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Ministry of Interior, Local Government and Rural Development

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District Participatory Planning and Budgeting  
Guide (DPP&BG)

# DDF Training

## Trainer Guide

December 2018





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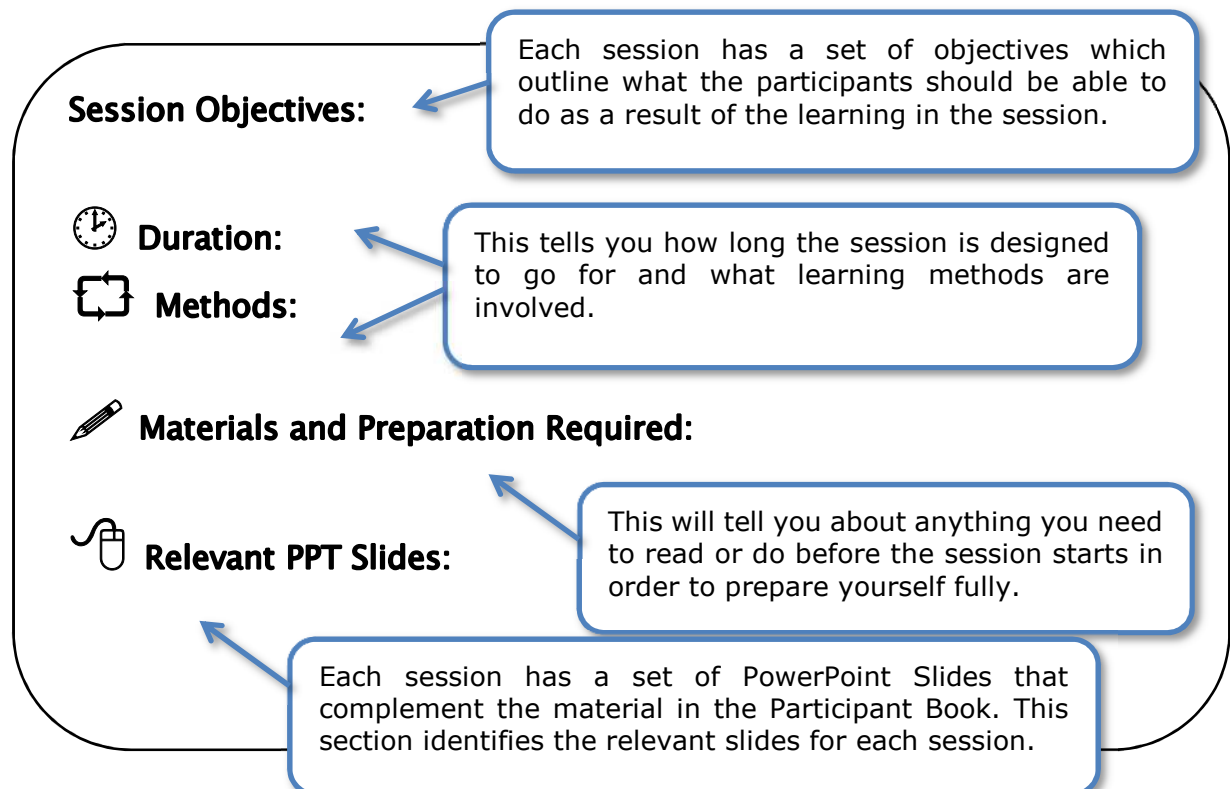
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## Information for Trainers

This Trainer Guide is to assist you to deliver training in the new DDF Training Module. It contains information and instructions which complement the information found in the Participant Book for the DDF Training Module.

This 'DDF Module is the second in a series of modules which form a core part of the curriculum in the Local Government 'District Participatory Planning and Budget Guide' (DPP&BG). Its purpose is to provide an overview and understanding of the District Development Framework (DDF) process, for those who are involved in preparing and implementing a DDF document.

### How to use the Trainer Guide



## Pre-Training Checklist

Activity	Suggested timing
Find out who the participants will be and the likely numbers.	2 weeks before
Decide on appropriate venue and make a booking.	2 weeks before
Organise paper copies of the relevant <b>Participant Book</b> – 1 A4 book per participant (in Somali).	2 weeks before
Make copies of the relevant <b>Evaluation Questionnaire</b> and <b>Assessment Task</b> (in Somali) – 1 per participant.	2 weeks before
Make catering arrangements (if needed).	2 weeks before
Read through the <b>Trainer Guide</b> and <b>Participant Book</b> to make sure you are familiar with both.	1 week before
Think about what equipment and materials you will need and organise these.	1 week before
Arrange a time and location for a pre-training meeting (or phone call) to take place before training starts, with Mayor and/or Executive Secretary, to discuss the training and the participant list.	1 week before
Finalise Participant List for the training	1 week before
Create participant attendance lists for signing each day of the training.	2 days before
Prepare training timetable for each day of the training and allocate training responsibilities among training team.	2 days before
Insert the district and government logos and participant details and timetable into the relevant PPT slides.	1 day before
Visit venue to set up furniture and test a/v equipment (if possible).	1 day before
Make sure you have all the training materials, photocopies and equipment ready for the training.	1 day before
Confirm catering (if needed).	1 day before

