Local Development Planning Manual

Standards for annual planning at Dzongkhag and Gewog Level

Royal Government of Bhutan
Gross National Happiness Commission

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PREFACE TO SECOND EDITION

The Local Development Planning Manual (LDPM), was designed to assist the Local Governments facilitated by Dzongkhag Planning Officers, Sector Officials and the Gewog Administrative Officers, in undertaking the process of development planning, implementation, monitoring and evaluation in a participatory and objective manner. Within the overall existing decentralization policies and framework, the objective is to ensure that development plans reflect accurately the actual ground realities and the true needs and the aspirations of the people. In this context, the LDPM was developed with detailed steps and various tools covering the key aspects of development planning. There are six steps as follows:

- Step 1: Assessment and Identification
- Step 2: Prioritization of development activities
- Step 3: Differentiation between Gewog and Dzongkhag Plans
- Step 4: Activity planning
- Step 5: Implementation
- Step 6: Monitoring and Evaluation

The LDPM was revised in 2013 coinciding with the start of the Eleventh Plan. Existing process steps and tools were streamlined to make it more relevant to new developments, emerging issues, and sustainability concerns. Up-front and proactive consideration of systemic view, future scenarios, cross-cutting issues of socio-economic and environmental nature, and their linkages to development and with each other, sustainability of development, and the goal of gross national happiness early in the planning stage and process were emphasized. The improved steps and tools can facilitate consideration of above views and issues as an outcome in the development discussion.

Questions and pointers to support smart planning, modification, choosing and designing plan activities and projects at the early stages of the planning process have also been improved and included. This has been done to enhance opportunities if there are any, and avoid having to rely on reactive measures to mitigate the impacts or undesirable consequences of already approved plans and projects at a later stage. With this in mind, three new tools have been added in the Step 1(Assessment and Identification); Tool 1 Critical Reflection and Challenging Our Assumptions, Tool 2 Situation Assessment through Gender, Environment, Climate Change, Disaster and Poverty (GECDP) Lens and Tool 3 Situation Assessment through Gross National Happiness (GNH) Lens. Tool 1, encourages the community to reflect on the goals of development and, the purpose and meaning of development. Tool 2 and Tool 3 demand that the people look at their past development efforts and see their linkages or lack of it to GECDP and GNH. We may think that there is an overlap in these but it is important that our people learn to think and reflect on these more honestly and not take it for granted. Thus, this is an attempt to use the 9 domains of GNH as the situation is being analysed and the lessons recorded and incorporated for the next plan.

GNH check list which was in the earlier draft has now been incorporated in the first step itself. Other tools

have been changed to reflect the development in our system. One example of this is the integration of PlaMS and MYRB under step 5, PlaMS and PEMS under step 6 and new PlaMS Program profile under the format section.

As one can see from the revision that we have made, that this manual is a living document and will be updated periodically to enhance its usefulness. Therefore, feedbacks and suggestions from users will be most welcome.

Karma Tshiteem
Secretary
Gross National Happiness Commission

PREFACE TO FIRST EDITION

The steady process of decentralization that began with the establishment of DYTs in 1981 and the GYTs in 1991 culminated in the enactment of the constitution in 2007 and the first party based elections in 2008. Since then, the Par-liament has passed the new Local Government Act in 2009. Also, the Annual Grants System and Assignment of Functional and Financial Responsibilities for local governments have been instituted in the Tenth Plan to further enhance decentralization and people's participation in development. These provide the broad parameter within which our local governments will now operate.

Against this background, the Local Development Planning Manual (LDPM) is designed to assist our Dzongkhag Planning Officers, Sector Officials and the Gewog Administrative Officers to facilitate the process of development planning, implementation, monitoring and evaluation. The objective is to ensure that development plans reflect accurately the actual ground realities and the true needs and the aspirations of the people. In this context, the LDPM is developed with detailed steps covering the key aspects of development planning. There are six steps as follows:

- Step 1: Assessment and Identification
- Step 2: Prioritization of development activities
- Step 3: Differentiation between Gewog and Dzongkhag Plans
- Step 4: Activity planning
- Step 5: Implementation
- Step 6: Monitoring and Evaluation

In addition to the above, comprehensive formats and tools have been devel¬oped for each of the above steps, including the GNH Check (Step 6) which will help to assess prioritized development activity against the Gross National Happiness (GNH) criteria. The GNH checklist will ensure that cross cutting issues and concerns (e.g environment, climate change, poverty, disaster risk, gender, culture etc) are mainstreamed and addressed during the planning stage and process.

This manual is a living document and will be updated periodically to enhance its usefulness. Therefore, feedbacks and suggestions from users will be most welcome.

Karma Tshiteem
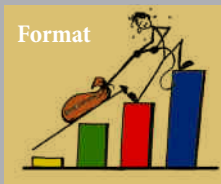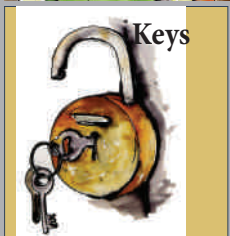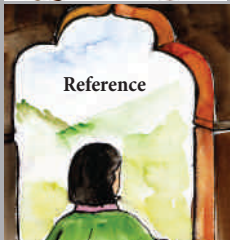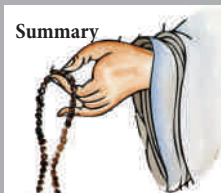Secretary
Gross National Happiness Commission

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ABBREVIATION

DANIDA	Danish International Development Agency
DB O	Dzongkhag Budget Officer
DNB	Department of National Budget
DPO	Dzongkhag Planning Officer
DRAP	District Rural Access Planning
DT	Dzongkhag Tshogdu (District Assembly)
FDR	Framework for Division of Responsibilities between
	Local Governments and Central Government
GAO	Gewog Administrative Officer
GNH	Gross National Happiness
GNHC	Gross National Happiness Commission
GPIS	Gewog Profile Information System
GT	Gewog Tshogde (Block Council)
JICA	Japan International Cooperation Agency
LDPM	Local Development Planning Manual
LG	Local Government
MNA	Member of National Assembly
MoF	Ministry of Finance
MYRB	Multi-Year Rolling Budget
NA	National Assembly
PEMS	Public Expenditure Management System
PlaMS	Planning and Monitoring System
RIM	Royal Institute of Management
SNV	Netherlands Development Organisation
UNCDF	United Nations Capital Development Fund
UNDP	United Nations Development Program

Introduction

All tools and formats can be found in the tools and format sections at the end of this manual

Summary
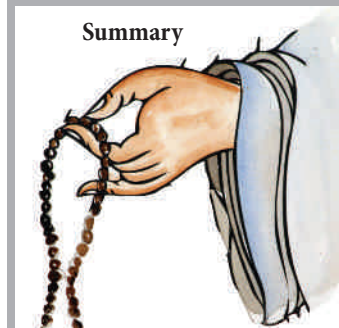
This chapter provides an overview of what the manual is about, who is it for and how it can be used.

Reference
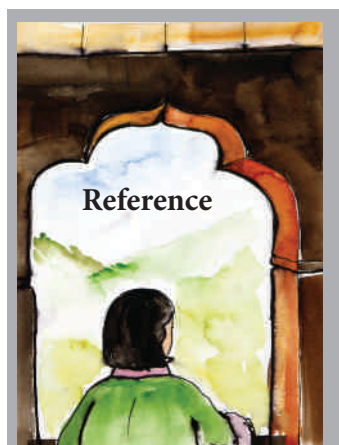
This local development planning manual comes with all the document that we refer to. These document can also be consulted on the gnhc website

http://www.gnhc.gov.bt

Background

The governance system of Bhutan has changed a lot in the first decade of the new millennium. Formal decentralization started in the early 80s and has continued. Today, Gewogs and Dzongkhags receive Annual Grants for Local Governments (LGs) from the central government which provides greater flexibility in priority setting and offers higher predictability in resource availability from the centre, which enables them to better plan and implement development activities that are a priority for the local people. On the responsibilities side, to bring greater clarity on the roles of various levels of government in the delivery of effective and efficient public services at the local level and to facilitate distribution of resources between the centre and local governments, the division of responsibilities framework guided by the *'principle of subsidiary'* was instituted in 2010 and revised in 2012.

Our people enjoyed the first democratic election (adult suffrage instead of the previous system of household votes) of the Gups in 2002, and just six years later we elected our democratic government for the first time. Now, we have elected the second democratic government this year. These rapid changes place a heavy burden on elected officials and their local governments, engendering new questions. How to ensure the provision of social and economic services for the general well being of the people in a sustainable and equitable manner? How to ensure that development occurs in a planned and harmonious manner without compromising environment and sustainability of natural resource? How to undertake activities consistent with relevant laws and policies of the country? How to encourage involvement of communities and their organizations?

The Local Development Planning Manual (LDPM) aims to support local governments in their functions. By setting basic standards for the
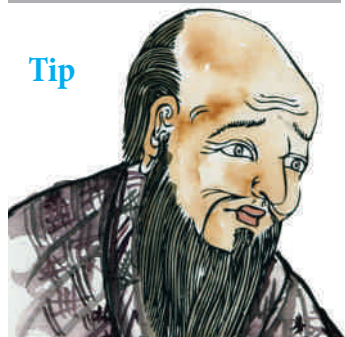
annual planning process, local governments can set out to work in an effective, transparent and accountable manner.

What is this manual about?

This manual describes the annual process and the basic techniques for Local Development Planning. In this process, LGs partner with the people, community organizations, cooperatives, and businesses to plan, carry out and evaluate development activities in a participatory and sustained manner to improve the wellbeing of all. Development activities occur either at the initiative of individual stakeholders or by LG leadership.

The manual uses approaches that have been tried and tested in Bhutan and elsewhere to help LGs to facilitate communities to become actively involved in the assessment, planning, implementation, monitoring and evaluation of development activities. The philosophy of the manual is that LGs and the people should work closely together if they are to address development successfully. Using the manual, LGs and communities can:

- **assess** the current development situation, and identify annual devement activities in line with the people's aspirations
- **prioritise** annual development activities
- **differentiate** between Gewog, Dzongkhag and Central planning responsibilities
- **plan** development activities
- **implement** the plan
- **monitor** and evaluate development activities

Who is this manual for?

This manual is intended to help LGs and the people to work together to develop their Gewog and Dzongkhag with respect to food and agriculture, education and gender, environment (water, forest, land, ecosystem), health and sanitation, roads, religion and culture, and eco-

nomic growth and development through the sustainable use of natural resource. This manual is written for the LGs. The Dzongkhag Planning Officers and Gewog Administrative Officers will coordinate the use of the manual by elected Officials, Sector Heads, Extension Staff, Gewog Clerks and Accountants.

How did we develop this manual?

The Gross National Happiness Commission (GNHC) hired the Royal Institute of Management (RIM) to develop and design this manual. RIM has over twelve years of experience in capacity building for Local Development Planning in Bhutan. These experiences include projects like Gewog Development Facilitating Activities (GDF), Decentralized Support Programme (DSP), Local Governance and Decentralization Project Phase 1 and 2 (LGDP 1 and 2), Agreed Agreement 4 (AA4) and Integrated Capacity Building Plan (ICBP) with different developmental partners and key government agencies. A common theme of RIM's work has been encouraging community participation in the assessment, design, implementation, monitoring and evaluation of local development activities. The experience of RIM is that involving communities at each stage of an activity greatly enhances their capacity to take charge of their own development and contributes to sustainability.

With support of Bhutan's development partners such as DANIDA, JICA, SNV, UNDP, UNEP and UNCDF, various reviews of Local Development Planning experiences were carried out. All the steps, tools and formats described in this manual were developed or adapted in the field by RIM and others with LGs and communities. In the process of manual development, various stakeholders, especially the primary users, Gups, Gewog Administrative Officers, Dzongkhag Planning Officers and Sector Heads were consulted to ensure the design fits their needs, addresses their questions and concerns, and is adapted to current capacities of the LGs.

Reference

- Guidelines for Annual Grants for LGs (Dzongkhags & Gewogs)
- Five Year Plans
- Local Government Act
- Division of Responsibilities between the LGs and Central Government
- Community Contract Protocol
- Costing templates for basic infrastructure
- Procurement Rules and Regulations
- Financial Rules and Regulations
- National Monitoring and Evaluation Manual
- National Evaluation Policy, Protocol and Guidelines
- Framework to Mainstream Gender, Environment, Climate Change, Disaster Risk, and Poverty (Local & National)

How will GAOs and DPOs use this manual?

- **Steps** The next page provides an overview of the six steps in the annual planning cycle and when each step takes place during the course of the year. For each step the manual explains what needs to be done, why and how.

- **Tools** This section of the manual provides practical tools that enhance participation and help the GAOs and DPOs perform a certain step well.

- **Formats** This section provides formats that GAO and DPO need to use in the planning cycle for transparency, accountability and effectiveness.

- **Tips and cases** The manual contains "text boxes", which give suggestions and describe experiences of communities and LGs in Bhutan.

- **Checklist** This section provides assistance to ensure that the process is followed to arrive at the product.

- **Minimum requirements** Although GAOs and DPOs are free to select tools that work for their LGs, there are minimum standards that need to be respected by all. These standards enhance transparency and accountability in the planning process and are indicated in this manual.

