															
1.1 Organize farmers into cooperatives at district level	District Farmers’ cooperatives established	Number of farmers in cooperatives/associations	Support formation of Farmers’ Cooperatives	56	78.40	56	78.40	56	78.40	56	78.40	56	78.40	LGs, MOLG MAAIF, Groupings Farmers	
			Support agricultural production, processing and marketing												
1.2 Strengthen agricultural extension services through increased supervision and implementation of the parish model	Agricultural extension services established at parish level	Number of parishes with functional agricultural extension services	Engage private agricultural extension experts at parish level	5,504	318.14	5,504	348.14	5,504	448.14	5,504	348.14	5,504	348.14	LGs, Farmers' Groups. MAAIF, CSOs	
			Provide critical farm inputs to farming households												
Etc.															
Objective 2: Strengthen and develop regional based value chains for LED (Adopted/Adapted)															
2.1 Develop community access and motorable feeder roads for market access	More community access roads constructed/extended to productive areas	Number of parishes connected to motorable community access roads	Construct/open access roads leading to productive areas of the regions	8,960	344.96	4,480	234.08	4,480	234.08	4,480	234.08	4,480	234.08	MWT, URF, LGs	
			Rehabilitate and maintain existing district, urban and community access roads												
			Maintain existing district, urban and community access roads												
Etc.															
Objective 3: Etc.															
Total															

### Appendix 6: FORMAT OF ANNUALISED WORK PLAN

Devt Outputs	Planned Activities (Projects)	Timeframe with quantified outputs)					Responsible Parties	Planned Budget	
		Qtr 1	Qtr 1	Qtr 1	Qtr 1	Annual		Source of Fund	Amount
Programme: Outcome									
Programme 1:									
Output 1									
Output 2									
Output 3									
Total Sub-Programme									
Programme 2:									
Output 1									
Programme Total									
Overall Total									

### Appendix 7: FORMAT OF COST IMPLEMENTATION MATRIX

Outcomes	Output	Source	Total Cost	Annualized Estimated Costs					Budget Component		Unsecured Fund	
				Yr.1	Yr.2	Yr.3	Yr.4	Yr.5	Recurrent	Capital	Total	Cost
Outcomes	As outlined in the LGDP Results and Report Matrix	All sources	Summation of (3,4,5,6,7) = (8,9)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(8,9)	
Outcome 1	Output1	GOU										
		Donor										
		LR										
		NGO										
		PS										
	Output2	GOU										
		Donor										
		LR										
		NGO										
		PS										
	Output3	GOU										
		Donor										



Outcomes	Output	Source	Total Cost	Annualized (UGX)	Estimated	Costs	Budget Component	Unsecured Fund
		LR						
		NGO						
		PS						
Etc.								

#### Appendix 8: FORMAT OF LGDP RESULTS FRAMEWORK

Level of Results	Description of Results	Indicator	Base Year Value (Yr -0)	Year 1 Target	Year 2 Target	Year 3 Target	Year 4 Target	Year 5 Target
LGDP Goal	Final Outcomes (Impact)							
LGDP Strategic Objective 1	LG Outcome 1							
	LG Outcome 2							
	LG Outcome 3							
	LG Outcome 4							
Strategic Objective 2	LG Outcome 1							
Strategic Objective 3	LG Outcome 2							
	LG Outcome 3							
	LG Outcome 4							
Strategic Objective 4; Etc.								
<b>Programme 1:</b>	<b>Title</b>							
Adapted Programme Objective 1	Intermediate Result (Outcome 1)							
	Intermediate outcomes (Outcome 2)							
	Intermediate Result (Outcome 3)							
	Intermediate Result (Outcome 4)							
Adapted Intervention 1	Outputs/immediate outcomes (Output 1)							
Adapted Intervention 2	Outputs/immediate outcomes (Output 2)							
Adapted Intervention 3	Outputs/immediate outcomes (Output 3)							
Etc.								
Adapted Programme Objective 2	Intermediate Result							

Level of Results	Description of Results	Indicator	Base Year Value (Yr -0)	Year 1 Target	Year 2 Target	Year 3 Target	Year 4 Target	Year 5 Target
	(Outcome 1)							
	Intermediate Result (Outcome 2)							
	Intermediate Result (Outcome 3)							
Adapted Intervention 1	Outputs/immediate outcomes (Output 1)							
Adapted Intervention 2	Outputs/immediate outcomes (Output 2)							
Adapted Intervention 3	Outputs/immediate outcomes (Output 3)							
Programme 2:	<b>Title</b>							
Etc.								