## Indicative Equipment Checklist

Item	Comment
Laptop and projector	Good if presenting PPT slides and/or other audio visuals (e.g. video), also for input of information into a document as an alternative to a flip chart.
Extension leads and powerboards	For laptop and projector.
PowerPoint slides on memory stick and on laptop	If using PPT slides, ensure you have a back-up copy on USB, as well as printed hard copies.
Camera/iPad to take photos of participants	Also, it is good to have someone designated to take photos during the training if possible.
Participant Book	One copy per participant (in Somali)
Trainer Guide	One copy per trainer
Other relevant resource documents	Hard copy or electronic copy
Evaluation Sheets	One copy per participant (in Somali)
Assessment Task	One copy per participant (in Somali)
Whiteboard and pens	In addition to or instead of flip charts
Flip Charts stands, paper and pens	In addition to or instead of whiteboard
Masking Tape	For sticking cards, sheets of paper to walls
Plenty of A4 paper	It may also be useful to set up a printer in the training room if possible.
Post it notes/stickers	For bookmarking important pages in the Participant Book and Trainer Guide
Name cards and/or badges or blank labels	For participants to identify themselves. Use A4 paper if cards are not available.
Notebooks and pens	For participants to take notes with.
Scissors, stapler and other misc. stationery items	You never know what you might need!
Video equipment, including power leads and connectors	If available, can be useful to record some sessions as a resource for others to use.

## Module Overview and Timings

**Module Time:** 8 training hours

**Delivered Over:** 2 days (4 training hours per day)

Session	Indicative Timing	Content
<b>Introductory Session: Getting Started</b>	<b>1 hour</b>	<ul style="list-style-type: none"> <li>• Pre-test Questions</li> <li>• Introductions and Icebreakers</li> <li>• Aims and Objectives</li> </ul>
<b>Session 1: First Steps in the DDF</b>	<b>1 hour</b>	<ul style="list-style-type: none"> <li>• What is a DDF?</li> <li>• Planning the DDF process</li> <li>• Community Awareness Raising</li> </ul>
<b>Session 2: Gathering information for the DDF</b>	<b>2 hours</b>	<ul style="list-style-type: none"> <li>• District Profile / LED</li> <li>• Community Consultations</li> <li>• Integrating State and Sector Plans</li> </ul>
<b>Session 3: Preparing the Draft DDF</b>	<b>2 hours</b>	<ul style="list-style-type: none"> <li>• Contents of draft DDF</li> <li>• District vision, priorities, objectives</li> <li>• DDF monitoring framework</li> </ul>
<b>Session 4: Validating and Finalising the DDF</b>	<b>1 hour</b>	<ul style="list-style-type: none"> <li>• Validation Workshop</li> <li>• Top Tips for preparing a DDF</li> <li>• Questions for Discussion</li> </ul>
<b>Session 5: Conclusion</b>	<b>1 hour</b>	<ul style="list-style-type: none"> <li>• Module Summary</li> <li>• Next Steps</li> <li>• Assessment &amp; Evaluation</li> </ul>

## Introduction Session: Getting Started

### Session Objectives:

- Create a comfortable and encouraging learning environment.
- Provide an overview of the training, including aims and objectives.
- Understand participants' expectations of the training.
- Agree on ground rules for the training.



**Duration:** 1 hour



**Methods:** Discussion, icebreaker activity



**Materials and Preparation Required:** Name tags for participants (or A4 paper to write their names), timetable, a copy of the Participant Book for each participant. Make a copy of the pre-test assessment and checklist for each participant.



**Relevant PPT Slides:**

- Slide 1: Title Slide

### ***Welcome, Introduction and 'Housekeeping'***

This can include the following:

- Prayer
- Welcome for any special guests and any introductory remarks.
- Background to the training if needed.
- Any 'housekeeping', for example, location of toilets, breaks or travel arrangements.
- Introductions of trainers and participants to each other (as well as any other resource/technical people present).

### ***Aims and Objectives of the Training***

Present the aims and objectives of the training in the Participant Book. Then, go through the training overview in the Participant Book, to outline what will be covered.

Explain some other important elements of the training including:

- Who the training is for.
- The assessment task to be done at the start and end of the training.
- Evaluation of the training at the end.
- Using the Participant Book — it should be referred to throughout the training and afterwards, back in the workplace.

### **Icebreaker Question**

An icebreaker question has been provided as a way to get participants to know each other a bit better. You can use these or your own if you have.

### **Expectations and Ground Rules**

1. Identifying participant expectations is an important part of understanding what people hope to achieve by attending training. It is useful to do this early on, in order to address any expectations that may be confused or unrealistic, and to ensure that everyone is clear about the purpose of the training and what participants should expect to achieve by the end of it.
2. Ask participants to work with the person they are sitting next to, and write down what they expect to gain from the training, as well as what they hope to be able to contribute to the training. Participants' expectations can be recorded on flip charts and then these flip charts can be posted up on the wall on the final day of training. As an exercise on the final day, participants can revisit their expectation from Day 1, to see how well it has been met, and indicate on the flip chart with a ✓ or a ✗ This exercise is also a good source of feedback for you as a trainer, to gauge how well the training has met participants' expectations.
3. It is also a good idea to identify 'ground rules' to guide the training, for example, no interrupting others when they are talking. Ask your participants for their ideas on ground rules for the training and make a list of these for all to see. Make sure that everyone agrees with the rules before continuing. Put this list somewhere visible for the duration of the training. These could include for example:
  - a. Taking part in activities and discussions.
  - b. Having mobile phones on silent and leaving the room if you need to take an important call.
  - c. Arrive on time each morning and after breaks.
4. The setting of ground rules is an important exercise for creating an environment of 'mutual respect', which includes:
  - Listening to other people's views, even if they are different from your own.
  - Not criticising other people's ideas just because you don't like them.
  - Giving everyone a chance to express themselves.