- **Reference box** This manual comes with a box of reference materials. These can also be consulted on the GNHC and DLG website. **http://www.gnhc.gov.bt, http://www.dlg.gov.bt**

Keys

Overview of the steps in Planning Cycle

Steps in the annual planning cycle	Time of the year
Step 1. Assessment and identification of development activities **Key questions:** Who to consult and in what way? What infrastructure, services and resources do we have? Which services and infrastructure do we need to maintain? What are our additional needs?	**December** Even if the Indicative Annual Grant Figure is not yet announced this phase can already start!
Step 2. Prioritization of development activities **Key questions:** What do we consider? Why is this important? Who will benefit and in what ways? What can we do with our own resources (capital, human resource and environment)? How do we prioritize and take decisions? How do we account back to the people? What is the rough estimate for the prioritized activities? Have we considered for land acquisition, environment clearance, etc? Have we consulted other sectors for their advice? Which criteria do we use?	**January** Prioritisation must be done within the Annual Grants Figure notified through annual budget call notification.
Step 3. Differentiation between Gewog and Dzongkhag plans **Key questions:** What is in our mandate, and what needs to be forwarded to the next higher level?	**Deadline for MoF and GNHC is 15th of February!**

Introduction

Keys

Step 4. Activity planning **Key questions:** What will we do? Why is this important? Who will benefit and in what way? Where will it happen? When will we do it (fiscal year)? Who will be involved and who is responsible? How will we do it and what resources do we need? How will the activities be sequenced?	With the assurance of Annual Grants, you can go ahead and prepare plans and budget, so that you can start implementation as soon as the budget is received! **Make sure all is ready by July.**
Step 5.Implementation **Key questions:** Implementation: How will we tackle ad-hoc problems? How is the quality of the work? Is the work carried out as per the plan (physical and financial)? Are there any problems during implementation? How do we coordinate with everyone involved? How do we allocate work and supervision? How do we stay on track?	First budget is received in July, and as requested during the year. **NOTE: Unspent Money of each fiscal year will lapse.** You cannot top-up unspent money to the next year's budget!
Step 6. Monitoring and Evaluation **Key questions:** Monitoring: Are we on track? Are we achieving our objectives? Do we need to adjust our plan? Evaluation: Have we achieved our objectives? Have we made a positive change in the Gewog/Dzongkhag? Sustainability, effectiveness, efficiency, relevance and what lessons can we draw for future plans?	Quarterly Progress Report in **October, January, April** and **July** Mid-Year Budget Review in January Annual report is due in **July**

Who is involved in Local Development Planning and why?

Dzongkhag Planning Officer and Gewog Administrative Officer

At the start of the annual planning process in December:

- Convene all parties involved: GT and DT members, the people, and the Civil Servants, ensuring adequate participation of women and men of different segments of communities and disadvantaged groups.
- Develop an activity plan with budget for the planning process. Some portion of grants could be budgeted to be spent on activities such as planning, feasibility and monitoring, and outsourcing activities as deemed fit by LGs.

During the process:

- Facilitate discussions. Do NOT decide for others!
- Gather and analyse issues arising out of the discussions.
- Facilitate the formulation of activities.
- Finalise the annual plan after adoption by the GT or DT.

Gewog Tshogde and Dzongkhag Tshogdu members

- Participate in data collection.
- Mobilize community members.
- Facilitate the needs assessment and identification of development activities by the people.
- Prioritise development activities and approve the annual plan.
- Monitor plan implementation and ratify quarterly and annual reports in accordance with the M and E manual and protocol.

The people

- Men and women, young and old, poor and better off, edu-

cated and illiterate, disadvantaged or differently-abled women and men.

- Farmers, entrepreneurs and business people and their associations.
- Cooperatives
- Self-help Groups
- Civil Society Organizations

All these different people must be heard in the Gewog because the local government should address their needs in a balanced and fair manner.
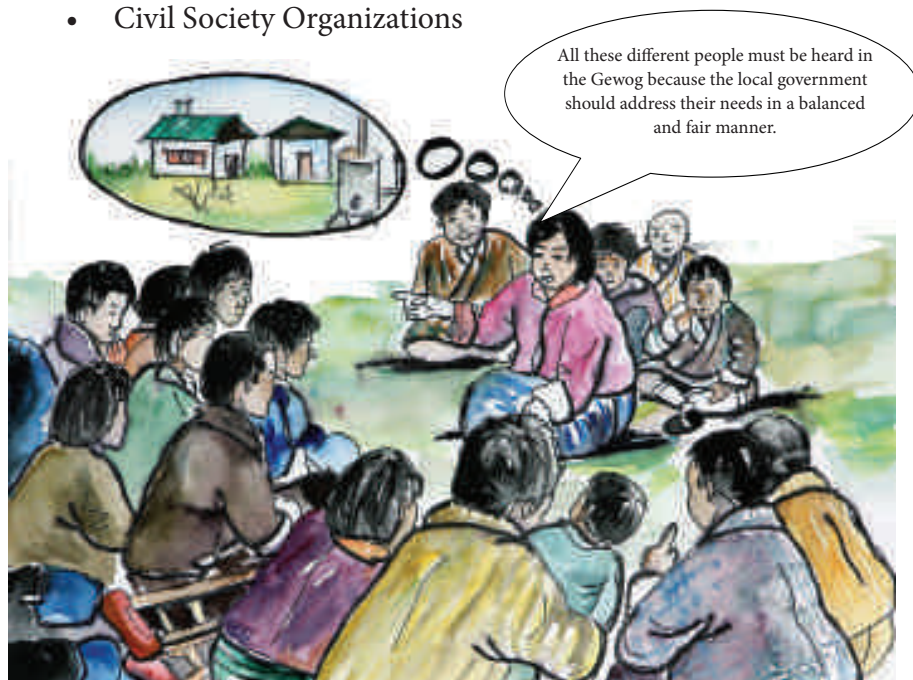
Dzongkhag and Gewog civil servants

Government officials provide critical support to the planning process because they have important information and knowledge about government policies.

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- Provide relevant data, maps and information for the preparation of the plans and programmes.
- Provide guidance and backstopping to the GAOs and DPOs.
- Assist Gewogs and Dzongkhags.
- Monitor the plans and programmes.
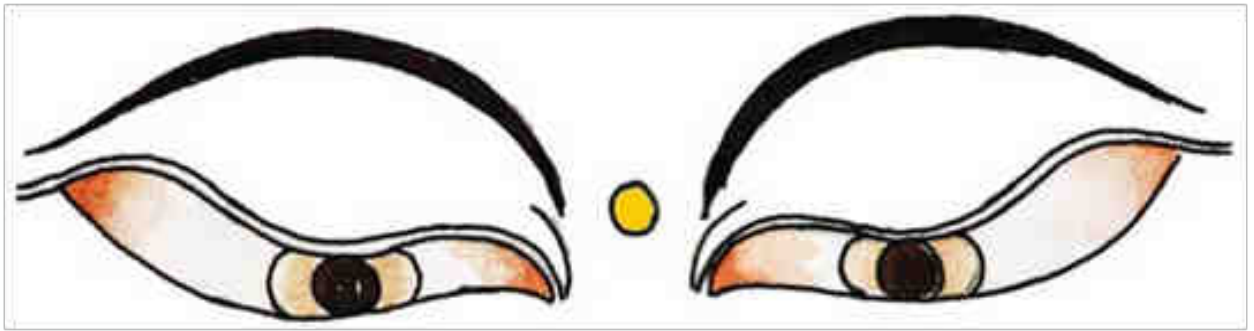
Step 1: Assessment and Identification
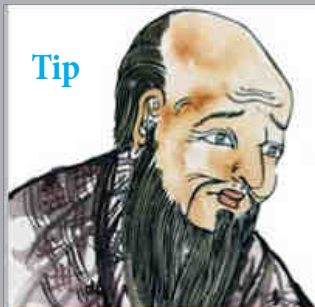
Who knows the best?

The Gup or the Government Official does not always know what the people need!

The Gup may not always be very supportive of community involvement in the identification of development priorities, because (s)he may have made different promises when (s)he was elected.

The Gup is however not elected to serve only the needs of those who elected him/her, but must serve the needs of all the people.

On the other hand a government official may think that a certain issue is a priority for the people. However, the local situation could be different and the people understand that well and have other priorities.

That is why we have developed minimum requirements for this important first step in the planning process. It is not for the Gup or the government officials to decide what the people need. We must hear the views of as many people as possible.

IT IS THE LAW!

....

How is our Gewog or Dzongkhag?

Bhutan Info and Dzongkhag Socio-Economic Profile and Maps could be helpful

Step 1: Assessment and Identification

What do we mean by assessment and identification?

Assessment means exploring and discussing the development situation and emerging issues in the Gewog and the Dzongkhag. It includes reviewing existing development situation (this means the impact of past actions and inactions comprising of developmental activities, undertaken and/or overlooked). This exercise should be conducted by questioning our goal of development and challenging the existing assumptions. It should be conducted in collaboration with the people. The assessment focuses on all areas of development, so that we can identify what activities should be prioritized for the next fiscal year:

1. **The services which we need to maintain:**

    - Food, Agriculture and Forestry
   - Renewal Natural Resources Extension (crops horticulture, livestock, forestry etc.); Irrigation; Farm Roads; Markets and Information
    - Health and Hospitals
    - Water and Sanitation
    - Education and schools
    - Roads, Bridges and Mule Track
    - Energy (fuel wood, bio-gas, solar, mini hydro power, etc.)
    - Information Communication Technology(Telephone, Internet, B-mobile)
    - Community Information Centres(Government to Citizens Service(G2C), Government to Business Services(G2B), Government to Government Services(G2G))
    - Environmental or Ecological Services:
      Supporting (nutrient recycling, seed dispersal, primary production, control land degradation)
      Provisioning (production of food, water, minerals, medicinal

plants)

Regulating (climate regulation, carbon sequestration, air and water purification, waste decomposition and detoxification, crop pollination, pests and disease control)

Cultural (cultural, intellectual and spiritual inspiration, aesthetic and recreational experiences)

Keys

Key questions:
Who to consult (social inclusion) and in what way?
What do we have?
What do we need to maintain?
What do we need?

Time of the year: December – January
Even if the Indicative Plan Figure (Annual Grants) is not yet announced this phase can already start!

2. The activities in the Five Year Plan, including central programmes, which we need to achieve.

3. The emerging needs of the people. Emerging needs must be adequately addressed and mainstreamed in the plans.

4. New and innovative ways of carrying out the development activities. This is a process and is informed by the past, aware of the present and perceiving the future. For example this could be in terms of technological advancement, vision for the Gewog and Dzongkhag, disaster and climate change risks, and environmental sustainability.

The DPO and GAO coordinates the involvement of the people by engaging a series of participatory tools that enable different communities and groups of people within the community to identify and analyse issues, share knowledge and ideas, enhance their knowledge of the

Assessment and Identification

situation, and begin to identify the way forward. Assessment of the current situation includes:

The DPOs and GAOs support the Tshogpas and the relevant Civil Servants to carry out participatory assessments and identification with the people

We find out what the specific development needs and concerns are for women and men, and for disadvantaged groups within the community

We begin to mobilise the community for involvement in development activities that are their priority.

Why do we assess and identify?

Assessing the current situation together with the people helps to:

- Understand development from systems perspective taking into account
    * Bio-physical features (e.g. land, forest, water, energy, ecosystem, climate, disaster risks and vulnerability, etc) and social parameters (population, poverty, employment, gender indicators, indigenous community, disadvantaged groups, equal access to basic services for men and women, etc), inputs (raw materials, energy, workforce, etc) and outputs (products, workforce, wastes, etc) of plan/ project activity
    * Environment, social and economic issues (e.g waste generation, water, air and land pollution, over-exploitation of natural resources, poverty, nutrition, employment, income, credit access, etc)
    * Inter-relationship between local, national, regional and international actions and contexts
- Honestly and critically review our past actions and inactions
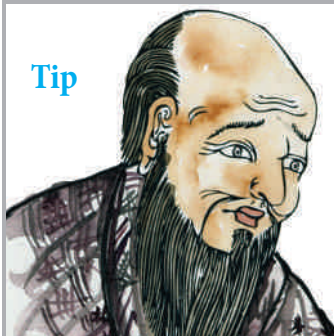
of development and learn from them

- Enable Tshogpas, Civil Servants, and the people to share knowledge and ideas, to build relationships and trust.

- Build understanding of the perspectives and views of different people, men and women, old and young, rich and poor, educated and illiterate, disadvantaged group etc. These different groups of people will have different views and needs which need to be addressed.

- Increase Tshogpa awareness, knowledge and understanding of development issues and concerns that different people in the Gewog may have for the future.

- Build community ownership of the Local Development Planning process and prioritized activities effective, safe and sustainable development action.

- Provide detailed information about development issues in the Gewog for Step 2, prioritisation of development activities by the GT/DT.

How do we assess and identify?

1.   Decide what to assess and identify who to involve

The GAO and DPO are responsible for planning and facilitating the assessment and identification. They need to organize feedback and report findings to the GT and DT respectively: who do we involve and in what ways do we involve them? They need to ensure LG functionaries listen to the people's issues and concerns (including disadvantaged groups): what are the barriers to participation and how do we overcome them?, and ensure that environment, climate change, disaster risks and socio-economic issues and opportunities are assessed, discussed, and considered in the planning process;

CASE

Development in a parachute?

Some time ago, a central agency and development partner provided development, for instance water schemes, directly to the people without consulting them. They just assumed the need would be there. They bought everything necessary for construction, for instance pipes for water supply scheme, and left it at the road head to be transported to the village. However, the DPO had trouble mobilizing the people, because they did not see water as their priority.

In future all central agencies, LGs and development partners must consider the real needs of the people and involve them during community assessment and identification in step 1. GAOs and DPOs are invited to remind all agencies and development partners, so that we learn from past mistakes!

2.   Integrate central programmes

Central programmes are centrally budgeted plans and the GT/DT need to be aware of these before deciding on annual priorities (Step 2 and 3). The centrally budgeted plans are translated at the local level implemented in partnerships with the LGs or directly by the central agencies or delegated to LGs. It is important for LGs to discuss these programmes with the people.