## Appendix 9: FORMAT OF CONSOLIDATED LGDP RESULTS AND REPORTING MATRIX

NDP Programme 1:										
<b>Adapted Programme Objectives</b>	<b>LG Programme Outcome</b>	<b>Outcome indicator</b>	<b>Base Yr value</b>	<b>Yr 1 Progress</b>	<b>Yr 2 Progress</b>	<b>Yr 3 Progress</b>	<b>Yr 4 Progress</b>	<b>Yr 5 Progress</b>	<b>Data Source</b>	<b>Freq./ Periodicity</b>
1.	1.									
	2.									
2.	1.									
	2.									
	<b>Output</b>	<b>Output indicator</b>	<b>Base Yr value</b>	<b>Yr 1 Performance</b>	<b>Yr 2 Performance</b>	<b>Yr 3 Performance</b>	<b>Yr 4 Performance</b>	<b>Yr 5 Performance</b>	<b>Data Source</b>	<b>Freq./ Periodicity</b>
Adapted Programme interventions	E.g. Volume of agriculture produce per household									
1.										
2.										
NDP Programme 2:										
Etc.										

## Appendix 10: LLG PLANNING TOOLS

### TOOL 1: COMMUNITY / VILLAGE DATA COLLECTION/ INVENTORY TOOLS

Inventory Sheet: Water Facility							
Parish:				Date:			
				Sub-County:			
<b>Existing Facilities per Village</b>							
<b>Borehole</b>							
	Location of Facility	Number of Households	Condition	Fence	Latrine within 50	Pipe	Remarks (defective aspect if any)
1			Functional / Not	Yes / No	Yes / No	Iron / PVC	
2			Functional / Not	Yes / No	Yes / No	Iron / PVC	
3			Functional / Not	Yes / No	Yes / No	Iron / PVC	
4			Functional / Not	Yes / No	Yes / No	Iron / PVC	
<b>Shallow Well</b>							
	Location of Facility	Number of Households	Condition	Fence	Latrine within 50	Pipe	Remarks (defective aspect if any)
1			Functional / Not	Yes / No	Yes / No	Iron / PVC	
2			Functional / Not	Yes / No	Yes / No	Iron / PVC	
3			Functional / Not	Yes / No	Yes / No	Iron / PVC	
4			Functional / Not	Yes / No	Yes / No	Iron / PVC	
<b>Protected Spring</b>							
	Location of Facility	Number of Households	Condition		Latrine within 50	Pipe	Remarks (defective aspect if any)
1			Functional / Not		Yes / No	Iron / PVC	
2			Functional / Not		Yes / No	Iron / PVC	
3			Functional / Not		Yes / No	Iron / PVC	
4			Functional / Not		Yes / No	Iron / PVC	
<b>Piped Water</b>							
	Location of Facility	Number of Households	Condition		Pipe		Remarks (defective aspect if any)
1			Functional / Not		Iron / PVC		
2			Functional / Not		Iron / PVC		
3			Functional / Not		Iron / PVC		
4			Functional / Not		Iron / PVC		
NB: This sheet should be compiled by Parish Chief with assistance from Health Assistant.							

Inventory Sheet: Pre-Primary, Primary School and Secondary								
Name of School:			Category: Government / Community / Private			Date:		
Village:						Parish:		
Enrollment: Total ( ): Male ( ) Female ( )						Sub-County:		
Land size of the facility: M2			Land Issue (if any):					
<b>Existing Facilities per School</b>						P: Permanent T: Temporary		
1	Classrooms	Construction Year	Structure	Number		Other room such as Library / changing room	Lightening Arrestor	Remarks: Non-functional room if any
				Class-	Office			
	Classroom Block 1		P / T				Yes / No	
	Classroom Block 2		P / T				Yes / No	
	Classroom Block 3		P / T				Yes / No	

## Inventory Sheet: Pre-Primary, Primary School and Secondary

	Classroom Block 4		P / T				Yes / No	
	Classroom Block 5		P / T				Yes / No	
	Classroom Block 6		P / T				Yes / No	
2	Latrines	Construction Year	Drainable / Not	Number of Stances	Boys/Girls/Teachers	Remarks: Non-functional facility if any		
	Latrine Block 1		D / Not					
	Latrine Block 2		D / Not					
	Latrine Block 3		D / Not					
3	Teacher Accommodation	Construction Year	Structure	Number of Units	Lightening Arrestor	Remarks: Non-functional unit if any		
	Teacher House Block 1		P / T		Yes / No			
	Teacher House Block 2		P / T		Yes / No			
	Teacher House Block 3		P / T		Yes / No			
	Teacher House Block 4		P / T		Yes / No			
4	Basic Facility	Construction Year	Number of Units		Remarks Non-functional facility if any			
	Borehole							
	Water Harvesting Tank							
	Fence				Natural fence (e.g. Trees) / Barbed wire / Chain link			
5	Furniture	Number	Non-Functional one if any		Remarks			
	Desk for Pupil							
	Book shelf							
6	Other Facility	Number	Non-Functional one if any		Remarks			

### Teachers

	Category	Total	Number of Male/Female	Remarks
1	Teacher (Degree Holder)		Male ( ) Female ( )	
2	Teacher (Grade V)		Male ( ) Female ( )	
3	Teacher (Grade III)		Male ( ) Female ( )	
4	Parents Teacher (untrained)		Male ( ) Female ( )	
5	Special Needs		Male ( ) Female ( )	
6				

NB: This sheet should be compiled by Parish Chief with assistance from School Head Teacher.