### **Assessment—Pre-test/Post-test questions**

The module has a set of 'Pre-test' questions and self-assessment checklist, which is a useful way to gauge participants' knowledge and skills levels before the training commences, and then compare with the results from the 'Post-test' questions and self-assessment checklist at the end of the training, to gauge what participants has learned as a result of the training. The 'Pre-test' and 'Post-test' questions can be found in the Assessment & Evaluation Guide for the DDF Module. Allow about 10-15 minutes for participants to fill in the pre-test assessment and checklist. Then have a discussion in plenary on each of the questions. Participants can get an idea of how accurate their responses were. Note that many of the answers to the questions will depend on the level of participants' existing knowledge about the subject matter to be covered. It is not necessarily to assess 'right or wrong' answers. As such, you can collect the pre-test

response papers after the task, or just discuss in plenary. Explain that a lot of the topics from the pre-test task will be covered in detail as part of the training. The important thing is for participants to compare their self-assessment checklist at the end of the training, to see how well equipped they are in terms as a result of the training they have just completed.

## Session 1: First Steps in the DDF

### Session Objectives:

By the end of this session participants will be able to:

- Explain the purpose of a DDF.
- Identify the first steps needed to start a DDF preparation process.



**Duration:** 1 hour



**Methods:** Discussion, Presentation, Questions for Discussion



**Relevant PPT Slides:**

- Slide 2: Questions on the DDF
- Slide 3: DPP&BG Planning and Budgeting Calendar
- Slide 4: Department of Planning
- Slide 5: Steps in DDF Preparation
- Slide 6: Community Awareness Raising on DDF

### Session Notes:

#### What is the DDF?

Start the session by finding out what participants already know about the DDF document. They may have heard of it before, or they may have been involved in preparing one in the past. They may have already discussed this as part of the 'icebreaker' questions in the Getting Started session. The main thing is to get their ideas about what the DDF is, and what its purpose is. You can add to their ideas with the 'Background Information Below'. It is also good to emphasise the following:

- The importance of a planning process as a tool for accountability and transparency for local governments, in order to be able to explain to the wider community how decisions have been made, particularly in regard to the spending of public money.
- Participation is an important aspect of planning and is an important aspect of the principles of good planning such as ownership, accountability and transparency. The more that people participate in the planning process, the more likely it is that they will be satisfied with the ultimate outcomes.

## Background Information—the DDF

**Planning** is a process of thinking ahead and deciding:

- *Where* are we now and *Where* do we want to go?
- *What* are we going to do and *How* are we going to do it?
- *Who* is going to be involved?
- A planning process can help a district authority to make sensible decisions about projects that can be *explained to the wider community*.
- If a planning process is not followed, a District Council may find it difficult to demonstrate that its decisions have been made in a *transparent* and *accountable* way.

### **What is the DDF?**

- The DDF is a guiding framework for district planning that:
  - Specifies the main social and development priorities and objectives of the district over the coming 5 years.
  - Defines the main priority interventions (in broad terms) needed to achieve the objectives.
  - Defines simple indicators and targets to measure achievement of the objectives.

### **What is the DDF used for?**

- The District Council will use the DDF to decide on which activities to put into their Annual Work Plans and Budgets.
- The DDF will be an important reference document for all stakeholders in the district, including Village Councils/Committees and citizens.
- The DDF will also act as an accountability tool, as it will ensure that the projects chosen for the Annual Work Plan relate to the district's objectives and contribute to the development of the district.
- The DDF is a district's guiding document for planning in the district. It is expected that donors and development partners in the district will be guided by the DDF when deciding where to provide support and resources.
- Importantly, the DDF is a tool to align district, sector and state planning priorities.

District Development Frameworks must be designed to ensure that they:

- Are relevant to local needs, demands and aspirations of both urban and rural populations.
- Are developed in a participatory manner and are locally owned.
- Stimulate strategic/forward thinking among district council and communities.
- Are formulated to support the achievement of state and sectoral development plans.
- Provide the basis for annual work planning and budgeting.
- Provide the basis for monitoring and evaluation at the district level.
- Serve as the basis for the preparation of proposals for donor and (I)NGO support and partnership.
- Provide a uniform format for the harmonisation of development priorities at regional and central levels.
- Ensure scarce resources are used to optimal effect.
- Guide the identification of funding and investment needs.
- Guide the identification of human resources and institutional development needs of the district.
- Integrate gender and conflict prevention and mitigation principles.
- Promote sustainable local economic development and growth.
- Create demand for services by raising awareness around the District Council's role in service delivery.
- Improve the capacity of the district to generate inclusive growth and therefore revenue collection.