DPOs and GAOs will:

- Check on relevant central programmes from Sector Heads at the start of Step 1, assessment and identification
- Seek the views of the people on central programmes
- Discuss implementation modalities and assign responsibilities in a clear work plan in Step 4, activity planning
- Implement agreed central programmes (Step 5), including
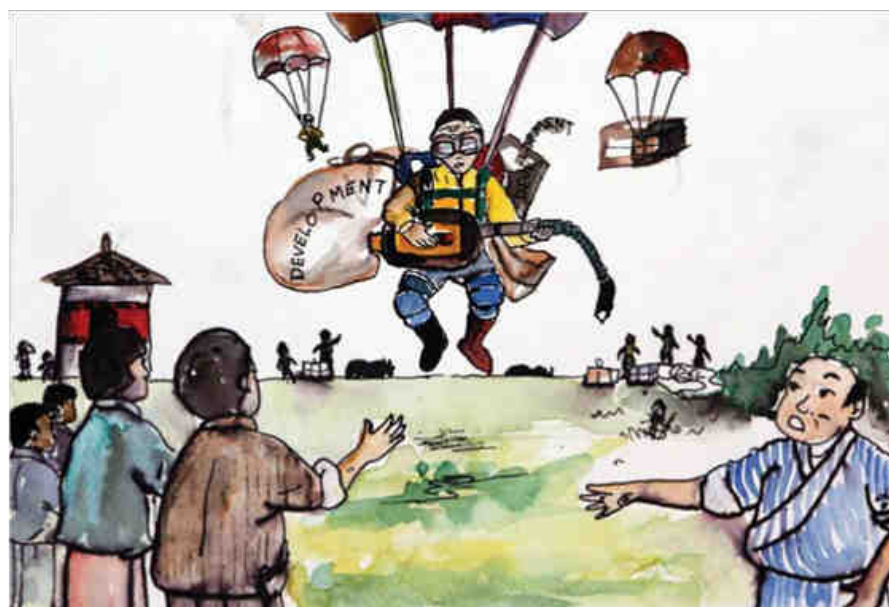
monitoring and evaluation (Step 6), as incorporated in the work plan (see formats section in this manual)

Central agencies will:

- Inform the LG about centrally executed activities to be implemented in their jurisdictions in a timely manner, and make every effort to ensure their active involvement. Do this through the Dzongkhag Sector Heads, who will liaise with DPOs and GAOs as needed.

- Consider incorporating in the plans, the central activities identified as very high priority

- by the people and forwarded through their DT because these are not within the mandates of the Gewog and Dzongkhag to implement.

- Provide technical backstopping, budget and any other support as may be desired by the LG.

- Collaborate for progress reporting and evaluation with Sector Heads, Finance Officers, DPOs and GAOs.

3. Prepare for people's participation

In order to allow people to analyse and learn from each other about their situation fully, DPOs and GAOs can facilitate a number of participatory activities. It helps to answer the following questions in advance:

- **What are the objectives of the assessment and identification?** Which assessments were done before in the Gewog and Dzongkhag? What data are already available that we can build on? What does the Five Year Plan (FYP) tell us?

- **What tools to use?** Check with GNHC if there is an updated map with the Gewog or Dzongkhag Profile. If this is not available, what data will you bring that will support the people to make a development map?

Tools

Useful identification tools at this stage are:

- **Tool 1 Critical Reflection and Challenging our Assumptions** To reflect critically on past actions and inactions and draw lessons for future scenario planning
- **Tool 2 Situation Assessment GECDP Lens** To develop GECDP awareness and link to the development and proposals.
- **Tool 3 Situation Assessment GNH Lens** To develop a GNH thinking and awareness and link these to the development and proposals.
- **Tool 4 Developments Mapping** To provide an overview of development achievements, resources and services available in the community.
- **Tool 5 Citizen Report Card** To check if the people are satisfied and happy with a public service and to find out what people feel should be improved.

- **When and where to do the assessment?** What is happening in the Gewog at the moment? Will people be free to come to one Gewog meeting, or is it better to organize several community meetings? Maybe you can organize thematic meetings, such as a meeting on education with representatives from all the parent teacher associations in the Gewog? How to invite so that many people come from all walks of life? What is the best venue and time to ensure desired participation from different groups of people in the Gewog?

4. Carry out the participatory assessment, recording, and feedback

We have to ensure that voices of the disadvantaged groups (e.g women, disabled people, low income groups etc) are heard, recorded and considered. For example, we may need to have an early morning focus group meeting with women, invite

Tip
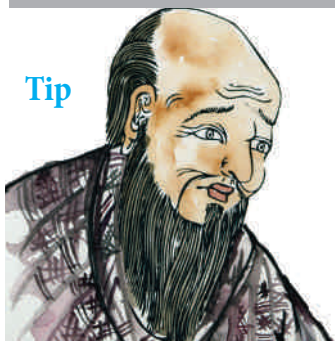
Get your Parliamentary Members involved!
The GAO can liaise with the Parliamentary Members for their views on the Constituency or Gewog Development or Grants. This may be an appropriate time to hear about the needs of the people.

Assessment and Identification

Tip

Difficult issues during identification

- Elites rule and decide for the people.
- Vocal and influential people dominate.
- No proper deliberations why an activity is important.
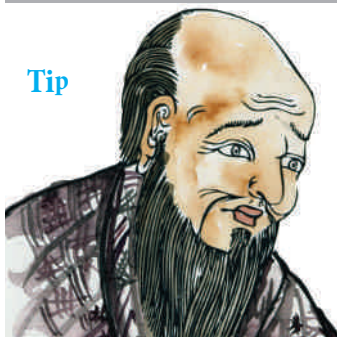- Participation is time consuming and there are limited resources, human and financial.

How to deal with this?

- Work with small groups of people (women, farmers, disadvantaged, youth, etc), and allow the least influential to speak first
- Knowledge on the importance of visual aids; use of pictures and colors
- Prompting (asking people to "tell me more...")
- Ask for more detailed explanation.
- Invite people to talk about benefits of an activity.
- Use the local language.
- Use story telling, role play and acting.

written submission from CSOs representing disadvantaged groups etc to ensure different levels and types of communities' needs and concerns are taken care of. It is necessary to have an accurate and detailed record of the assessment and identification step because the findings will be presented to the GT in Step 2. It is equally important to record information on participation. For help with note taking see record keeping in the format section. Maps and diagrams drawn by the community should remain with them, so be prepared to copy them. This will encourage ownership of the assessment and identification findings by the community, and it improves transparency.

You need to make sure that the information accurately reflects the needs of the different groups within the community. You can do this by making a presentation to the community of your findings. In this presentation you can ask the community whether the assessment reflects their issues or not. Where it does not, they can correct you. This is called verification.

5. Collect and sort information

During the participatory assessment and identification stage, many development priorities will have been identified. The DPOs and GAO will have to collect all this information and sort it into a manageable level of data without disregarding any of this information. The best way to do this is to organize the information. For example, sort the health information (including sex-disaggregated data) together and then separate this into information into categories like prevention, cure, infrastructure, health staff, supplies and laws and policies.

6. Explore root causes

Once the information is properly sorted, we need to find out

if there are any problems. In case, there are problems the root causes of each of these problems need to be identified. By identifying root causes, we can think of activities that might improve the situation effectively. For example, a problem may be identified such as water scheme not functioning. The root cause of this may include a lack of spare parts as a result of people not making contributions or the trained plumber having left the village. If we understand why something is a problem, it becomes easier to think of solutions. Often this is done during the participatory assessment and identification stage together with the community.

7. Identify priorities

It is not possible to tackle all development needs and concerns at once. So it is helpful for each Tshogpa at Step 1 to decide with the community which issues are most important for them to focus on. It is important here to clearly identify the proper sequencing of priority activities so that individual interventions mutually support each other, and thereby heighten probability of overall development gains.

8. Thank everyone

At the end of the meeting be sure to thank the people and to explain that the LG functionaries will come back to them with the development activities that will be taken up this year after the GT meeting. Explain that not all activities identified at this level can be taken up because of limited budget and implementation capacity of the government and the people.

Checklist

Checklist for step 1

- A good cross-section of the people (men and women of different segments of the community, disadvantaged groups etc) have been heard and their views and needs considered during the assessment and identification steps, and this is reflected in the verified records of assessment meetings.

- The Gewog or Dzongkhag Profile or data are available. The data support the assessment and identification findings.

- Civil Servants have been consulted for prefeasibility of the development activities identified by the different villages and groups of the people in the Gewog.

- The people have been helped to consider FYP activities and central programs while planning. This avoids duplication.

- There is a record on file of the main development needs and concerns of the people, which can be used during the next step, identification of development priorities.

Minimum requirements for Step 1:

The DPOs and GAOs write an assessment and identification report that covers:

1. A report on the satisfaction of citizens with at least one of the public services (i.e. health, education, water and sanitation, agriculture, roads, electricity, ICT etc.)

Tools

Suggested Tool

- **Tool 5 Citizen Report Card** To check if the people are happy with a public service and to find out what people want to be improved.

1. How women and men from different segments in the community and disadvantaged groups have been involved in the assessment and identification process? Why the people want a particular FYP activity in the upcoming fiscal year?

2. Identification of emerging activities, what they are, and why they are important, including relevant data that support need for this activity and the type of beneficiaries

Step2: Prioritisation of Development Activities

Step 2: Prioritisation of development activities

What do we mean by prioritisation of development activities?

During the assessment and identification step, we have made efforts to hear the needs and concerns of many different people and groups in the communities and have developed a long list of development activities for further discussion/consideration. We must now decide among all these needs and concerns, which are the most important to deal with in the coming year.

Why do we identify annual priorities?

The GT and DT must wisely allocate the limited resources they have. They must do so in response to the needs of the people. They must be able to clearly explain to the people why certain needs will be met this year and others will not.

How do we identify annual priorities?

Identifying priorities

It is not possible to tackle all development needs and concerns in the Gewog at once. The DPOs and GAOs will present key findings of Step 1 to the GT including the priorities that various Tshogpas bring after
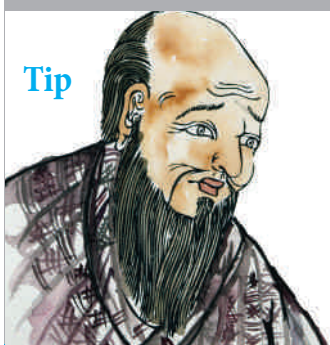
Tip

Consider the best sequence of development activities!

Case

What comes this year, what next year?

One Gewog was prioritizing different activities to be taken up in the coming year. Among these were a new BHU, and many sector activities including a new road construction. Somebody suggested: Why not let the road be completed first and then construct the BHU and other activities? It will be cheaper to build the BHU after the road is there. Transport will be much cheaper. Hence, other sectors also supported the road construction which would facilitate other activities later on.

having consulted the people. At this stage, the GT must decide which issues and concerns are most important for them to focus on in this annual plan, always taking full consideration of the people's priorities. This decision is not made arbitrarily but must be based on a set of criteria (e.g GECDP and GNH) decided by the GT and DT. The GT and DT may consider the benefit to the disadvantaged and vulnerable groups as very important criteria for decisions to ensure equity and justice. It is important that the decision is made in an objective manner. Questions for GT discussion that help prioritizing development activities include:

- **How serious is the problem?** For example, does the problem impact many people in the Gewog or does it only concern few (in which case, who are they - the disadvantaged?). Does it have a very severe impact on affected people? The potential seriousness of a problem may be important to consider. Is the problem likely to grow if it is not addressed?

- **How worried are the people?** If the people are particularly worried about a problem they are more likely to mobilize towards addressing it. It is an indication of the importance of the issue at hand. If the people are not so worried, a problem may be a low priority. In this case, it is important to explore why it is a low priority with the people. For example, is the problem perceived to affect only a few people or to affect only disadvantaged people?

- **Are there gaps in current services that should address the problem?** Are public services such as schools, health facilities, water schemes, roads, early childhood care and development centres construction and maintenance effective, safe, gender and disabled friendly? How can these improve?

- **Are the priorities of the disadvantaged groups different from the others?** Identifying the priorities can be challenging as there would be conflicting demands from different groups

Tools

Case

Road Renovation First!
After deliberating on the list of plans, the Gewog Yargay Tshog-chung (GYT) in Tang Gewog, Bumthang Dzongkhag priori-tized feeder road renovation as their priority under Gewog Development Facilitating Activities (GDFA) Project.

The road was the bloodline to development, and would ben-efit the majority of the people. The community owned a dairy farm and needed to transport the products to the nearest market. In addition, most of the households in the community engaged in potato cultivation.

The feeder road would reduce the transportation cost of po-tatoes and dairy products and would also help in reaching the perishable products to the nearest market on time to fetch a good price. Hence, the in-come of the people would be increased.

of people. Special attention should be paid to ensure that the conflicting priorities do not alienate some groups of people. We should take care that the disadvantaged and vulnerable groups' priorities are taken care of.

Suggested Prioritisation Tools:

Tool 6: Priority Box To discuss different strategies for achieving a development goal, and use criteria to rank them.

Tool 7: Priority Matrix To compare different development activi-ties and rank them according to criteria agreed to by the people.

Tools 8: Pair wise Ranking To compare and prioritise different de-velopment activities against each other.

Now that we have prioritized all possible development activities we need to select the ones most suitable for achievement of GNH. In other words, which development activities will have the right impact, are feasible and sustainable? Important questions to con-sider when discussing the prioritized development activities in-clude:

- **How feasible is the activity?** For example, do the LG and the people have the capacity and experience to implement the activity? Are the necessary resources available or likely to become available (e.g. budget, natural resources, engineer, environmentalist, sociologist, etc)? How acceptable is the ac-tivity to other stakeholders? How possible is it for community members to participate in realizing the activity?