## Inventory Sheet: Road

Parish:			Date:
Sub-County:			
Existing Road per Parish			
National Road			
	Name of the road (or starting point and ending point)	Length in kilometers	Remarks:
1			
2			

## Inventory Sheet: Pre-Primary, Primary School and Secondary

### District Road

	Name of the road (or starting point and ending point)	Length in kilometers	Remarks:
1			
2			

### Community Access Road (CAR)

	Name of the road (or starting point and ending point in the parish)	Length	Public Facilities accessible through this CAR	Connecting to National/ District Road	Condition	Upgrading / Rehabilitation	
						Year	Remarks
1				Yes / No			
2				Yes / No			
3				Yes / No			
4				Yes / No			

NB: This sheet should be compiled by Parish Chief.

## Inventory Sheet: HC II

Name of HC:				Date:			
Parish:				Sub-County:			
Population of Catchment Area:				Total Number of Patients during the last FY:			
Land Size of the Facility: M <sup>2</sup>				Land Issue (if any):			
Existing Facilities per Health Center				P: Permanent T: Temporary			
1	OPD		Construction Year:				
			Quantity	Functionality	Remarks: Non-functional aspect if any		
	1	Consultation Room		Functional / Not			
	2	Dressing Room		Functional / Not			
	3	Injection Room		Functional / Not			
	4	Drug Dispensing Room		Functional / Not			
	5	Store		Functional / Not			
	6	Equipment		Functional / Not			
		Fridge		Functional / Not			
		Examination Bed		Functional / Not			
		Lightening Arrestor		Functional / Not			
				Functional / Not			
				Functional / Not			
2	Latrine		Construction Year	Drainable / Not	Number of	Staff/Patient	Remarks: Non-functional stance if any
	Latrine Block 1			D / Not		S / P	
	Latrine Block 2			D / Not		S / P	

## Inventory Sheet: HC II

	Latrine Block 3		D / Not		S / P	
3	Staff House	Construction Year	Structure	Number of Units	Lightening Arrestor	Remarks: Non-functional unit if any
	Staff House Block 1		P / T		Yes / No	
	Staff House Block 2		P / T		Yes / No	
	Staff House Block 3		P / T		Yes / No	
	Staff House Block 4		P / T		Yes / No	
4	Other Facility and Equipment	Construction Year	Number of Units		Remarks: Non-functional item if any	
	Borehole					
	Water Harvesting Tank					
	Fence				Natural fence (e.g. Trees) / Barbed wire / Chain link	
	Solar System					
	Incinerator					

### Major Diseases

	Name	Number of Patients during the last FY	Remarks
1			
2			
3			

### Number of Staff

	Staff Category	Total	Number of Male/Female	Remarks
1	Senior Clinical Officer		Male ( ) Female ( )	
2	Clinical Officer		Male ( ) Female ( )	
3	Registered Nurse		Male ( ) Female ( )	
4	Enrolled Nurse		Male ( ) Female ( )	
5	Registered Mid-Wife		Male ( ) Female ( )	
6	Enrolled Mid-Wife		Male ( ) Female ( )	
7	Nurse		Male ( ) Female ( )	
8	Nursing Assistant		Male ( ) Female ( )	
9	Health Assistant		Male ( ) Female ( )	
10	Porter		Male ( ) Female ( )	
11	Askari		Male ( ) Female ( )	

NB: This sheet should be compiled by Parish Chief with assistance from In-Charge Health Center.

## Inventory Sheet: HC III

Name of HC:	Date:
Parish:	Sub-County:
Population of Catchment Area:	
Number of Patients during the last FY:	Number of HC Inpatients during the last FY:
Land Size of the Facility: M2	Land Issue (if any):

# Inventory Sheet: HC III

Existing Facilities per Health Center

P:

Permanent

T: Temporary

	OPD		Construction Year:		
			Number	Functionality	Remarks: Non-functional aspect if any
1	1	Consultation Room		Functional / Not	
	2	Dressing Room		Functional / Not	
	3	Injection Room		Functional / Not	
	4	Delivery Room		Functional / Not	
	5	Drug Dispensing Room		Functional / Not	
	6	Store		Functional / Not	
	7	Equipment		Functional / Not	
		Fridge		Functional / Not	
		Examination Bed		Functional / Not	
		Lightening Arrestor		Functional / Not	
2	General Ward		Construction Year:		
			Number	Functionality	Remarks: Non-functional aspect if any
	1	Consultation Room		Functional / Not	
	2	Dressing Room		Functional / Not	
	3	Injection Room		Functional / Not	
	4	Drug Dispensing Room		Functional / Not	
	5	Patient Administration Room		Functional / Not	
	6	Store		Functional / Not	
	7			Functional / Not	
	8			Functional / Not	
	9			Functional / Not	
	10	Equipment		Functional / Not	
		Fridge		Functional / Not	
		Examination Bed		Functional / Not	
		Bed		Functional / Not	
		Lightening Arrestor		Functional / Not	
				Functional / Not	
3	Maternity Ward		Construction Year:		
			Number	Functionality	Remarks: Non-functional aspect if any
	1	Consultation room		Functional / Not	
	2	Post Natal Room		Functional / Not	
	3	Labour Room		Functional / Not	
	4	Store		Functional / Not	
	5	Bathroom		Functional / Not	
	6	Toilet		Functional / Not	
	7			Functional / Not	
	8	Equipment		Functional / Not	
		Fridge		Functional / Not	
		Bed		Functional / Not	
		Placenta Pit		Functional / Not	
		Lightening Arrestor		Functional / Not	
				Functional / Not	