### **District Planning and Budgeting Calendar / District Planning Department**

**Slides 3 and 4** relate to the District Planning and Budgeting Calendar and the District Planning Department, which are also shown in **Diagrams 1 and 3** of the Participant Book. Point out that the DDF process is the light blue squares on the calendar, which take place only once every 5 years, compared with the annual planning and budgeting process, which takes place annually and is shown in dark blue on the calendar. The DDF preparation process starts approximately in March and goes through until July.

The links between the different levels of planning in Puntland are important, and **Diagram 2** aims to illustrate these links.

**Diagram 3** shows the District Department of Planning, and how it fits into the wider planning context, for example, at a regional and state level. It is important because the Department of Planning has a lead role in preparing the DDF, so it is important to understand how this department relates to other planning stakeholders. Present this diagram and ask participants if they have any questions. You can also ask participants what they know about the role of the Department of Planning, and what they think the functions of this department are.

### Steps in DDF Preparation

**Slide 5 and Diagram 4** show the main steps in the process of developing the DDF document. Present these to give an overview and explain that you will go through each step in more detail as you work through the module.

**Step 1 and Step 2** in the process relate planning the DDF preparation and raising awareness in the community about the upcoming DDF process. Note that this is not the same as conducting community consultations in Step 3c. This is more a general awareness raising among the wider public that the process will commence soon, and to outline how the public can be involved. **Slide 6** give some methods on how this awareness raising can be done. The main objectives of the community awareness-raising are:

- For the wider community to know what a DDF is, and understand how they can contribute to the DDF development, for example, through the community consultation process, and/or through the validation of the draft DDF.
- For the community to know the proposed timeframe for the DDF preparation process, and who are those with the main responsibilities. For example, District Department of Planning, District Councillors etc.
- For the community to know who they can ask if they have any questions about the DDF and its development.

Present the information in **Tables 1 and 2** and then lead the participants in the Questions for Discussion. You can use the Background Information below to help you lead this discussion. Note that there are different questions depending on whether a district is new to the DDF process, or whether it has already completed a DDF in the past.



#### Questions for Discussion

Discuss the following questions in pairs and then discuss in plenary.

- What is the importance of raising community awareness in advance of commencing the DDF process?

*For districts who have already completed a DDF process previously ...*

How important were advance planning and community awareness raising activities for the success of the DDF process? What could you improve for next time?

## Background Information—Community Awareness

### **Principles of community engagement in local planning**

- a) All members and stakeholders in the community have the right to be consulted in the formulation and validation of the DDF and to be informed on the progress of its implementation.
- b) The planning process shall endeavour to ensure gender sensitivity and equal opportunity for men and women and marginalised and minority groups in general.
- c) The planning process will seek to ensure equity and fairness in the distribution of resources across geographical areas and populations.
- d) To ensure effective community engagement in the district planning process, the district administration will among other things:
  - (i) Actively take steps to involve communities through all the steps of the process of preparation of the DDFs, including through open Council public forums to validate the DDF.
  - (ii) Ensure that Village Council/Committee members participate in DDF validation workshops to ensure that their needs, concerns and aspirations are included in the final DDF document and that there is broad agreement on the priorities.
  - (iii) Consult with key community stakeholders and groups in developing detailed work or action or investment plans and budgets within the DDF and resource envelope.
  - (iv) Delegate some implementation responsibilities for simple-to-manage projects to the village committees, community based beneficiary or user groups.

### **What does a community awareness-raising plan look like?**

A community awareness-raising plan should contain:

- Key messages: what, who, how, when
- Target audience: all segments of the community
- Facilitator roles and responsibilities
- Communication tools
- Implementation plan

## Session 2: Gathering information for the DDF

### Session Objectives:

By the end of this session participants will be able to:

- Identify the main sources of information for the DDF and how to collect.
- Outline some of the main issues collecting the DDF information and suggest ways to overcome these.



**Duration:** 2 hours



**Methods:** Presentation, Questions for Discussion, Exercise 1



**Materials and Preparation Required:**



**Relevant PPT Slides:**

- Slide 7: What is the District Profile?
- Slide 8: District Profile Contents
- Slide 9: District Profile Data Sources
- Slide 10: Local Economic Development
- Slides 11-15: The Community Consultation Process
- Slide 16: Links between different levels of planning

### Session Notes:

#### District Profile

**PowerPoint Slide 7** asks 'What is a District Profile?' Explain that a District Profile is a document that provides important statistical information about the current social and economic development situation in the district and this feeds into the District Development Framework. The District Profile is one of the main sources of information needed for preparing the DDF. Highlight the following points:

- The main purpose of the district profile is to help District Authorities to develop an understanding of the current situation in their district and to be able to anticipate what the future situation in the district might look like.
- The District Profile will vary in length from district to district, depending on the amount of existing information available. However, the main information from the District Profile will need to be summarised for inclusion into the District Development Framework.

**PowerPoint Slide 8** shows the contents of the District Profile, which give the different headings for which information needs to be collected.

**Diagram 5** and **PowerPoint Slide 9** show the different sources of data that can be collected. The main point to note is that a lot of the data that will be collected is secondary data, which is available from different sectors. It will be important for data collectors to identify where the information can be obtained, and if possible, who the individual person is that can data can be sought from. It will also be important for any formal processes to be followed, for example, there may need to be a formal letter of request from the District Mayor or similar, to request access to specific data.