- **What positive impact is the activity likely to have?** For exam-ple, how many people will the activity reach and where are these people in the Gewog? How well does the activity benefit disadvantaged and vulnerable groups? How will this activity improve our well being and harmonious living with environ-

ment?

- **What are the major threats and untapped opportunities, and lessons learnt from past actions or inactions?** For example, what are the major unintended environmental, social and economic issues and impacts (e.g waste generation and pollution, over-exploitation of natural resources, climate change, unemployment, etc) and opportunities (e.g build infrastructures to provide services, but also promote tourism (tsachu) at the same time, etc) associated with planning and implementation of the activity?

- **What modifications and alternatives can be incorporated?** What modifications/alternatives including engineering alternatives, mitigation and adaptation measures are there to avoid, mitigate and remedy these adverse issues and impacts, and take advantage of the opportunities? For example, based on the identified impacts and opportunities and past lessons learnt, make necessary changes or improvement to the activity. Review decision-making and integrate changes to plan activity.

- **How sustainable is the activity likely to be?** For example, will the community be able and willing to take responsibility for the activity in the future (e.g. maintenance of a school, a farm road, a water scheme, etc.)? Will the benefit of the activity be equitable and continue after the current year? Are the natural resources (e.g water, timber, etc) being used sustainably, efficiently and fairly? Whether environmental services are maintained? Is the activity pro-poor and creating decent jobs?

Tools

- **Tool 9: SWOT Analysis** To discuss if we have the ability to carry out a development activity.

Prioritisation of Development Activities

Checklist

Checklist for step 2

- The prioritised activities are to be supported within the Annual Grants.

- The prioritised activities are expected to have a big positive impact that is sustainable in the long run and would promote GNH.

- The LG and the community have the capacity and resources to implement the prioritized activities.

Minimum requirements for Step 2:

- The GT/DT meeting minutes reflect the process of prioritisation and the result. A prioritised list of development activities, including why other proposed activities were not selected is clearly recorded.

- The prioritised list of development activities meets GECDP and GNH criteria.

- This section of the minutes is posted at the public notice board(s) of the Gewog/Dzongkhag.

- Each Tshogpa has to report back to his/her constituency the process of prioritization and the prioritised development activities to the people, explaining clearly why certain activities have been omitted. A broad community consensus should be reached on the prioritized activities from all constituency. (Note: At the same time, Tshogpas will do community mobilization for Step 4, implementation).
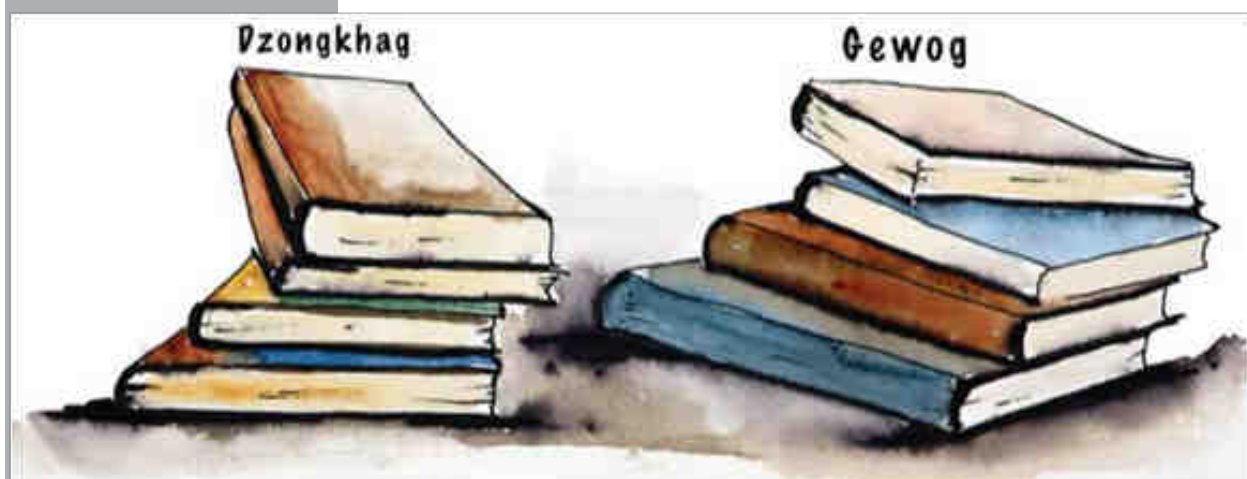
Step3: Differentiation Between Gewog and Dzongkhag Plans

Keys
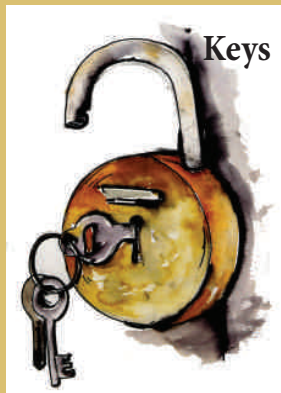
Key questions:
What is in our mandate and what needs to be forwarded to the next higher level?

Time of the year:
Deadline for MoF and GNHC is 15thFebruary!

Case

Passing the blame

With the annual grants in place, Dzongkhags and Gewogs are required to comply with minimum conditions. One of the DTs had not discussed development plans for several years. It was the Dzongkhag Administration that decided.

Now they are blaming each other: You didn't put it in the agenda! You decided and never gave us the chance to discuss!

With decentralization, GTs and DTs are getting more

Step 3: Differentiation between Gewog and Dzongkhag plans

What do we mean by differentiation?

By differentiation we mean the process of sorting out which development activities would be handled by either the Gewog or the Dzongkhag annual plan. Subsequently, activities beyond the mandate of the Dzongkhag are identified to be forwarded upwards. At the Gewog level, participatory activities are organized to identify people's needs (see Step 1, assessment and identification). Some of these needs can be met by the Gewog LG while others must be passed on to the Dzongkhag LG. Some activities may only fit within Central Programmes and will be centrally executed. However, some centrally planned and funded activities will be passed down to the Dzongkhags and Gewogs for implementation.

Why do we differentiate between the Gewog and Dzongkhag plans?

When development priorities of the people are clear, we must check if these fall within the mandate of the Gewog and Dzongkhag. The LG Rules and Regulations, the Annual Grants Guidelines and Division of Responsibilities Framework indicate what the grants can be used for at the Gewog and Dzongkhag levels. We can only plan for the development priorities that fall within our mandate.

grants to use wisely. It is becoming more interesting for the GT and DT to discuss development, because development is no longer in the hands of Central Government.

Tip
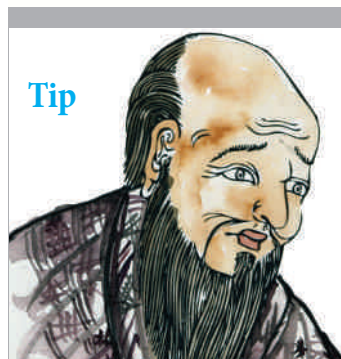
Make development progress a regular issue on the GT and DT agenda!

Tools

Checklist

How do we differentiate?

- Some development activities can be done without any outside help or resources. These can be planned at the Gewog level.

- For other development activities, the Gewog needs to request Dzongkhag resources (e.g. engineers). At this stage, the DPOs and Sector Heads must liaise with the Gewog office to identify support available to the Gewog. The GAO must facilitate the liaison. Alternately, the Dzongkhag may need to request central level assistance for some work. These could be facilitated by the DPO for the Dzongkhag. Regular dialogue in the form of meetings between Gewogs and Dzongkhags on the mandates and resources would greatly facilitate this process.

- It may be that the people have expressed the need for important development activities that are not within the mandate of the Gewog (e.g. maintenance of a high school or a hospital), in which case the activity would fall under the purview of the Dzongkhag. These must be passed on to the DT for discussion and prioritisation in the Dzongkhag development priorities.

Differentiation between Gewog and Dzongkhag Plans

Suggested tools for differentiation

Tool 8: Quick LG Mandate Checklist This tool helps to differentiate between Gewog and Dzongkhag mandate.

Checklist for step 3

- Identified development priorities have been checked with mandates in LG Rules and Regulations, Division of Responsibilities Framework and the Annual Grant Guidelines.

- GT and DT meeting records confirm people's priorities for development planning.

Differentiation Between Gewog and Dzongkhag Plans

Minimum requirements for Step 3:

- GT minutes indicate development activities which are prioritised but are not in GT mandate. These will be presented at the DT meeting for consideration and will be endorsed if resources are available.

- The DT prioritisation meeting minutes (as Step 2) reflects that the inputs from all the GTs have been considered and indicates why certain activities have not been prioritised.

- This section of the minutes is posted at the public notice boards.

- The Gup and Mangmi report back to GT. Tshogpas report back the process and result to the people (linked with community mobilisation, Step 5, for implementation).

Step 4: Activity Planning

Step 4: Activity Planning

What do we mean by activity planning?

Planning means deciding how the LG and the people will respond together to achieve the prioritized development activities. In Step 1, the people, Tshogpas, GAO, and extension staff assessed the current situation and identified important priorities. In Step 2, the GT and DT prioritised the development activities for the current planning year mainly based on feasibility, impact and sustainability. They discussed if the prioritized activities comply with GNH and GECDP criteria, have enough impact, and are feasible and sustainable. In Step 3, the activities were differentiated between Gewog and Dzongkhag level implementation. During Step 4, the activity planning stage, LG will decide how the development activities should be implemented. They need to agree on the practical details of who will do what, when and where. They also need to decide how to monitor progress. A good planning process will smoothen the implementation, monitoring and evaluation.
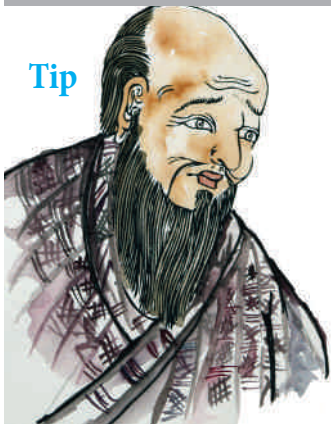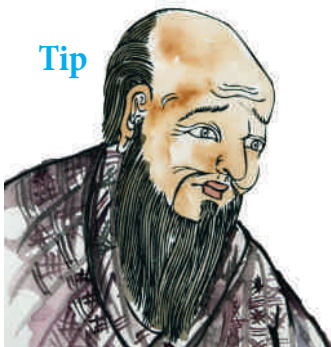
Why do we plan activities?

Planning helps GAOs, DPOs, Sector Heads and the LGs to:

- use the experience and knowledge of all involved to make each development activity a success and sustainable
- inform and raise interest of relevant community members and other stakeholders in development activities that will benefit them
- coordinate the involvement of all stakeholders
- make sure that the plans are appropriate for the community and the groups within it
- build ownership of new infrastructure and the plan
- clarify expectations regarding the development activity and its realisation
- assist effective, efficient and sustainable use of resources
- provide a framework for implementation (Step 5) and for monitoring progress and evaluation (Step 6).

How do we plan activities?

In the Gewog, the GAO facilitates sub-activity and task planning for each development activity that has been prioritized by the GT. In the Dzongkhag, the DPO coordinates this process for all activities prioritized by the DT. Central programmes will be planned in detail with the Central Government. Make sure there are enough resources available for implementing the Central Programmes that are important for the Gewog or Dzongkhag.

Coordination and dialogues between Gewogs, Dzongkhags and Central Government should be facilitated to promote transparency and accountability of the activity planning process and avoid misunderstanding roles and responsibilities.

1.   Communicate with the people

Before activity planning can begin, it is very important that the Tshogpas, at a minimum, communicate the results of Steps 2 and 3 back to their communities. At the same time, the Tshogpa can mobilize the community for implementation of a development activity of which it is a beneficiary and for a community monitoring committee when appropriate. It is necessary to discuss the involvement of the people clearly at this stage.

2.   Introduce into PlaMS

Each development activity needs to be introduced into PlaMS (see format section). In practice, this means that for each development activity, an Annual Work Plans (AWPs) and Budget (see planning format in the format section at the end of this manual) must be developed. The AWPs for the next fiscal year shall be prepared in PlaMS beginning October of every fiscal year and kept ready for import into the Multi Year Rolling Budget System (MYRB) of the MoF when MoF issues the budget notification call for the next fiscal year. Details of how the AWPs are prepared in PlaMS by the DPOs, GAOs and Sectoral officers and imported into MYRB by the budget officers are mentioned in the PlaMS user manual.

The "What" and "Why" have already been discussed in Step 2, prioritisation of development activities, so it can be copied from the GT minutes.

3.   Define sub-activities and tasks

Here we think of everything that needs to be done to implement the activity. Sort out big sub-activities, and the tasks needed to achieve it (See Activity Work Plan on page 54). 0ne sub-activity could be community monitoring which involves:

- Setting up the committee

Activity Planning

Case

Community Implementation: Saving on Money and Ensuring Quality!

Tang Gewog in Bumthang Dzongkhag had received funds (Phase II GDFA project) to be used at the GYT's discretion.

The GYT discussed many issues brought by the Tshogpas. Among those prioritised was furniture for the GYT meeting. This included Diwans, Chodrums and a Thri (chair) for the Gup. It was decided that the Gup needed a special chair by virtue of his position as the GYT Chairperson.

The GYT also decided that the community had the capacity to implement the work. During the GYT meeting, the people with good carpentry skills were identified. In order to share the income equally with three different parts of the Gewog, the carpenters were chosen from upper, middle and lower Tang. Since the work was given to the people within the community, the Gewog could save funds as the price of the furniture was less than the commercial furniture houses. The money they saved was used for other activities.