## Inventory Sheet: HC III

4	Latrine	Construction Year	Drainable / Not	Number of Stances	Staff/Patient	Remarks: Non-functional stance if any
	Latrine Block 1		D / Not		S / P	
	Latrine Block 2		D / Not		S / P	
	Latrine Block 3		D / Not		S / P	
	Latrine Block 4		D / Not		S / P	
5	Staff House	Construction Year	Structure	Number of Units	Lightening Arrestor	Remarks: Non-functional unit if
	Staff House Block 1		P / T		Yes / No	
	Staff House Block 2		P / T		Yes / No	
	Staff House Block 3		P / T		Yes / No	
	Staff House Block 4		P / T		Yes / No	
	Staff House Block 5		P / T		Yes / No	
	Staff House Block 6		P / T		Yes / No	
6	Other Facility and Equipment	Construction Year	Number of Units		Remarks: Non-functional unit if any	
	Borehole					
	Water Harvesting Tank					
	Fence				Natural fence (e.g. Trees) / Barbed wire /	
	Solar System					
	Incinerator					
<b>Major Diseases</b>						
	Name	Number of Patients during the last FY		Remarks		
1						
2						
3						
<b>Number of Staff</b>						
	Staff Category	Total	Number of Male/Female		Remarks	
1	Senior Clinical Medical Officer		Male ( ) Female ( )			
2	Medical Clinical Officer		Male ( ) Female ( )			
3	Senior Clinical Officer		Male ( ) Female ( )			
4	Clinical Officer		Male ( ) Female ( )			
5	Senior Registered Nurse		Male ( ) Female ( )			
6	Enrolled Clinical Nurse		Male ( ) Female ( )			
7	Registered Nurse		Male ( ) Female ( )			
8	Registered Mid-Wife		Male ( ) Female ( )			
9	Enrolled Mid-Wife		Male ( ) Female ( )			
10	Nurse		Male ( ) Female ( )			
11	Nursing Assistant		Male ( ) Female ( )			

## Inventory Sheet: HC III

12	Laboratory Technician		Male ( ) Female ( )	
13	Lab Assistant		Male ( ) Female ( )	
14	Record Assistant		Male ( ) Female ( )	
15	Health Assistant		Male ( ) Female ( )	
16	Porter		Male ( ) Female ( )	
17	Askari		Male ( ) Female ( )	

NB: This sheet should be compiled by Parish Chief with assistance from In Charge Health Center.

## Inventory Sheet: Production

Parish: \_\_\_\_\_ Date: \_\_\_\_\_

Sub County: \_\_\_\_\_

### Existing Facilities per Parish

	Type of Facility	Number	Non-Functional Facility if any	Other Info
1	Store Building			
2	Market Stall			
3	Latrine at Market			_____stances
4	Cattle Crush			
5	Fish Pond			
6	Valley Dam			
7	Apiary (bee)			
8	Ox Plough for Hire			
9	Animal Carts			
10	Human Carts			
11				

NB: This part should be compiled by Parish Chief with assistance from S/C Extension Officer(s).

### Community Based Service

#### Existing Facilities at Parish

	Type of Facility	Number	Non-Functional Facility if any.	Other Info
1	Youth Center			
2	Community Hall			
3	Counselling Center			
4	Functional Adult Literacy Learning Center			
5	Early Childhood Development Center			
6				

NB: This part should be compiled by Parish Chief with assistance from S/C CDO.

## TOOL 2: COMMUNITY / VILLAGE PROPOSAL SHEETS

## Village Proposal Sheet: Water

Name of Sub-County:	Number of Households:
Name of Parish:	Total Population:
Name of Village:	Number of Female:
	Number of Male:

<b>Village Proposal Sheet: Water</b>					
Community Priority	Old / New	Location	Maximum walking distance to the nearest water	Number of households to use	Remarks (community facility around the proposed project, potential risk, alternative, etc)
	O / N				
	O / N				
	O / N				
* <u>O</u> ld means existing priority identified and requested before; <u>N</u> ew means newly emerging need.					
Name of LC 1:					
Sign and Official Stamp:					
Date:					