Another point to note is that a lot of primary data will be collected directly from village level, through the community consultation process. This should not be duplicated, and information from these consultations can be used to inform the District Profile.

Direct participants to **Annex 1a and 1b**, which explains in more detail some of the specifics of the District Profile contents and the different areas of data collection, sector by sector, and identifies what specific data the data collectors should be looking for within each sector.

**Table 3** gives a summary of the District Profile process, including the main stakeholders involved. Refer to this and lead into the Questions for Discussion below.



### Questions for Discussion

Discuss the following questions in pairs and then discuss in plenary.

- Why is a District Profile important?
- What benefit can a District Profile bring to the DDF document?

*For districts who have already completed a DDF process previously ...*

- How useful has the District Profile been for your district, particularly in providing information for the DDF? Give some reasons why or why not.

### Local Economic Development / Local Economic Assessment

Local Economic Development (LED) relates to the following:

- Making use of a district's local resources and competitive advantages.
- Creating decent jobs and stimulating economic activity in a district.
- Generating opportunities for business growth in a district.

LED can be thought of as another 'Sector' area (in the same way as education, health etc) that needs to be considered in DDF priorities, as well as when identifying priorities each year as part of the annual planning and budgeting process.

If there is any confusion about how LED relates to the District Profile and DDF, explain that data collected as part of the Local Economic Assessment can feed into the District Profile.

Local Economic Assessment (LEA) has also been included, and explain that this relates to the tools for collecting information that can help a district form a Local Economic Development Strategy.

**Slide 10 and Annex 2a.** give an overview of the types of information that can be collected through an LEA. It is important to emphasise LEA, because districts will vary in their capacity and resources in terms of local economic development. Some smaller districts with fewer resources may not feel they can develop a full LED strategy. However, all districts should be encouraged to conduct a Local Economic Assessment, so that they have a clear picture of the economic activity in the district, which may identify areas for greater economic opportunity.

**Annex 2b.** gives an example of a tool that can be used as part of an LEA. This one is an enterprise survey, but there are many others that can also be used, including interviews, asset mapping and focus groups.

### Community Consultations

Community consultations is a key component of DDF development. There will be separate detailed training on how to conduct the community consultations, but the session presented here will give an overview of the process.

**Diagram 6 and Slides 11-15** outline the steps in the process, which you should go through step by step. **Table 5** gives a summary of the different stakeholders involved in the process.

The Questions for Discussion relate to the guiding principles of community consultations and how to manage community expectations throughout the process. Have a discussion around these, using the information in the text box on the following page in the Participant Book to guide your discussion.



#### Questions for Discussion

Read the information below about guiding principles and community expectations in pairs and then discuss in plenary.

- Why do you think the **Guiding Principles** are important to uphold in community consultations?
- What do you think is the best way to manage **Community Expectations** about the planning process in your district?

*For districts who have already completed a DDF process previously ...*

Did you encounter some issues when the expectations of the community were different from what the district local government could provide? What happened and what action did you take?

Discuss the principles with participants and ask them if they have any other ideas of what principles should guide community consultations, for both community people and representatives of the District Council. Some other ideas about guiding principles are given below.

Guiding principles for the district and village committees

- a) *Recognition of views and opinions:* Actively seek and recognize public views and opinions in decision making;
- b) *Recognize community capacity and asset:* Recognize and build on community strengths and assets;
- c) *Open and honest communication:* Communicate openly and honestly in any community engagement activity;
- d) *Accountability:* Commit to ensuring highest level of accountability to and by communities.
- e) *Diversity:* Value diversity and listen to all voices within the communities.
- f) *Public Duty:* Strive to exceed the legislative requirements in promoting the value of public participation as a commitment to public duty.
- g) *Safeguard Public Interest:* and to safeguard public interest in all engagements.
- h) *Equity:* Make decisions that are equitable, appropriate and timely.

It is also worth taking some time to have a discussion with participants around the issue of community expectations. For example, do the participants have any experiences to share about times where the expectations of the community have been different from government? What happened? Is it possible to identify where the confusion came from? For example, lack of communication with the community, confusing messages to the community etc. You can refer to the following information to guide you.

When conducting community consultations, it will be important to consider in advance any likely expectations that communities may have about the process and its outcomes.

- Communities can lose faith in the planning process if they fail to see any real outcomes or benefits to their own community.
- Communities need to have a clear understanding from the start about what they *can* and *cannot* expect from the planning process.
- A mismatch of expectations and outcomes can create ill-feeling between the District Council and communities and can slow the progress of development activities in the district.

**Annex 3c.** is a Village/Cluster Priority Assessment Format. This form is important as it is what will be used to guide the information collection that takes place within each village/cluster. The purpose of the PICD tools that are used in data collection is to help the facilitators gather the information they need to complete these forms. The information from these forms will be consolidated and used to help identify key priority areas from communities, which will go into the DDF.