- Training the committee
- Checking that the committee is doing its work
- Getting a report from the committee upon completion

Do not forget to identify the resources needed (human, material and financial) and include tasks that explain how they will be procured.

4.   Who will do the tasks?

Once the sub-activities and tasks are clear, we need to consider who will implement them. First, someone needs to take overall responsibility for the activity. This is usually the Gup or the Dzongdag, but they will want to delegate it to an appropriate Tshogpa, Extension Staff or Sector Head. Second, for each sub-activity, we can assign responsibilities to the communities, CSOs/NGOs and note it in the work plan under "who". If a stakeholder is not present when their roles and responsibilities are being discussed, they must be fully consulted before the work plan is finalised!

GAOs must liaise with DPOs to get Dzongkhag staff assigned to the Gewog work plan. This works best in a workshop situation where the different Gewogs' plans are presented to all the sector heads. The presentation should clearly identify the assistance required of the sectors in terms of quantity and quality, and the time of year. The sectors, on their part, should be able to commit their resources in line with the demands of the different Gewogs and the Dzongkhag. The Dzongkhag should also identify the requirement of additional resources like more and specialised technical backstopping. These should be communicated to the centre.

5. Where and when do we do the tasks?

We need to consider the following:

- Which tasks are the most important?

- Which tasks are the most urgent?
- What is the most logical sequence of activities?
- When are people available?
- Where will the tasks be implemented?

We can now indicate in the work plan where and when (by month) the sub-activities and tasks will take place. This has to be clearly planned taking into consideration the important events of the people to avoid clashes during implementation. The timeline "when" (months in the work plan) can help reveal if the plan is realistic or if there is too much to do. It can also help to identify if additional resources will be required. At this stage, it is important to ensure that the Gewog/ Dzongkhag plan has incorporated all activities including those planned by the next higher level but need to be implemented at Gewog/Dzongkhag levels. This will help to ensure that your resources are not over tasked and un-realistic. Check the PlaMS Annual Work plan and Budget format (see the format section of this manual) to make sure that you do not plan development activities at a time when there are not sufficient human resources to carry them out.

6. Budget planning

We need to make a more detailed budget so that all sub activities and tasks can be financed and the money can be available on time. This is often a difficult step for Gewogs, because they lack engineering capacity.

Tools

Suggested Activity Planning Tool

Tool 11: The Planning Hand This tool helps to plan the implementation of a community development activity with the people

7. How is activity progress monitoring organised and who is responsible?

It has now been agreed who will do what and when they will do it. Next, it is useful to identify how to measure that we are:

- doing what we planned (e.g. things are happening on time, within budget and with agreed quality) and

- progressing towards completion of the activity.

By regularly asking these questions we can adjust our plan and tasks according to how sub- activities are progressing. This is called monitoring. The person responsible for the activity implementation (see point 4 above), and the person or group responsible for monitoring should not be the same.

There are many good reasons to organize a community monitoring committee. The advantages are:

- it makes good use of human resources in the Gewog,

- the people want this activity, and will be in the best position to make sure it is done with quality,

- the people will want to see the activity finished as soon as possible and

- it increases accountability and transparency.

Committees are more effective if their role is clearly understood and it is important to make sure that committee members communicate well with the people they represent. Also, make sure that community committees represent all sections of the community. It is necessary to ensure the inclusion of women or disadvantaged groups.

There are some good experiences now in the country with construction monitoring by communities themselves (see the cases in Step 6, where monitoring is described in more detail).

Checklist

Checklist for step 4

- One person is responsible for the overall activity implementation.

- All sub-activities and tasks to achieve a prioritized development activity have been detailed out in the work plan.

- All tasks have been assigned to a person or group of persons, each of whom has been consulted before the work plan was finalised.

- It is clear where and when tasks need to be implemented and this agreement is made known to the people through the Tshogpa. People should not be surprised when implementation takes place. A budget has been allocated to achieve each task.

- Monitoring has been assigned to a community committee or to a person other than who is ultimately responsible for implementing the activity.

- All activities have been summarized in PlaMS and there is no double planning of the same human resources.

Minimum requirements for Step 4:

- Each development activity that was approved by the GT/DT has a clear work plan that shows sub-activities, tasks (steps to take), timeframe, costs (budget), person responsible and how to monitor progress.

- Monitoring responsibilities have preferably been assigned to the community or to somebody other than the person who is responsible for implementation.

- Dzongkhag staffs have been assigned to Gewog activities whenever necessary

- Each activity is entered into PlaMS

Step 5: Implementation

Keys
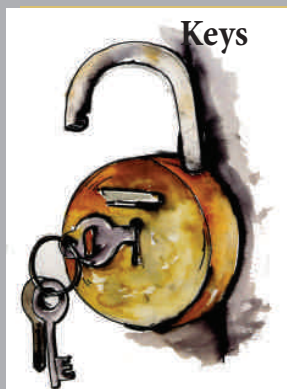
Key questions:

How to coordinate with everyone involved?
How to allocate work and supervise?
How to stay on track?

Time of the year:

First budget received in July, and as requested during the year. NOTE: Unspent money will be lost. You cannot top-up unspent money to the next year's budget!

Tip
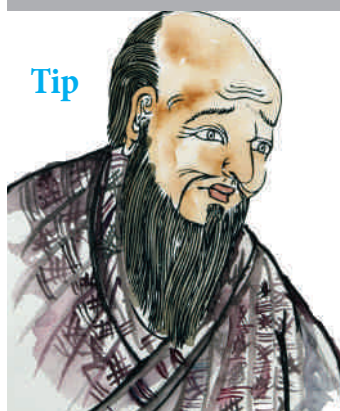
Broadcast your plans and implementation

There are some risks during implementation, and not every problem can be easily handled by the GAO or DPO. The media can help in ensuring transparency and accountability. Engage media carefully in your work. Sometimes this helps in minimizing abuse of powers, or misuse of funds. It can also

Step 5: Implementation

What do we mean by implementation?

We implement activities to improve our own and the community's well being socially, environmentally and economically. It means putting the plans into actual actions.

Implementation means:

- doing what the LG planned with active community participation
- solving difficulties in carrying out the planned tasks
- coordinating with other stakeholders, such as sectors and the communities
- staying motivated and managing expectations
- monitoring, developing, and adapting the work plans.

Why do we implement?

We implement to achieve the objectives that we have identified during planning.

Implementing helps to:

coordinate the efforts of different stakeholders in order to improve effectiveness and efficiency,

- integrate cross-cutting issues for sustainable development,

Implementation

Tip

Dzongkhag Tender Committee Composition:
1. The Dzongdag as the chairperson;
2. Dzongrab/Head of AFS;
3. Dzongkhag Sector Head concerned;
4. Head of Finance Section;
5. One (1) elected DYT members;
6. In case of construction, engineer or engineering consultant responsible for preparing the technical documents. In case of goods, appropriate officer responsible for custody/use of goods and technical expert or consultant.

Gewog Tender Committee Composition
1. The Gup as the chairperson
2. The Gewog Administrative Officer
3. The Gewog Accountant/

- solve day-to-day problems,

- build the skills and capacity of community members to manage and sustain development activities,

- develop community ownership of the development activity,

- build relationships between different stakeholders and,

- use learning to improve the quality and effectiveness of sub-activities and tasks.

How do we implement?

GAOs and DPOs need to make sure that all of the resources and people are in place to carry out the work plan. For example, the plan may involve providing basic training for the community monitoring committee. Preparation for this task will include identifying trainers and participants, preparing training content, inviting participants, planning a budget, and arranging logistics (venue, materials, refreshments, etc.). **Meaningful community participation** is most important and communities that benefit from an activity should continue to play a role in the implementation of the plan. It is only through their active and influential participation that the LG will be able to sustain the development activity.

1.   Procurement

The implementation of the Gewog plans usually involves "purchase of goods, services or the engagement of contractors for execution of works". This purchase is defined as procurement in the Procurement Rules and Regulations. It is clear that contract falls within this definition. The purchase of services refers to consultancy services that the Dzongkhag and Gewog may require.

There are five different ways through which we can procure goods, consultancy services and contract out depending on the monetary value. These are Open Bidding, Limited Bidding, Limited Enquiry, Direct
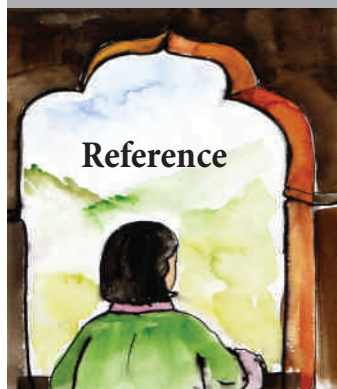
Contracting and Framework Contracting. Tender Committees need to be formed. Refer the tip for composition of the committee.

For plans which require construction, there are three modes of implementation. These are Deposit Work, Contract to Contractors and Community Contract.

Deposit Work

The work at hand can be done by relevant departments and the budget will have to be given to them. The responsibility of the work is with the departments who have this capacity. Here, the Gewog and the Dzongkhag need to ensure that the standards and specifications are adhered to.

Contractor

Construction is awarded to contractors as per standard procedures. It is important to have qualified monitoring committee (an engineer may be necessary) to ensure the agreed quality, time and costs are maintained. Here, the Community's involvement in the implementation is just to monitor the work.

Community Contract

The DLG have developed a Community Contract Protocol which will guide this process. Community Contract has the advantage of enhancing the capacity of the community through experience and could be cheaper at many times. The Community can also maintain the income for other works besides ensuring the quality.

2. Coordination with concerned sectors and communities

Implementation brings together many stakeholders of various capacities. Some stakeholders like the communities may need additional capacity building to enable them to shoulder their responsibilities effectively. Therefore, regular capacity building for the communities should

be integral part of the development activities. Good coordination by the GAO and DPO improves effectiveness and helps to use resources efficiently. Coordination also encourages networking, collaboration, and the sharing of skills and experiences.

GAOs and DPOs can encourage coordination by:

- establishing good communication channels between stakeholders (these can include regular meetings, one-to-one communication, announcements on public notice boards, written reports, etc.) - stakeholders need to know with whom they should communicate, about what and why.

- discussing progress, challenges and achievements together in order to learn from experiences and adapt plans as necessary. Community mobilisation often involves shifts in the balance of power between stakeholders. This can be unpopular with some stakeholders as they may feel they are losing authority or status. Measuring what empowers and disempowers people can help avoid this. Others may feel that they have been unfairly excluded from the benefits of the activities. They may even try to sabotage the community mobilisation process. The involvement of stakeholders in the community mobilisation process from the beginning may help reduce sabotage by providing constructive channels for stakeholders to participate. Similarly, a participatory approach will promote transparency, which will help avoid misunderstandings about potential benefits of the activities.

3.   Ongoing consultations with stakeholders

Implementation will bring challenges and problems that need to be solved together. The activities may be harder to carry out than expected. There may be obstacles that were not foreseen during activity planning. Conditions may change. Identifying and responding to problems
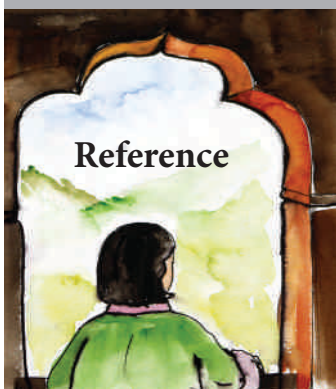
Tip

Conflict resolution

Learn from others. Find out how issues of conflict and tension have been dealt with in the past. What can you learn from other Gewogs and Dzongkhags?

Reference

quickly and at an early stage will help us find solutions and prevent small problems growing into big ones. Some problems may be hard to understand. It is important to take the time to reflect so that we can find effective solutions. Group discussion helps to analyse problems and identify solutions.

4. Conflict mediation

Conflict often occurs when people feel left out of the process so the best way to avoid conflict from happening is to involve all stakeholders, including women and men from different segments of the community and disadvantaged groups in the planning process **right from Step 1**, assessment and identification, until the end of the activity implementation. However, tensions and conflict may still arise. The GAO and DPO may start with limited awareness and understanding of relationships and dynamics in communities and the Gewog or Dzongkhag as a whole. Discussions with different stakeholders may begin to reveal tensions and conflict as well as power relationships and interdependency. The GAO and DPO should be careful not to "take sides" in a conflict, especially if (s)he only has a limited understanding of the situation. Be clear with stakeholders about the role and limitations of the GAO and DPO from the very beginning. This will help to avoid raising expectations which we cannot meet.

5. Adjusting the plan

It is important that regular review meetings are held with stakeholders to discuss progress. These meetings need to discuss if tasks can be carried out according to the plan and what modifications and alternatives are needed so that activities are effective, relevant, sustainable and can be completed on time. Step 6 provides information on how to monitor and evaluate together.

6. Community ownership

Community ownership means the local people at the Gewog and the Dzongkhag level become the owners of the development activities. For

the people to take ownership of the development activities, they must be involved from the beginning till the end. This means the people must actually be the active participants during the entire process of planning. Their views, aspirations and concerns related with the development activity must be taken into account. We must remember that the people will support their own decisions. The activities initiated by the people last very long in the community. These are well looked after in terms of care and maintenance. This will eventually contribute to sustainability of development because the community has a sense of ownership.

Checklist

Checklist for Step 5

- The people are participating in a meaningful way
- The supervision of work/contracts is arranged
- Monitoring by the community is checked every now and then
- The procurement documents are in order
- Effective mechanisms for communication between sectors and communities are in place
- Stakeholders are clear on who to contact about what
- People are clear about the way conflicts will be managed
- Problems are communicated and the work plan is adjusted when needed

Minimum requirements for Step 5:

- Respect Environmental Standards
- Respect Gender Responsive and Pro-poor Standards
- Respect Procurement Standards
- Ensure Quality Standards and Building Codes
- Hold regular meetings to discuss progress of the activities
- Communicate delays and adjust the plan accordingly
- Check that monitoring responsibilities are carried out

Step 6: Monitoring and Evaluation

Keys

Step 6: Monitoring and Evaluation

What do we mean by monitoring and evaluation?