<b>Village Proposal Sheet: Education (Pre-Primary, Primary Schools, Secondary &amp; Vocational)</b>					
Name of Sub-County:			Number of Households:		
Name of Parish:			Total Population:		
Name of Village:			Number of Female:		
			Number of Male:		
Community Name of School	Priority/	Old / New	Location of the School (Village/Parish)	Requested facilities/ equipment and the numbers	Remarks (conditions related to urgency,
		O / N			
		O / N			
		O / N			
* <u>O</u> ld means existing priority identified and requested before; <u>N</u> ew means newly emerging need.					
Name of LC 1:					
Sign and Official Stamp:					
Date:					

<b>Village Proposal Sheet: Road</b>					
Name of Sub-County:			Number of Households:		
Name of Parish:			Total Population:		
Name of Village:			Number of Female:		
			Number of Male:		
Community Priority	Old / New	Location of the Road proposed to be improved	Kilometers (length) of the Road	Remarks (community facility near or to be linked by the concerned road, potential risk, alternative means of	
	O / N				
	O / N				
	O / N				
* Old means existing priority identified and requested before; New means newly emerging need.					

<b>Village Proposal Sheet: Road</b>		
Name of LC 1:		
Sign and Official Stamp:		
Date:		

<b>Village Proposal Sheet: Health (Health Center)</b>					
Name of Sub-County:			Number of Households:		
Name of Parish:			Total Population:		
Name of Village:			Number of Female:		
			Number of Male:		
Community Name of HC	Priority/ New	Old / New	Location of the HC (Village/Parish)	Requested facilities/equipment and	Remarks (conditions related to urgency, potential risk, alternative means of service)
		O / N			
		O / N			
		O / N			
* Old means existing priority identified and requested before; New means newly emerging need.					
Name of LC 1:					
Sign and Official Stamp:					
Date:					

<b>Village Proposal Sheet: Production</b>					
Name of Sub-County:			Number of Households:		
Name of Parish:			Total Population:		
Name of Village:			Number of Female:		
			Number of Male:		
Community Priority	Old / New	Location	Maximum walking distance to the	Number of households to use the proposed service	Remarks (community facility around the
	O / N				
	O / N				
	O / N				
	O / N				
* Old means existing priority identified and requested before; New means newly emerging need.					
Name of LC 1:					
Sign and Official Stamp:					
Date:					

<b>Village Proposal Sheet: Natural Resources</b>		
Name of Sub-County:		Number of Households:

Village Proposal Sheet: Natural Resources						
Name of Parish:				Total Population:		
Name of Village:				Number of Female:		
				Number of Male:		
Community Priority	Old / New	Location	Status	Maximum walking distance to the	Number of households to use the proposed service	Remarks (community)
	O / N					
	O / N					
	O / N					
	O / N					
		* Old means existing priority identified and requested before; New means newly emerging need.				
Name of LC 1:						
Sign and Official Stamp:						
Date:						

### TOOL 3: PARISH / WARD SCORING SHEET FOR PRIORITIZATION

Parish Priority Sheet: Production					
Name of Parish:		Name of LC II Chairperson:		Date :	Sign :
Rank	Community Priority	Village Name	Location	Maximum walking distance to the nearest production	Number of households to use
1	Main reason for this ranking and additional vital information (e.g. other community facility around the proposed priority, potential risk, alternative, etc.)				
2	Main reason for this ranking and additional vital information (e.g. other community facility around the proposed priority, potential risk, alternative, etc.)				
3	Main reason for this ranking and additional vital information (e.g. other community facility around the proposed priority, potential risk, alternative, etc.)				
4	Main reason for this ranking and additional vital information (e.g. other community facility around the proposed priority, potential risk, alternative, etc.)				
5	Main reason for this ranking and additional vital information (e.g. other community facility around the proposed priority, potential risk, alternative, etc.)				

Parish Priority Sheet: Health (Health Center)					
				June 2018 ver.	
Name of Parish:		Name of LC II Chairperson:	Date :	Sign:	
Rank	Community Priority	Health Center name/ Village name	Requested facilities/equipment and the numbers	Population of catchment area	Population of the parish
1	Main reason for this ranking and additional vital information (e.g. Conditions in terms of urgency, alternative means of service provision, potential risk, etc.)				

2					
	<b>Main reason for this ranking and additional vital information</b> (e.g. Conditions in terms of urgency, alternative means of service provision, potential risk, etc.)				
3					
	<b>Main reason for this ranking and additional vital information</b> (e.g. Conditions in terms of urgency, alternative means of service provision, potential risk, etc.)				
4					
	<b>Main reason for this ranking and additional vital information</b> (e.g. Conditions in terms of urgency, alternative means of service provision, potential risk, etc.)				
5					
	<b>Main reason for this ranking and additional vital information</b> (e.g. Conditions in terms of urgency, alternative means of service provision, potential risk, etc.)				
6					
	<b>Main reason for this ranking and additional vital information</b> (e.g. Conditions in terms of urgency, alternative means of service provision, potential risk, etc.)				