## Background Information—Community Consultations

1. Districts identify staff from Planning and Social Affairs Departments, who will train as 'ToTs'. These ToTs are responsible for the training of the facilitators who will conduct community consultations at village level.
2. The ToTs from each district are then trained by a service provider in a 2 week session on how to train community facilitators in conducting community consultations.
3. Districts, through the facilitation of ToTs, are responsible for the recruitment of the facilitators (from local NGOs/CBOs), who will conduct the community consultations. This recruitment process follows district procurement processes, with clear ToRs for the facilitators and a request for proposal sent to a list of 3-5 selected NGOs from the district. Interviews are conducted by the District Mayor/Executive Secretary, with the ToTs.
4. The number of facilitators recruited will depend on the extent of consultations required, which in turn is linked to the number of village clusters in the district. A 'cluster based' system of consultation is used as follows:
  - a. A cluster is defined as all villages within 4-5km (1 hour walking distance) of a central point.
  - b. It is the responsibility of the districts to map out these 'clusters', including the identification of the common meeting locality, for example, a school, significant tree, market place, etc.
  - c. Facilitators will work in pairs (according to their strengths and with consideration to gender) and therefore the number of facilitators depends on the number of clusters. For example, a district with 5 clusters may decide to hire 10 facilitators (2 facilitators per cluster).
  - d. The whole population is required for the initial 'community entry' meeting with facilitators and district representatives. Following this meeting, a group is identified as representing the 'cluster' in the planning process to follow. (See information on 'Community Entry' below).
5. The ToTs then train the hired facilitators in a 1 week training session, based on the contents of the Participatory Integrated Community Development (PICD) manual. The focus of this training is to give the facilitators the ability to work with the community for the visioning process.
6. The TOT assigns the facilitators to each cluster, the locations that they will go to and the dates. Once this is established, each pair of facilitators will spend up to 14 days in each cluster.

7. The role of the ToTs during the community consultation process will be to move around the clusters and provide monitoring and backstopping to the facilitators as they conduct their community consultations.

8. Following the consultations, the facilitators will work with the ToTs on data entry of the information they have collected.

***Methodology to be used for community consultations:***

- Note that the following process utilises the Participatory Integrated Community Development (PICD) manual, and incorporates 'Do No Harm' principles as an integral aspect of the consultation process.
- Facilitators will assist the communities to analyse their situation, define their development objectives, and decide interventions that will help them solve their problems and meet their development objectives.
- Divide the community into different groups, for example, women, disabled, youth, elders/men, and/or allocate people to specific 'sectors', in order to ensure that issues affecting the different groups and issues in the community are reflected.
- Discuss the current situation in the community with regard to development (a comparison is made with how the situation was in the past) and communities raise issues that are currently affecting them and impact on their access to basic services and development in general.
- Have all the different groups come together and identify common priorities based on the group related priorities. This can be done for instance through pair wise ranking, a comparison tool between the different aspects/issues raised by the community. Facilitate a consensus built on the importance of these issues by the entire community.
- Take the communities through a vision process, where they define their preferred future. For example, if their first priority is health, how exactly would they want to see health improved in their community over the next five years? Document this in a statement. Do the exercise in a way that does not exclude members who cannot read and write (e.g. use simple maps, pictures, drawings, symbols, which the community themselves come up with. Verify the information with the community.
- Summarise the vision, priorities and needs defined by the communities in Village/Cluster Priority Assessments (V/CPA).

## **Integrating State and Sector Plans**

Explain that state and sector priorities and requirements is another important source of information for incorporation into the DDF document. It is also important for districts to consider any existing priorities and plans before starting to prepare the draft DDF.

**Diagram 7** and **PowerPoint Slide 16** show the different levels of planning and the stakeholder roles at each of these levels. It is important to be aware of these, as participants must understand that DDFs are developed within a wider planning context, which includes a State Development Plan. Sectors also have their own sector plans, which will need to be considered by districts when developing their DDFs. At the same time, it will be important for sectors and state planning bodies to take into account the expressed priorities of districts as they appear in the DDF documents.

**Table 6.** is a detailed table outlining how the different levels of planning can be harmonised.

**Table 7.** summarises this process including the roles of stakeholders. **Annex 4a.** provides a detailed template on what information from other levels of planning should be included in the DDF and how this should be done. Note that this information should be incorporated into Section 4 of the DDF document.



### **Exercise 1: Data Collection Challenges & Solutions**

#### **Key learning points:**

- The exercise aims to analyse some of the key data collection challenges that have arisen (or may arise) for districts who are attempting to collect data for their DDF. The discussions may be slightly different for participants who have already been through a DDF data collection process, compared with those who are yet to commence the process, but the learning points are the same. There is also a practical element to this exercise, where participants can prepare an action plan to help them tackle some of their identified challenges back in their districts.

#### **Suggested timing:**

Preparation:	5 mins
Time in groups:	25 mins
Plenary discussion/Action Plan:	30 mins

#### **Groups:**

Participants can work in groups of 4 or 5 people.

#### **Steps:**

1. Allocate each group one of the Annexes in the Participant Book relating to data collection. These include:
  - District Profile (**Annex 1**)
  - Local Economic Development (**Annex 2**)
  - Community Consultations (**Annex 3**)
  - Integrating State and Sector Plans (**Annex 4**)
2. In their group, participants should read the information in the relevant Annex to the area they have been assigned, and discuss the following questions:

*For districts who are doing a DDF for the first time:*

- What do you think might be some of the main challenges in collecting the data you will need for this part of the DDF?
- For each challenge, can you identify some possible actions that could be taken to overcome the obstacles?