Monitoring and evaluating helps to assess the progress that is made towards achieving the activities in the annual plan. Monitoring and evaluation often overlap because evaluation uses all information collected during monitoring, but they are also different from each other:

- Monitoring is a routine process. We use it to adjust and improve our work plans and tasks on a frequent basis.

- Evaluation is a more in depth assessment of what we have done, what we have achieved and what impact there has been on the people's lives. We usually evaluate after a longer period of time, such as at the end of the activity. However, we also conduct evaluations before we implement an activity or programme or policy, such evaluations are called prospective evaluations. Evaluations conducted during the implementation phase are called formative evaluations and those conducted after completion of programmes or activities are called summative evaluations. Evaluations help us to see if bigger changes are needed in the way we implement activities in FYP, or in Government Policies.

Case

Not too much sand in the cement!

Community M&E committee in Dagana Dzongkhag

A community M&E committee was organized to assure quality control of a farm road project. Six people were appointed to the committee, 1 GT member, 2 women and 3 men from the place concerned. The Gup was excluded, because the Gup is the implementer, and there needs to be check and balance!
The community committee took part in activity planning, and received training from the Dzongkhag engineer and the GAO on the quality of materials, how much was needed and why. This enabled the committee to check quality as well as progress of the work. It also checked progress 3-4 times in a month.
With community monitoring the farm road was finished on time and in good order.

Why do we monitor and evaluate?

Maybe we think the quarterly progress reports are for GNHC? Well, it is a requirement, but if monitoring and evaluation are done well it helps the GAOs, DPOs and LGs to:

- prove whether or not we have achieved the outcome and goal of development activity as per the needs of the people
- assess if our development is sustainable and continues to provide the benefits long after the program or project concludes
- improve effectiveness by helping to target better and identify strengths and weaknesses in implementation
- improve understanding of the relevance and timeliness of the activities by involving the people to identify what does or does not work and why
- revise and adjust the activities and work plan
- keep all community members and other stakeholders informed about the development activities
- motivate staff, communities and other stakeholders who work on projects to continue their efforts
- ensure accountability to different stakeholders
- use the money allocated to the LGs efficiently and effectively.

How do we monitor and evaluate?

1. Collect information about our activities

We collect information about what we have done, about what the money was spent on and about the results we have achieved. PlaMS and PEMS are the systems for information management of monitoring exercises. PlaMS store the physical progress and PEMS store financial data. Therefore, DPOs, GAOs and Sectoral officers need to update these systems as and when progresses are made. There are a lot of ways of collecting monitoring information. For example, through observation, talking to people, and from service and procurement records.

Too busy to monitor

A DPO explains about the Ten-der Committee comprising of Dzongdag, Dzongrab, Budget Officer, Engineer and relevant Sector Heads. They meet as a group again at the completion of the project for taking over. For monitoring they rarely go because they are too busy and there is also shortage of funds. This way it is difficult to ensure the quality of the work...

Tips

With a bit of training, community committees can do a quality job, because the activity is for their benefit!

Community monitoring is the preferred option.

Also, verify any information received by asking the people for confirmation.

An evaluation uses the information collected during routine monitoring and additional information collected specifically for the evaluation on the following questions:

- Have we made a positive change in the Gewog/Dzongkhag?
- What lessons can we draw for the future?
- What are the unforeseen impacts?
- Can we replicate such an activity in another place?

Evaluation involves many stakeholders and is a more in-depth look at what progress we have made. It asks questions on the relevance, effectiveness, impact, efficiency and sustainability of the activities. The lessons learned are crucial inputs for future plans, activities and even policies.

2.   Use information to assess what tasks we have done and to adjust work plans

For example, have we done everything we planned to do? If not, why? Have we done things we did not plan? Why? We also review if we are doing the right thing. For example, we might have expected our activities to help increase access to sanitation by latrines construction, but our monitoring tells us that there has been no change. We need to consider whether we should change our strategies of increasing latrine construction. Another example is we need to construct 2.5 kms of farm road. We look at the information to see whether enough kms have been built so far or environment friendly methods or features have been considered, and we explore the reasons why progress has or has not been made.

It is helpful to plan regular monitoring to assess progress against the work plan. A monitoring committee at the local level including women

and disadvantaged groups can facilitate this. It could be weekly, in case of monitoring disease outbreak, or monthly for another activity. Use the work plan developed in Step 4 for guidance. Identify the reasons for differences between what was done and what was planned. This will help to decide what to do next.

It is equally important to use the information on lessons drawn from the last evaluation in future activity planning.

3.   Share the information with different stakeholders

Agree how and when to share information from monitoring and evaluation with all stakeholders in advance and share with them this disclosure plan. This helps to check information and builds effective and accountable relationships with different stakeholders. It also helps to share lessons we have learned about how to do better next time. Being honest about our own mistakes encourages others to be honest also. So we can learn together!

The minimum is that GT and DT meet at least three and two times a year respectively to review progress of the annual plan. Extension Staff, Head Teachers, and the Health Assistants will participate during the GT review meetings. The Dzongdag, DPO, DBO and other Sector Heads will participate during the DT review meetings. The DPO and GAO serve as M&E focal point. For more details, check up with GNHC from time to time.

Checklist

Checklist for Step 6

- The communities have been consulted about a monitoring role.
- Community M&E Committees (if this is the chosen option) have received training to check on quality implementation of the work plan.
- Monitoring frequency has been agreed and the GAO and DPO

- are prepared to do spot checks.
- The GAO and DPO prepare monitoring information for monthly meetings with the Gup and Dzongdag and relevant Sector Staff.
- The GAO and DPO coordinate and prepare Quarterly Progress Reports and Annual Report.
- The GAO and DPO conduct final evaluation when a work plan is finished, involving all stakeholders according to NME Manual, Evaluation Policy and the Evaluation Protocol and Guidelines.

Minimum requirements for Step 6:

- GAO organizes a monthly monitoring meeting for the Gup and Gewog Staff. DPO organizes monthly monitoring meeting with Dzongdag and Sector Heads to review and update on the development progress.
- Update Gewog data base with new data and infrastructure.
- GAO and DPO coordinate work plan monitoring and quarterly progress reporting in PlaMS in line with the National Monitoring and Evaluation Manual....
- GT and DT discuss the progress report at least twice a year (half way), and annual report (end of the fiscal year).
- All activities should be monitored and evaluated on their adherence to GECDP and GNH principles

Tools

Tools

Tools

SL. #	Tool	Time needed	Size of the group	Literacy required?	Purpose of the tool
1	Critical reflection	1 1/2 hour	any size but sub groups of small size necessary	none	To reflect critically on past activities and draw lessons for future
2	GECDP Lens	1 1/2 hour	any size but sub groups of small size necessary	none	To develop a GECDP awareness and link to the development proposals
3	GNH Lens	1 1/2 hour	any size but sub groups of small size necessary	none	To develop a GNH thinking and awareness and link this to the development and proposals
4	Development mapping	3/4 to 1 hour	Medium to large	none	To provide an overview of development achievements, resources and services available in the community
5	Citizen Report Card	Several days	Gewog level survey	Yes for the surveyors, none for the interviewees	To check if the people are happy with a public service and to find out what people want to be improved.
6	Priority box	1/2 to 1 hour	Small to medium	none	To discuss different strategies for achieving a development goal, and use criteria to rank them.

Tools

SL. #	Tool	Time needed	Size of the group	Literacy required?	Purpose of the tool
7	Priority matrix	1/2 to 1 hour	Small to medium	none	To compare different development activities and rank them according to criteria agreed by the GT/DT with the people and members.
8	Pair-wise ranking	1/2 to 1 hour	Small to medium	none	To compare and rank similar options in or der to make choices.
9	SWOT analysis	½ to 1 hours	Small to medium	Some	To discuss if we have the ability to carry out an activity
10	Quick LG mandates checklist	5-10 min	Any size	Yes	To get a first indication of what funds at the Gewog and Dzongkhag level may be used for.
11	Planning hand	2-3 hours	Small to medium	Some	To make an activity plan

Small = 2-7 people Medium = 8-14 people Large = 15-30 people

Tools

Tool 1: Critical Reflection and Challenging our Assumptions

What is it?

This is an honest reflection of existing development experiences and their impact on the lives of the people. The people in a particular community, Gewog or Dzongkhag critically reflect on their development experiences by being open to critical questions and interacting amongst themselves. Some of these critical questions could be; What is the purpose of the development? What do we want to achieve as a result of these? Have we achieved these? How do we know? How have we or have we not achieved these? What can we do different this time to ensure that we achieve what we value?

Why use it?

- To learn from the past actions and inactions of development.
- To keep the focus on the central aim of life of community and clarify on the community values thereof
- To avoid pitfalls and dangers of the past and carry forward the successes
- To challenge the assumption of development and the definition of our development
- To assess if our aim of development is achieved

How to use?

1. Group of any size can take part in this activity but large groups are divided into smaller groups to ensure that the interactions are meaningful. The sub groups could be of 5 – 6 members and depending on the composition of the large group it might be wise to have sub groups based on gender and/or age. This ensures that perceptions of different groups are also heard.

2. Each sub group discusses questions like the ones provided in the What is it section above and in the Ideas section below. It is very important that the space for honest reflection is provided by encouraging the people to be open and relaxed.

3. Each sub groups' representative would share the summary

of their groups' discussion in the plenary. The plenary would engage in these discussions as the points are noted on chart paper. These would be recorded.

4. Similarities and differences would be highlighted and general lessons drawn for future plans.

Ideas

For example if a road was constructed in the area, this would be critically examined by asking questions and challenging the assumptions. The following questions could be used;

Why was the road constructed? What was it supposed to achieve? Has it achieved? Why or Why not? What could have been done differently? Are people happier as the result of this activity? Are we closer as a community as the result of this development? Was there any disaster or problem as the result of this road? Was the environment, the community, living standards improved as a result? What needs to improve to achieve a safe, sustainable and resilient development?

Facilitators' notes

Encourage the group to reflect critically. Provoke the group to go beyond the standard platitudes.

Tools

Tool 2: Situation Assessment through GECDP Lens

What is it?

A process oriented exercise helping the participants focus on development situation of an area and the society based on Gender, Environment, Climate Change, Disaster Risk and Poverty (GECDP). This can be used to assess the past activities as well as potential future activities. Some of these concerns have been highlighted in the GECDP Mainstreaming Framework for LGs.

Why use it?

- To start the community to think and discuss on GECDP and their impact on their lives.
- To provide specific assessment in areas of GECDP.
- To identify good practices and areas for improvement.
- To establish linkages of GECDP with development and the lives of people by raising the awareness of the people involved in the exercise.

How to use?

- Group of any size can take part in this activity but if large groups are divided into smaller groups to ensure that the interactions are meaningful. The sub groups could be of 5 - 6 members and depending on the composition of the large group it might be wise to have sub groups based on gender and/or age. This ensures that perceptions of different groups are also heard.
- Each sub group discusses questions like the ones provided in the 'what is it' section above and 'ideas' section below. The questions may have to change based on the activities being reviewed.
- Each sub group's representatives would share the summary of their groups in the plenary. The plenary would engage in these discussions as the points are noted on chart paper. These would be recorded.
- Similarities and differences would be highlighted and general lessons drawn for future plans.

Ideas

For example if a road was constructed in the area, this would be examined by asking questions challenging the assumptions and seeing at the bigger picture. Some examples could be asking the followings questions:

What was the purpose of the road? Did we achieve the purpose? At what costs? How did it affect the accessibility and lives of men, women, children and differently-abled people? How did it affect the environment (like flora, fauna and related natural resources, risk to landslide and floods etc)? Did it affect environmental or ecological services? Did it reduce environmental risks and ecological scarcities? Did it affect the poverty and employment situation and in what ways? Similarly, the situation of the Gewog and Dzongkhag can be assessed based on GECDP and used to identify appropriate activities. It would be advisable to use the Gewog wise existing sex disaggregated poverty data, disaster risk and vulnerability assessment maps and information, gender and state of the environment data. The other resource could be the localized MDG framework.

Facilitators' notes

Encourage the group to reflect critically. Provoke the group to go beyond the standard platitudes.

Tools

Tool 3: Situation Assessment GNH Lens

What is it?

Situation Assessment by using a GNH Lens helps us assess the development situation through a GNH angle. It helps us to reflect on the situation based on the 9 domains of GNH; Psychological Wellbeing, Health, Education, Culture, Time Use, Good Governance, Community Vitality, Ecological Diversity and Resilience, and Living Standards

Why use it?

- To provide the state of the community and the area based on the 9 domains of GNH
- To highlight the need to emphasise or focus more on certain domains as per its state
- To reflect on the situation that the development has led us to
- To identify possible areas of future development actions in line with GNH philosophy

How to use?

1. The group can be any size but bigger groups should be divided into sub groups of 5 – 8 people each to have better interactions.
2. The sub groups could be divided based on gender and other similar characteristics to ensure that the particular views of these categories are captured well.
3. The sub groups discuss the development situation based on some questions based on the 9 domain characteristics. Some questions to be raised could be:

    - How are we doing in this domain? What does this domain mean to us? How is it relevant to us? What more needs to be done in these?
    - The essence of the sub group's discussion is shared in the plenary and appropriately recorded. The output could be a list of potential areas for interventions and some mistakes to avoid.
    - Some of the more pertinent questions could be based on the different variable under each domain provided in the website below.