## Parish Priority Sheet: Water

					<b>June 2018 ver.</b>
Name of Parish:		Name of LC II Chairperson:		Date :	Sign :
<b>Rank</b>	<b>Community Priority</b>	<b>Village Name</b>	<b>Location</b>	<b>Maximum walking distance to the nearest</b>	<b>Number of households to use the proposed facility</b>
1					
	<b>Main reason for this ranking and additional vital information</b> (e.g. conditions in terms of urgency, alternative service delivery point, potential risk, etc.)				
2					
	<b>Main reason for this ranking and additional vital information</b> (e.g. conditions in terms of urgency, alternative service delivery point, potential risk, etc.)				
3					
	<b>Main reason for this ranking and additional vital information</b> (e.g. conditions in terms of urgency, alternative service delivery point, potential risk, etc.)				
4					
	<b>Main reason for this ranking and additional vital information</b> (e.g. conditions in terms of urgency, alternative service delivery point, potential risk, etc.)				
5					
	<b>Main reason for this ranking and additional vital information</b> (e.g. conditions in terms of urgency, alternative service delivery point, potential risk, etc.)				
6					
	<b>Main reason for this ranking and additional vital information</b> (e.g. conditions in terms of urgency, alternative service delivery point, potential risk, etc.)				

## Parish Priority Sheet: Education (Primary & Pre-Primary Schools)

				<b>June 2018 ver.</b>	
Name of Parish:		Name of LC II Chairperson:		Date :	Sign:
<b>Rank</b>	<b>Community Priority</b>	<b>School Name/ Village Name</b>	<b>Requested facilities/equipment and their numbers</b>	<b>Number of pupils at the school</b>	
1					
	<b>Main reason for this ranking and additional vital information</b> (e.g. Conditions in terms of urgency, alternative means of service provision, potential risk, etc.)				
2					

	<b>Main reason for this ranking and additional vital information</b> (e.g. Conditions in terms of urgency, alternative means of service provision, potential risk, etc.)			
3				
	<b>Main reason for this ranking and additional vital information</b> (e.g. Conditions in terms of urgency, alternative means of service provision, potential risk, etc.)			
4				
	<b>Main reason for this ranking and additional vital information</b> (e.g. Conditions in terms of urgency, alternative means of service provision, potential risk, etc.)			
5				
	<b>Main reason for this ranking and additional vital information</b> (e.g. Conditions in terms of urgency, alternative means of service provision, potential risk, etc.)			
6				
	<b>Main reason for this ranking and additional vital information</b> (e.g. Conditions in terms of urgency, alternative means of service provision, potential risk, etc.)			

<b>Parish Priority Sheet: Road</b>					
					June 2018 ver.
Name of Parish:		Name of LC II Chairperson:		Date:	Sign:
Rank	Community Priority	Village Name	Location of the road	Kilometers (length) of the proposed road	Population of the Parish
1					
	<b>Main reason for this ranking and additional vital information</b> (e.g. Community facility near or to be linked by the road, potential risk, alternative, etc.)				
2					
	<b>Main reason for this ranking and additional vital information</b> (e.g. Community facility near or to be linked by the road, potential risk, alternative, etc.)				
3					
	<b>Main reason for this ranking and additional vital information</b> (e.g. Community facility near or to be linked by the road, potential risk, alternative, etc.)				
4					
	<b>Main reason for this ranking and additional vital information</b> (e.g. Community facility near or to be linked by the road, potential risk, alternative, etc.)				
5					
	<b>Main reason for this ranking and additional vital information</b> (e.g. Community facility near or to be linked by the road, potential risk, alternative, etc.)				
6					
	<b>Main reason for this ranking and additional vital information</b> (e.g. Community facility near or to be linked by the road, potential risk, alternative, etc.)				

**TOOL 4: SUB-COUNTY / DIVISION BASIC INFORMATION SHEET**

<b>Basic Information Sheet (Water)</b>										<b>Date:</b>		
<b>Name of Sub-County:</b>					<b>Name of CDO:</b>					<b>Sign:</b>		
	1	2	3	4	5	6	7	8	9	10	11	12
	Community Priority ranked by PDC	Name of Village and Parish	Location of proposed water facility	Population of the village	Number of the existing water facilities in the village	Condition of the nearest water source (facility)	Maximum walking distance to the nearest water source	Number of households expected to receive benefit from the proposed facility	Existing community facilities within 1 km from the proposed facility site	Alternative or more economical option to provide the same function other than the proposed priority	Potential risks anticipated from the proposed priority	Availability of budget for operation and maintenance
1						Functional/Not						
2						Functional/Not						
3						Functional/Not						

<b>Basic Information Sheet for Education (Primary &amp; Pre-Primary Schools)</b>										<b>Date:</b>	
<b>Name of Sub-County:</b>					<b>Name of CDO:</b>				<b>Sign:</b>		
	1	2	3	4	5	6	7	8	9	10	11
	Community Priority ranked by PDC  Name of the school and facilities/services	Name of Village and Parish	Number of the same existing facilities at the school	Number of requested facility	Conditions of the existing facilities	Alternative or more economical option to provide the same function (service) other than the proposed community priority	Number of beneficiaries (Number of pupils at the school)	Ratio (corresponding indicator to the National Minimum Standard, e.g. Classroom-Pupils ratio, Desk-Pupils ratio)	Urgency (High/Low commented by Center Head Teacher)	Potential risks anticipated from the proposed community priority	Availability of budget for operation and maintenance
1											