*For districts who have previously prepared a DDF:*

- What have been some of the main challenges in collecting the data for this part of the DDF?
- What actions did you take to address these challenges? How successful were they?
- What challenges still remain?

3. Ask each group to present their findings in plenary and discuss.
4. From what has been presented, move back into groups and ask participants to try and fill in the action plan with some ideas for solutions to the challenges discussed, which they can try to put in place back in their workplace. There is an Action Plan template in their Participant Book.

## Session 3: Preparing the draft DDF

### Session Objectives:

By the end of this session participants will be able to:

- Prepare a draft DDF document, using the correct format, and data from the four information sources.



**Duration:** 2 hours



**Methods:** Presentation, Questions for Discussion, Examples, Exercise 2



**Relevant PPT Slides:**

- Slide 17: Preparing the DDF
- Slide 18: Overview of DDF Contents
- Slide 19: Setting a DDF vision
- Slide 20: From vision to interventions
- Slide 21: DDF Monitoring Framework format

### Session Notes:

#### Preparing the DDF

**Diagram 8 and Slide 17** both give an overview of the process of developing the DDF, which shows information from the different sources (District Profile, Community Consultations, State/Sector Plans) being combined into one document.

**Diagram 9 and Slide 18** both give an overview of the contents of the DDF, showing the different sections and explaining what information should be included within each section. A detailed DDF format is provided in **Annex 5**.

**Diagram 10** gives an overview of how to develop a district vision from two main sources of information, which are Perceptions and Priorities. This is followed by a brief example to illustrate the process and the resultant vision, using Abyan District as an example, as well as some District Visions taken from actual DDF documents prepared in 2018. The visioning process is also presented in summary in **PowerPoint Slide 19**.

#### District Visioning Process in Detail

The two elements of a district vision – Perceptions and Priorities, aim to reach a balance between what is *perceived* to be the situation in the district with regard to development and what the data says is the *actual* situation.

### 1: Perceptions of District Councillors – Visioning exercise

As part of this process, District Councillors do an exercise to imagine how the district might look in 5 years' time. Councillors imagine themselves coming back to their district after a long time away. The facilitator of the process asks the following questions:

*'What can you see around you that was not there 5 years ago?'*

*'What changes can you see that have been made in the past 5 years?'*

*'What are the facilities like? What is the state of the infrastructure?'*

*'How are the people living? What are they doing? How is the mood?'*

Councillors would spend a minute visualising their district, then they join together in small groups of 3 or 4 to discuss the ideas that came out of the visioning exercise. Then Councillors share their ideas in a plenary session, which are recorded on flip chart paper.

### 2: District priorities

Here the District Councillors need to consider the priority areas for the district as prepared by the departments. Note that this information has been prepared by referring to:

- The District Profile, in particular identifying where there is a large gap between the status of the district and the state status/target in terms service delivery.
- The State priorities and requirements, which will reflect sector priorities.
- Community consultations, which should identify the main priority areas according to the communities.

Any important data or priorities should be recorded on the whiteboard or flipchart paper.

### 3: Setting the District Vision

Once all the ideas have been recorded and the priority areas reviewed, the next step is to devise a statement that captures the vision for the district. This can be a difficult part of the process, as it can be hard to express everything in one sentence. Here are some tips to help facilitators:

- Have a look at what is written on the whiteboard/sheets of paper. Are there any common themes that come out? For example, education might feature as an idea from the visioning exercise and it may be a top priority area. This would indicate that education needs to feature in the vision statement.
- Remember that at this stage, the vision statement can be broad and does not need to go into lots of detail about what it means. This will happen when we come to look at objectives.



#### Questions for Discussion

Think about your own district, and discuss the following in pairs, then plenary:

- Can you write a good vision statement, to describe the changes you want to see for your district in the coming 5 years?

*Remember that a good vision statement should be short and concise, and with a positive outlook.*

**Diagram 10** and **Slide 20** give a clear picture of how the district vision is linked to priorities, and from this the objectives can be set, which aim to quantify the changes that are to be made over the coming 5 years. It is important to note here that the DDF is not

intended to list specific projects in specific locations, but rather to identify areas for interventions, based on the objectives that have been developed.

Note that this example only gives 3 priority areas, whereas in reality districts can identify up to 6-7 priority areas. Also point out that for each priority area identified, there needs to be 1-3 objectives defined, which will help the district progress towards its vision at the end of 5 years. Also emphasise that main areas of intervention are broad and are not at the level of specific projects. However, these main areas of intervention can guide the development of project ideas.

In order to be able to measure the improvements that will have come about by the end of the 5 year lifetime of the DDF, it will be important to be able to measure the state of something at the beginning of the 5 years (a baseline) and then again at the end of the 5 years, as well as measuring annual progress (targets). **Table 8** aims to show these links between priority areas, baselines, objectives and interventions. An example is presented in the table that follows to show how some priority areas are derived. In order to measure the desired changes, there will need to be indicators set for each of the objectives. An explanation of terms such as Indicators and Baselines is included.

It is also important to emphasise the need to develop mechanisms for monitoring progress towards achieving DDF objectives, and that these mechanisms should be developed *at the same time that the DDF document itself is developed*.