- The most important purpose of this exercise is to get the community thinking and discussing on these lines. The level of the discussions may vary in depth as the community start analyzing these every year.

Ideas

The activity can be used to assess past actions and inactions and their effect on the 9 domains of GNH and highlight possible interventions. If we take the example of road. The questions we would need to ask is how this road affects each of the 9 domains and are we better off as a result. The other aspects is to assess the village, Chiwog, Gewog and Dzongkhag situation based on each of the above 9 domains separately. Has our development brought us closer to realizing GNH or What needs to be done in each of the above domains? Is our development sustainable? It might be helpful to review the Dzongkhag and Gewog level results based on the GNH Survey conducted by the Centre for Bhutan Studies and GNH Research.

The websites are www.bhutanstudies.org.bt or www.grossnationalhappiness.com.

Tool 4: Development Mapping

What is it?

A development map usually shows the resources and infrastructure of a particular community, Gewog or Dzongkhag, the places where people live, and the services the people have, such as education, health, extension services, and water. However, this map is modified to show more. What is not there should also be mapped out and these would help in identifying the priorities (what is most important for this year using other tools).

This map includes demography (population size, gender, children, youth and old, etc), bio-diversity (flora, fauna and related natural resources), climate change (rainfall, temperature pattern, etc) and its associated implication to life in the Gewog or Dzongkhag while documenting disaster risk (earthquakes, landslides, floods etc).

Care should be taken to identify these and link to development. Poverty aspects cover income, access to basic amenities and general vulnerability. Poverty should not be limited to income only even though this is very important.

Why use it?

- To provide an overview of the demography in a community, Gewog or Dzongkhag, including the poor and the disadvantaged groups.
- To start exploring views and information about development concerns and opportunities within the community.
- To identify what services are available and what people think about these services.
- To identify the needs of the people
- To identify opportunities for adaptation and mitigation measures
- To help people to think in broader terms and the interdepen-

dence of their lives with development and environment.

- To help the people understand other's situation in addition to their own. This would include other people, other communities/Gewogs in terms of development ideas and good practices. This is instrumental in making informed decisions taking the holistic view at a later stage.

How to use it?

- Groups of any size can make a development map. Larger groups will take less time to map a large location.

- Draw a general map of the location to be explored, showing key landmarks like rivers, streams, watersheds, forests, wetlands, roads, schools, health units, lhakhangs and other important land marks decided by the people.

- Divide the participants into small groups. It will help if each group includes members of key populations (e.g. women's group, disadvantaged group, parents group, youth group, etc.). To ensure that the views of less vocal groups are also included and heard, it may be better to group people according to the similarities. This helps to avoid the domination by the articulate, better off and educated people.

- The small groups discuss what they would like to show on the map, and prepare symbols. They also discuss concerns they have for the future.

- Each small group shares what they would like to put on the map, as well as concerns they have. Allow disadvantaged groups and women to share first. They will hesitate to speak after people with more status in the community have "made their points".

Ideas for useful maps

Different maps can be drawn depending on the development needs or concerns of the community.

For instance:

- A map indicating the households with access to clean water or to education
- A map showing the natural resources of the community which are used by women and men. If there are different resources used by men and women, include them.
- A map showing resources and services that help people to earn livelihood and stay healthy and happy.
- A map showing the dangers and pitfall of development or lack of it. For example a landslide because of road construction, drying up of water sources because of cutting down of trees, crop damage due to increase in wild pig populations, clusters of people unable to make a decent living whole year round.
- A map showing the vulnerability of Gewogs/community to various disasters

Facilitators' notes

Different sections of the community should be invited to the assessment. This will help make sure that the views and knowledge of everybody in the community, Gewog or Dzongkhag are represented in the map.

Tools

Tool 5: Citizen Report Card

What is it?

A tool to assess the quality of public services such as agriculture, livestock and forestry, road maintenance, health services, water supply and sanitation, education, and other aspects from the users' (people's) perspectives including environmental services.

Why use it?

To check if the people are satisfied with a public service and to find out what people want to be improved

How to use it?

1. Select one public service that the GT has heard people complain about.

2. Determine how citizens can be consulted, and who will do this. For instance, in education it may be enough to consult all the parent-teacher associations in the Gewog, and the GT may decide that it is best to hire some students during their holidays to make sure there is no bias in the replies. If we ask extension to do the survey, people may be afraid to speak their mind freely. In the case of water supply, we need to do household interviews.

3. Design the questionnaire with the providers of the service (e.g. teachers, extension workers, community road maintenance committees, etc). What have the providers been mandated to provide? What would they like to get feedback on from the public? Question could also include whether GECDP issues were adequately addressed. Use scores from 1 to 10, or another scoring system that is easy for local people to use. Ask the Dzongkhag Sector Heads to give feedback.

4. Select a reasonable number of respondents who will need to fill up the questionnaires (for instance a minimum of 60% of the parent-teacher associations or 10% of the household's members including women and disadvantaged people).

5. Select and train the people hired to do the survey. Make sure you select both female and male surveyors (depending on the services to be assessed, women and men may feel more comfortable to talk if the surveyor is of the same sex). Ensure that they understand importance of confidentiality and anonymity as some people may feel uncomfortable to express their views honestly.

6. Analyze the data together with the surveyors.

7. Write a report: "The citizen report card for ..." Each item should be scored, and a short explanation given as to what works well and what needs improvement. The findings should be constructive and should not aim to embarrass or applaud a service provider's performance. Gain feedback from these service providers before sharing the findings with others.

8. Share the findings with the people during the assessment and identification step, or with the GT during prioritization.

9. Post the "report card" on the public notice board, and let the media know about it. They usually look for a story and the score card issue could be of interest to them.

   Based on: http://www.capacity.org/en/content/pdf/2899

Ideas

Get sample questionnaires from other GAOs

- Write to International 0rganisations for Assistance (see the Bhutan portal www.bhutan.gov.bt/ for contact addresses of all agencies in Bhutan).

- Organise a Gewog-level meeting between providers and the public. Let them find solutions together! Encourage the providers to listen and seek solutions rather than be defensive.

Tools

Tool 6: Priority Box

	Future need low	Future need high
Present situation Good		
Present situation Poor		Priority box

What is it?

This tool uses the above table to compare and list development strategies in order of importance. For example, if a community is considering ways to improve income from agriculture, this tool can show the different strategies and can help choosing one strategy over another.

Why use it?

The priority box provides a way to identify the most important thing to do.

How to use it?

Agree on the developmental activities and strategies to discuss. For example, the subject can be 'How can we get more income from agriculture? Examples of options might include, using power tiller, using new variety seeds, improving the road, building a market shed, starting a sales cooperative.

1. Draw or write each strategy on a separate card. This is called a strategy card.
2. Draw a table as in the example above.
3. For each strategy card discuss the present situation, and the future need. Is the situation at present good or poor? Is the future need high or low? Now place the strategy card in the appropriate box.
4. When the matrix is finished, encourage the participants to discuss the result. The most important strategy will be in the "priority box" where the present situation is poor and the need in future is also high. Is the most important strategy clear? What is the second choice, the third choice?
5. In case there is more than one choice in the priority box, further prioritization will need to be done through tool 5 pair wise matrix.
6. Discuss and agree on what to do next.

Facilitators' notes

The selection of strategies is a very important part of this activity. Help participants to explore as many options as possible. Accept all ideas without discussion and write them on a card (or draw a picture in case there are people who cannot read).The ideas will be discussed when we begin placing the cards on the table or wall.

Tools

Tool 7: Priority Matrix

Criteria	Development issue card 1	Development issue card 2	Development issue card 3	Development issue card 4
Easier to do				
More people will benefit				
Good for women				
Less expensive				
Promotes GNH				
Total score				

What is it?

This tool uses a grid to compare and list things in order of priority. For example, if a community is discussing various development activities, this tool can help show the different activities and the criteria for choosing best options.

Why use it?

Matrix scoring provides a way to score and compare different things against the same criteria.

How to use it?

1. Agree on the development activities that will be prioritized. For example, 'a new farm road", "repair the water system", "build a new classroom".
2. Draw or write each development activity on a separate card.
3. Draw a matrix – a big rectangle with rows and columns – as above. The number of columns is one more than the number of development activities. The number of rows is two more than the development activities.
4. Put one development activity card at the top of each column. Do not put a card at the top of the leftn hand column.
5. Agree on criteria for prioritizing the development activities. This will depend on what is important to the community. These criteria need to be agreed well before the issues are discussed. Otherwise, influential persons can manipulate

the criteria to ensure that the issue of their preference stands a better chance. For example, criteria for prioritizing might be: 'Easier to do', 'More people can benefit', 'Good for women in our community', 'Less expensive', 'Easily accessible for all in the community' and 'Less negotiation necessary'. It could also be more specific emphasis on GNH like the 9 domains or even the GECDP sieve. It is important that the criteria is decided before the exercise of proritisation begins and everyone's agreement should be sought. This exercise would result in a list of prioritised activities based on the group's preferences and in line with GNH and GECDP.

6. Draw or write the criteria in the boxes in the left-hand column of the matrix.

7. Agree on a scoring method for example, numbers 1-3, where 1 is very low and 3 is very high. This has to do with how people categorise issues in their own culture and language. In Dzongkha (Rab is excellent, ding...medium and thama... lowest). This is normally used.

8. Give each option a score for each of the criteria. Write each score on the matrix, or participants can use beans or stones to do this. It is OK to give the same score to different options. It is important that people are encouraged to discuss thoroughly the vice and virtue of each activity before making the actual choice. This helps to educate each other also.

9. Add up the scores for each option.

10. When the matrix is finished, encourage the participants to discuss what the matrix shows. Talk about whether the matrix makes sense or whether there should be further discussion.

11. Discuss how to use the information on the matrix.

Facilitators' notes

• The selection of criteria for scoring is a very important part of this process. Help the participants take enough time to discuss and agree on the criteria.

• The criteria for scoring must be either all positive or all negative, because they are to be scored and added up. For example, if the participants are talking about a new road, 'more safe' is a

positive reason and 'more dangerous' is a negative reason.

- Using beans or stones to score allows participants to make changes easily during discussion and provides an automatic visual indication of what the scores are.

Tools

Tool 8: Pair-Wise Ranking

Development Activity	School latrines	Farm road	Lhakhang renovation	Extension of water supply	Child care facility
School latrines	X				
Farm road					
	X	X			
Lhakhang renovation	X	X	X		
Extension of water supply	X	X	X	X	
Child care facility	X	X	X	X	X

What is it?

This tool uses a matrix to compare and prioritise different development activities.

Why use it?

Pair-wise ranking helps to compare and rank similar options in order to make choices. It also helps to sort information gained during an assessment of the current situation (Step 1).

How to use it?

1. Discuss the subject to be explored. For example, 'What are the different development activities we may want to undertake in our Gewog/Dzongkhag this year? Agree on the options or choices to be compared.

2. A list of six to eight options works well for this tool. If there are more than eight options on the list, encourage the participants to remove some options. For instance, those which will not benefit all people in the Gewog.

3. Draw or write each option on two separate cards. Divide the cards into two (identical) sets.

4. Place one set of cards in a line, from bottom to top, and place a blank card at the top of the list.

5. Place the second set of cards in a line from left to right next to the blank card in exactly the same order as they were listed from top to bottom earlier.

6. Cross out all the matrix squares that have the same pair of options in both of the rows. Half of the other boxes on the bot-

tom will also be crossed out because they repeat what's on the top. See example above. All boxes from the below the diagonal line gets crossed out.

7. Compare the first option (school latrines in the above example) at the top of the left-hand column with the second option (farm road in the above example) of the top row. Encourage participants to discuss which option they would choose. Draw or write the chosen option in the box on the matrix in the same way it was done earlier.

8. Continue this process by working along the first row from left to right. Then work along the other rows until all of the options have been compared.

9. At this point, all the empty boxes in the matrix that are not crossed out should now be filled in.

10. Count the number of times each option appears in the matrix and add these up. Rank the options in order according to how many times they appear. The option chosen the most number of times will be ranked first and second most as the second and so on.

11. Discuss the results of the activity. Discuss how to use the information.

Facilitators' notes

-   Pair-wise ranking is often used after techniques such as mapping.
-   It is often used before a more detailed ranking tool, such as a Priority Matrix.
-   The discussion people have about why they choose one option over another is just as important as the result. Reasons why people choose one option over another should be recorded.

Tools

Tool 9: SWOT Analysis

	Opportunities in our Gewog, Dzongkhag in relation to this activity:	Threats (constraints) in our Gewog, Dzong-khag in rela-tion to this activity:
Strengths of the activity, strengths of our organi-zation in relation to this activity:	Considering these Strengths and oppor-tunities, what can we do?	Considering these threats and these strengths, what can we do?
Weaknesses of the activity, weaknesses of our organi-zation in relation to this activity:	Considering these op-portunities and these weaknesses, what can we do?	Considering these threats and these weaknesses, what can we do?

What is it?

This tool uses a matrix to encourage discussion about what the strengths, weaknesses, opportunities and threats (constraints) of a particular activity are.

Why use it?

Using a SWOT analysis helps to decide whether we can carry out a activity idea.

How to use it?

1. Discuss the meaning of the words:

    - `strengths' - the good points about the activity and the organization/department/people that need to implement it
    - `weaknesses' - the weak points of the activity, and the organization/department/people that need to implement it
    - `opportunities' - the positive openings that exist for the activity and as a result of this activity
    - `Constraints' - the things that are or will get in the way of achieving the activity goals.

2. Draw a matrix with three rows and three columns (see example above). Write or agree symbols for headings of each box in the matrix.