<b>Basic Information Sheet for Education (Primary &amp; Pre-Primary Schools)</b>										Date:	
2											
3											

<b>Basic Information Sheet (Road)</b>											Date:		
Name of Sub-County:						Name of CDO:					Sign:		
	1	2	3	4	5	6	7	8	9	10	11	12	13
	Community Priority ranked by PDC	Name of the proposed road	Length of the proposed road (in km)	Name of Village and Parish(es)	Population of the Parish(es)	Total kilometers (length) of the community access road	Condition/ status of the existing road	National Minimum Standard based on the population of	Number of beneficiaries (Number of parishes to be covered by the	Public facilities to be accessible through the	Alternative or more economical option to provide the	Potential risks anticipated from the proposed community	Availability of budget for operation and maintenance
1													
2													
3													

<b>Basic Information Sheet (Health Centers)</b>										Date:		
Name of Sub-County:						Name of CDO:				Sign:		
	1	2	3	4	5	6	7	8	9	10	11	
	Community Priority ranked by PDC	Name of Parish	Population of the Parish	Number of beneficiaries (Beneficiaries of the catchment area)	Number of the same existing facilities / equipment at the Health Center	Number of requested facility / equipment	Conditions of the existing facilities / equipment	Urgency (High/Low commented by Health Assistant and In-charge Health Center)	Alternative or more economical option to provide the same function (service) other than the proposed community priority	Potential risks anticipated from the proposed community priority	Availability of budget for operation and maintenance	
	Name of the Health Center and Facilities/Services											

<b>Basic Information Sheet (Health Centers)</b>									Date:		
1											
2											
3											

<b>Basic Information Sheet (Production)</b>										Date:		
Name of Sub-County:					Name of CDO:					Sign:		
	1	2	3	4	5	6	7	8	9	10	11	12
	Community Priority ranked by PDC	Name of Village and Parish	Location of the proposed production facility	Population of the village	Number of similar facilities in the village	Condition of the nearest facility	Maximum walking distance to the nearest production facility	Number of households expected to receive benefit from the proposed facility	Existing community facilities within 1 km from the proposed facility site	Alternative or more economical option to provide the same function other than the proposed priority	Potential risks anticipated from the proposed priority	Availability of budget for operation and maintenance
1						Functional/Not						
2						Functional/Not						
3						Functional/Not						

## Scoring Sheet – Water

Name of Sub-County:					Name of S/C Chief:				Date:		Sign:	
Community Priorities ranked at Parish Level		Criteria									Result	
		1	2	3	4	5	6	7	8	9		

Village Parish Name	Name	Consistency with District and Sub-County Development Plan	Current condition fulfilling the National Minimum Standard (NMS) of Service Delivery	Number of Beneficiaries	Additional impact over local population	Alternative (other options) to provide the same function/services other than the proposed priority	Potential Risk anticipated from the proposed community priority	Availability of budget for operation and maintenance	Total Score	Ranking
Scores		2: Consistent 0: Not consistent	2: Not fulfilling 0: Fulfilling	2: > 46 households 1: Between 30 - 45 households 0: < 30 households	2: There will be additional Impact. 0: No additional Impact	2: No alternative 0: At least one other option	2: No risk 0: Risk is anticipated	2: Available 0: Not available		
1	Remarks:									
2	Remarks:									
3	Remarks:									

**TOOL 5: SUB-COUNTY / DIVISION SCORING SHEET FOR PRIORITIZATION**

## Scoring Sheet - Education (Schools)

Name of Sub-County:			Name of S/C Chief:					Date:		Sign:	
Community Priorities ranked at Parish Level		Criteria							Result		
Village Parish Name		1	2	3	4	5	6	7	8	9	
		Consistency with District and Sub-County Development Plan	Current condition fulfilling the National Minimum Standard (NMS) of Service Delivery	Number of Beneficiaries (Number of enrolled pupils)	Urgency	Alternative (other options) to provide the same function/services other than the proposed priority	Potential Risk anticipated from the proposed community priority	Availability of budget for operation and maintenance	Total Score	Ranking	
Scores		2: Consistent  0: Not consistent	2: Not fulfilling  0: Fulfilling	2: > 500 pupils 1: 280-499 pupils 0: < 280 pupils	2: Urgent	2: No alternative 0: At least one other option	2: No risk 0: Risk is anticipated	2: Available  0: Not available			

					0: Not urgent					
1										
	Remarks:									
2										
	Remarks:									
3										
	Remarks:									

## Scoring Sheet – Road

Name of Sub-County:			Name of S/C Chief:					Date:		Sign:	
Community Priorities ranked at Parish Level			Criteria							Result	
Village Parish Name			1	2	3	4	5	6	7	8	9
			Consistency with District and Sub-County Development Plan	Current condition fulfilling the National Minimum Standard (NMS) of Service Delivery	Number of Parish(es) - Beneficiaries	Additional impact for local population	Alternative (other options) to provide the same function/ services other than the proposed priority	Potential Risk anticipated from the proposed community priority	Availability of budget for operation and maintenance	Total Score	Ranking
Scores			2: Consistent  0: Not consistent	2: Not fulfilling  0: Fulfilling	2: More than one Parish 0: Just one Parish	2: There will be additional Impact. 0: No additional Impact	2: No alternative 0: At least one other option	2: No risk  0: Risk is anticipated	2: Available  0: Not available		
1											
	Remarks:										
2											

## Scoring Sheet – Road

	Remarks:									
3										
	Remarks:									

## Scoring Sheet - Health (Health Centers)

Name of Sub-County:		Name of S/C Chief:			Date:		Sign:				
Community Priorities ranked at Parish Level		Criteria							Result		
Village Parish Name	Name	1	2	3	4	5	6	7	8	9	10
		Consistency with District and Sub-County Development Plan	Current condition fulfilling the National Minimum Standard (NMS) of Service Delivery	Number of Beneficiaries (Beneficiaries in the catchment area)	Types of Facility / Equipment	Urgency	Alternative (other options) to provide the same function/services other than the proposed priority	Potential Risk anticipated from the proposed community priority	Availability of budget for operation and maintenance	Total Score	Ranking
Scores		2: Consistent  0: Not consistent	2: Not fulfilling  0: Fulfilling	2: > 6000 1: 3000- 5999 0: < 2999	2: Necessary for service delivery, e.g. medical equipment, latrine, water, solar panel, staff house 1: Necessary for facility improvement e.g. fence, lightening arrestor	2: Urgent  0: Not urgent	2: No alternative  0: At least one other option	2: No risk  0: Risk is anticipated	2: Available  0: Not available		
1											
	Remarks:										
2											

## Scoring Sheet - Health (Health Centers)

	Remarks:											
3												
	Remarks:											

## Scoring Sheet - Production (Facility)

Name of Sub-County:				Name of S/C Chief:						Date:		Sign:	
Community Priorities ranked at Parish Level	Criteria										Result		
	1	2	3	4	5	6	7	8	9	10	8	9	
Village Name Parish Name	Consistency with District and Sub- County Development Plan	Current condition fulfilling the national objective to increae sustainable production, productivity & value addition in key growth areas	Number of Beneficiaries	Number of similar facilities in the Village	Condition of the nearest existing facility	Walking distance in km to the nearest existing production facility	Expected additional impact around the proposed community facility	Alternative (other options) to provide the same function/services other than the proposed priority	Potential Risk anticipated from the proposed community priority	Availability of budget for operation and maintenance	Total Score	Ranking	
Scores	2: Consistent  0: Not consistent	2: Not fulfilling  0: Fulfilling	2: > 46 households 1: Between 30 - 45 households 0: < 30 households	2: None  0: At least one other option	2: Not functional  0: Functional	2: Greater than 1 km  0: Within 1 km	2: There will be additional Impact.  0: No additional Impact	2: No alternative  0: At least one other option	2: No risk  0: Risk is anticipated	2: Available  0: Not available			
1													
	Remarks:												
2													

Scoring Sheet - Health (Health Centers)

	Remarks:												
3													
	Remarks:												

## Notification Sheet

\_\_\_\_\_ Sub-county Local Government  
\_\_\_\_\_ District Date: \_\_\_\_\_  
To: LC II Chairperson  
of \_\_\_\_\_ Parish

### RE: PRIORITIES TO BE IMPLEMENTED IN THE PARISH IN FY20\_\_/20\_\_

The following list indicates the priorities (or projects) to be implemented during FY20\_\_/20\_\_

Department	No.	Name of Priorities	Quantity	Location	Expected date to start implementation
Water	1.				
	2.				
	3.				
Education	1.				
	2.				
	3.				
Road	1.				
	2.				
	3.				
Health	1.				
	2.				
	3.				
production	1.				
	2.				
	3.				
Community Based Service	1.				
	2.				
	3.				

©Location: Name of Village, School, HC and Road

Having received this notification, LC II Chairperson is requested to disseminate the above information to LC I Chairperson and other PDC members in his/her parish.

For any inquiry, please contact your Parish Chief. Thank you

Name: .....

Title: .....

Signature: .....

## Feedback Sheet

\_\_\_\_\_ District  
\_\_\_\_\_ Sub-county



## **Acknowledgement Letter**

### **Feedback on Approved Priorities**

I (LCII Chairperson of \_\_\_\_\_ Parish) confirmed the priorities to be implemented during FY20\_\_/20\_\_\_\_\_ in my parish as indicated in the “Feedback Sheet”. I will accordingly disseminate the information to community members.

Date: \_\_\_\_\_

Parish: \_\_\_\_\_

Name: \_\_\_\_\_

Signature: \_\_\_\_\_