3. Take each SW0T box in the matrix in turn:

   - Discuss the strengths of the organization to carry out an agreed activity. For example, strength may be that three people have received training. Draw or write all the strengths in the box in the matrix. Discuss also the positive things of the activity and draw or write all these.

   - Discuss the weaknesses of the organization to carry out an agreed activity. For example, a weakness may be the lack of volunteers to carry out the activity. Draw or write all the weaknesses in the box in the matrix. Discuss the weaknesses of the activity and record those as well.

   - Discuss what opportunities there are in the Gewog or Dzongkhag that will help to carry out a new activity. For example, an opportunity may be a good relationship with the Dzongkhag engineer or achieve multiple objectives by implementing one or fewer activities. Discuss also the opportunity that could emerge as a result of this particular activity. Draw or write all the opportunities in the appropriate box in the matrix.

   - Discuss what threats (or constraints) exist which will prevent or hinder a new activity. For example, a constraint may be that the slope where the road needs to be built is very steep. The other issue that can be discussed is the threats that this activity will bring. These could be problems that this activity will bring. Draw or write all the constraints in the box in the matrix.

4. Discuss the remaining questions in the box. How can the strengths and opportunities help to mitigate the weaknesses and threats?

5. Agree to stop or to go ahead with the activity idea.

Tools

Tool 10: Quick LG Mandates Checklist

What is it?

This is a checklist covering the Framework of Division of Responsibilities (FDR) between Local Governments and Central Government.

Why use it?

The FDR provides clear delineation of expenditure responsibilities between LGs and Centre level agencies and sectors.

How to use it?

During the GT meeting as a quick reference guide, refer to the FDR.

**"Division of Responsibilities between
Local Governments (Gewogs, Dzongkhags, Thromde 'A') &
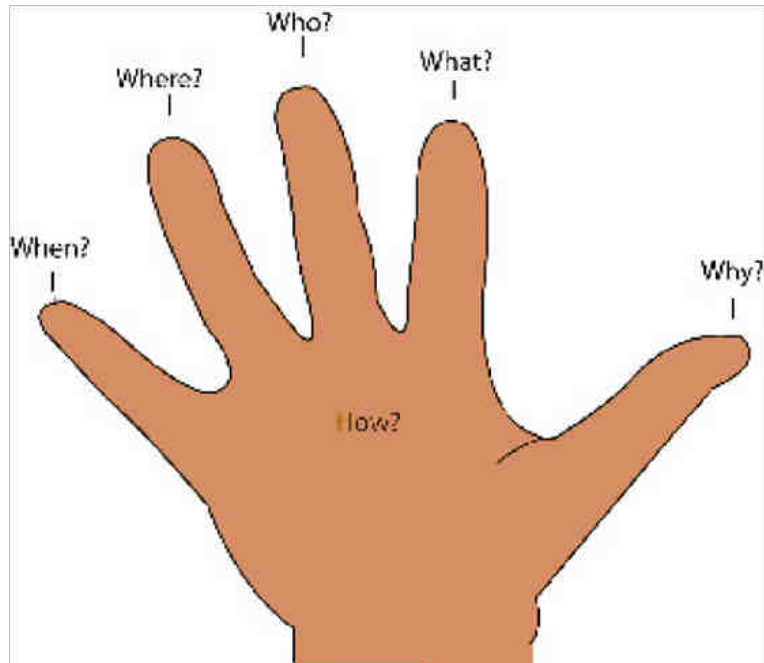National Government (Central agencies/Sectors)**

Gross National Happiness Commission, Royal Government of Bhutan, October 2012

Tools

Tool 11: The Planning Hand

What is it?

This tool uses the hand to plan what we will do, why, by when, where, who will do it and how. It is especially useful for planning with communities.

Why use it?

The planning hand helps to plan the implementation of a community development activity with the people.

How to use it?

Use your hand to introduce the various components of an implementation plan. Also make a work plan matrix to record the outcome of the planning hand questions.

Ideas for useful questions

1. index finger = What? – What is it that we are going to do?
2. thumb = Why? – Why do we want it? Justification requires the detailing of benefits and beneficiaries.
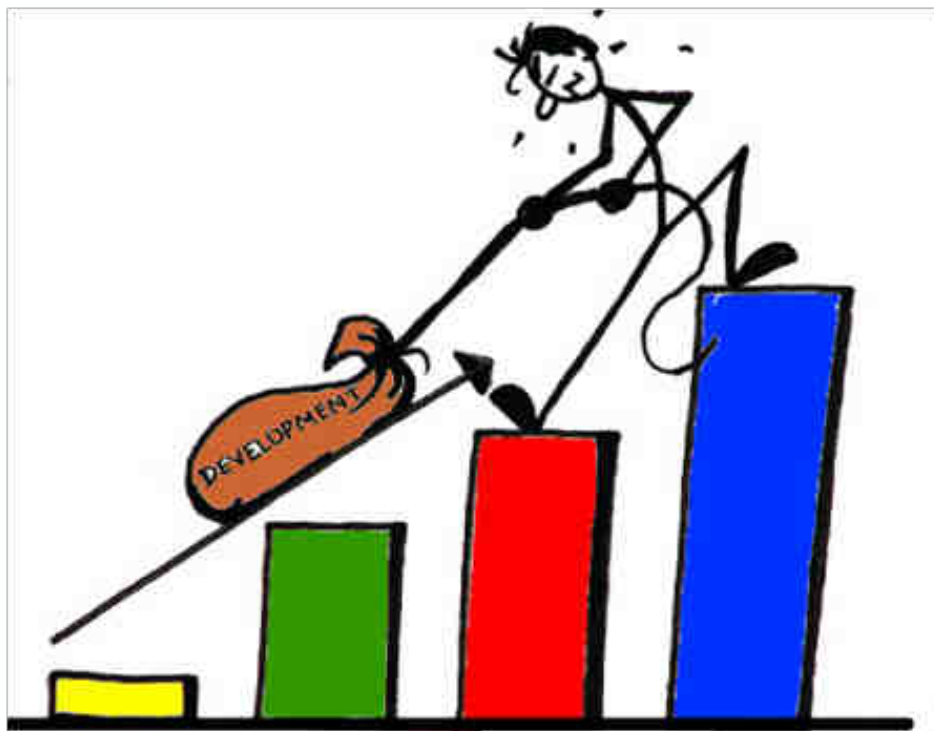3. middle finger = Who? – Who are the people who will carry out the plan?

Tools

4. ring finger = Where? -- Where will the activity take place? Name the specific place.

5. little finger = When? – When do we plan to implement it? When does it start, when does it end? Remember the fiscal year and the important community events.

6. palm = How? – What are the specific steps or tasks required? Here the detailed plan will be laid out and each individual responsibility will have to be mentioned. This includes the type of implementation modality chosen.
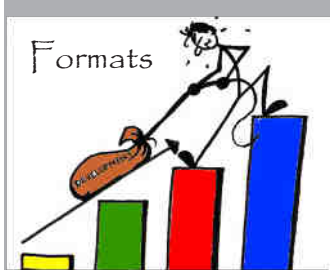
Facilitators' notes

- It is important to be very specific when discussing activities and while answering each question. Help participants to break down large activities into small ones.

Formats

Formats

Record keeping format

Location:	Date:
Facilitator:	Note taker:
Number of participants: men /_____/ women /_____/	Comments on the diversity of participants: (young/old, disadvantaged groups, well off/poor, educated/illiterate organizations present, civil
Topic:	Tools used:
Main discussion points:	

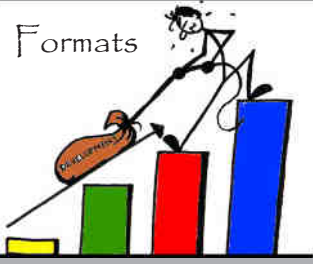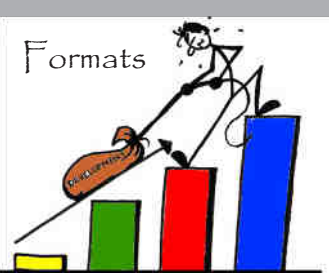| Main conclusions/decisions: |
|---|
| Issues for follow-up: |
| **What is it?** This format helps to keep a good record of meetings with the people. |
| **Why use it?** Records are needed to ensure that information is properly shared with GT and DT members and sector staff. Records are also important for transparency. |
| **How to use it?** Copy this format in your notebook. Take notes during the discussions. In case you are facilitating the meeting, ask somebody ahead of time to keep notes for you. Do not wait too long before you finalize your meeting record and file it for future reference. |

Formats

FIVE YEAR PLAN PROGRAM PROFILE

Au Name:	**Department:**
Program Name:	**Phase:**

Justification:	
Strategy:	
Risk Assessment:	
Beneficiary:	

Program and SKRA Linkages

NKRA (National Key Result Areas)	SKRA (Sectoral Key Result Areas)	SKRA KPI (Key Performance Indicators)

Table 1: Programme Results Level

Results Level (Outcome)	Indicators	Baselines	Base Year	Plan Targets
Outcome 001:				
Outcome 002:				

Results Level (Outcome)	Indicators	Baselines	Base Year	Plan Targets
Outcome 001:				
Outcome 002:				

Formats

FIVE YEAR PLAN PROGRAM PROFILE

Table 2: Programme Activities

Programme Outputs	Program Activities	Priority	Start Date (Month/Year)	Finish Date (Month/Year)	Lead Implementing Agency	Collaborating Agencies

Table 3: Programme Plan Outlay Summary

Programme Activites	Activity Priority	Plan Outlay (Nu. in Million)			Funding Type	Funding Agency	Remarks
	Priority	Recurrent	Capital	Total			

Table 4. Monitoring & Evaluation Plan

Results Level	Indicators	Baseline	Base Year	Target	Data Source	Reporting Frequencies & Responsibilities		
						Frequency	Reporting Responsibility	Report to

Formats

ANNUAL WORK PLAN AND BUDGET FINANCIAL YEAR:

Administrative Unit Department/Sector	Department/Sector	
Program	**001**	
1. Outcome and Output		
Result	**Indicator**	**Baseline**	**Plan Target**
Outcome 001			
Outcome 002			
Output 001			
Output 002			
Output 003			
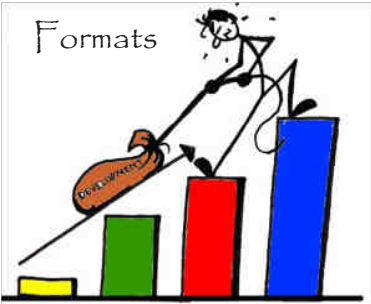
2. Activity and Sub-activity

AWP Object	Indicator / Implementing Agency	Annual Target	Timeframe Q1 Q2 Q3 Q4	Budget (M.Nu) Rec. Cap. Total	Funding Item Code*
Output: 001					
Activity: 001					
Activity: 002					
Activity: 003					
Sub-Activity: 001				□□□	
Sub-Activity: 002				□□□	
Sub-Activity: 003				□□□	

Formats
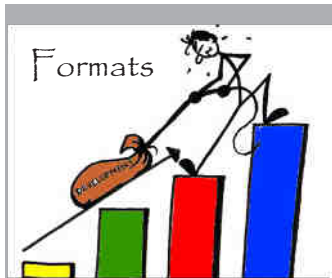
QUARTERLY PROGRSS REPORT [FISCAL YEAR:]   FIVE YEAR PLAN

Administrative Unit	Department/Sector
Field Office/Division	Program

1. Outcome

Outcome	Indicator	Baseline [BASE YEAR]	Plan Target	Progress Current Quarter	Progress Cumulative	Remarks

2. Activity and Sub-activity

Output/Activity [Implementing Agency]/ Subactivity	Indicator [Annual Target]	Progress	Budget (M.Nu)	Expenditure (M. Nu) Current Cumulative Advances	FIC	Remarks
Output: 001						
Activity: 001						
Activity: 002						
Sub-activity: 001						
Sub-activity: 002						

Formats

Summary of Issues and Recommendations

Key Achievements: (Highlight the main achievements in the current Quarter)	
Constraints & Issues: (List the constraints/problems and issues faced)	
Recommendations: (Suggest your recommendations/remedial actions to improve implementation.)	
Additional comments	

Endnotes

1. The design of this manual and some of the texts was inspired by a toolkit from Interna¬tional HIV/AIDS Alliance (2006) **All Together Now!**

2. Based on **The Local Governments' Act of Bhutan, 2009,** Functions of Local Govern-ments.

3. Though Article 22 (2) of the **Constitution of Bhutan** includes Thromde Tshogde as part of the Local Government, this manual is not specifically meant for them. However, it can be useful for reference.

Acknowledgement

Agencies consulted for the first and second Editions of this Manual

- Bilateral and Multilateral Developmental Agencies
- Gross National Happiness Commission
- Mainstreaming Reference Group (MRG)
- Ministry of Agriculture and Forests
- Ministry of Finance
- Ministry of Home and Culture Affairs
- Ministry of Works and Human Settlement
- National Commission for Women and Children
- National Environment Commission
- Tertiary Institutes and Colleges

Gewogs

- Bumdeling Gewog, Trashiyangtse
- Chhokor Gewog, Bumthang
- Chumey Gewog, Bumthang
- Gangzur Gewog, Lhuntse
- Guma Gewog, Punakha
- Kana Gewog, Dagana
- Khoma Gewog, Lhuntse
- Khoma Gewog, Lhuntse
- Kurtoe Gewog, Lhuntse
- Kanglung Gewog, Trashigang
- Logchina Gewog, Chukha
- Naro Gewog, Thimphu
- Saling Gewog, Mongar
- Saling Gewog, Mongar
- Samar Gewog, Haa
- Toewang Gewog, Punakha

Dzongkhags

- Bumthang
- Chukha
- Haa
- Mongar
- Punakha
- Thimphu
- Wangduephodrang