**Table 9** and **PowerPoint Slide 21** give an example of a DDF Monitoring Framework that should be developed and included as an Annex to the DDF document. This framework should list each of the DDF Objectives, its baseline (starting point), what indicators will be used to measure progress, as well as what annual targets will be set. The framework also outlines how the indicators are measured (for example, statistics), and who will have responsibility for collecting this information. Each year there should be a formal process of measuring progress towards each of the DDF objectives, and the framework should be completed at the end of each year, as well as at the end of the 5 year lifetime of the DDF. This process should be led by the District Department of Planning.

**Table 10** gives a summary of Step 4. DDF Preparation, which includes the roles of the different stakeholders involved in this step.



### **Exercise 2: Writing SMART Objectives**

#### **Key learning points:**

- This exercise aims to familiarise participants with how to write SMART objectives.

#### **Suggested timing:**

Preparation:	5 mins
Time doing activity:	15 mins
Plenary discussion/Debrief:	20 mins

#### **Groups:**

- Participants can work in groups of 4 for this activity.

**Steps:**

1. Work in groups of 4-5 and read the information provided in the Participant Book on SMART objectives.
2. Using the information, discuss and answer the questions that follow, which also ask you to rewrite some objectives using SMART.
3. Discuss your answers in plenary.

**Questions:**

1. From the list below, which objective for Abyan District has not been written according to SMART?

*Answer: Objective C*

2. Can you identify what is not 'SMART' about the objective you have chosen?

*Suggested Answers (there may be some variation):*

- *It is vague, no specific detail about what 'situation' is to be improved in the province and what we actually mean by 'improve'.*
- *Although it does give a measurement (100%), it does not give any start or finish point for what this should be measured against.*
- *It is difficult to say whether the objective is achievable or realistic, given that there is no starting point. However, it might be difficult to achieve 100% improvement in just a few years, depending on what the start point is.*
- *The timeframe is also vague.*

3. Can you give any suggestions about how this objective could be rewritten to be more 'SMART'?

*Suggested Answers (there may be some variation):*

- *'the situation' would need to be defined more specifically and also what we mean by 'improve', for example, does it mean more or less of something?*
- *Measure data with a start and finish point, for example, from 50% to 60%.*
- *Adjust to make it achievable and realistic, depending on the start and finish point.*
- *Make a clear timeframe, stated in years, for example, by 2016 or 2012-2016.*

4. Rewrite these objectives for Abyan District using SMART:

Objective 1. Education: Within the coming 5 years, level of literacy, vocational skills and primary education in Abyan District will be improved.

Objective 2. Infrastructure road access: In 5 years' time, Abyan District will have improved road conditions, transport movements, and accessibility of major human settlements in the district.

Objective 3. Water. During the coming 5 years, Abyan District will make sure improved water availability and accessibility in the villages affected by water shortage.

## Session 4: Validate and Finalise DDF

### Session Objectives:

By the end of this session participants will be able to:

- Follow the process of validating and finalising their DDF.



**Duration:** 1 hour



**Methods:** Presentation, Questions for Discussion, Examples



**Relevant PPT Slides:**

- Slides 22-25: Top tips for DDF preparation

### Session Notes:

#### DDF Review and Validation

Explain that it will be important to validate the draft DDF document with a range of stakeholders before it is finalised. Importantly, the VCs should be given a chance to validate the DDF at a workshop and other stakeholders such as regional and sector representatives, the Ministry of Planning and MOI should also be given an opportunity to review the draft DDF and provide feedback.

Spend some time and ask participants to comment about what might be happening at the validation workshop, for example:

- What types of questions might community representatives have about a DDF?
- Who is represented at this workshop? (e.g. women, men, elders)
- What do you think might be some of the strengths and limitations of conducting such a workshop in terms of validating the DDF?

An important aspect of the validation workshop will be the validation of the targets and indicators developed as part of monitoring the DDF objectives. This will be one of the main mechanisms to monitor the district's progress towards achieving the objectives in its DDF and it is important for community representatives to have a role in both validating the targets and indicators and then in ongoing monitoring of these targets and indicators over the course of the 5 year DDF.

**PowerPoint Slides 22-25** and the Participant Book provides some 'tips' for districts who are preparing their DDF for the first time. The information in the tips comes from a DDF review workshop, where district participants were able to give advice based on their own experience of developing a DDF for their district. Go through these tips with participants. **Table 11** gives a summary of Step 5 Validate and Finalise the DDF.



### Questions for Discussion

The DDF will be the main planning document for the district for the next 5 years. Other development partners in the district (including NGOs, donors) should refer to the DDF when deciding how to contribute to the district's development.

- What are some steps that a district could take to ensure that its DDF is referred to by other development actors?
- What might be some challenges in achieving this and how could your district address these challenges?

To finish the training, have a discussion about DDF implementation, based on the Questions for Discussion above.

*Some ideas include:*

- Dissemination to community – not currently being done, we need to ensure this happens. (Bring in the State Ministry of Planning to this process).
- Community input and validation on the DDF.
- Harmonisation of the format (that is, to ensure that it is one that other actors can align their own plans to).
- Regular coordination meetings with regions to ensure that they are on board and familiar with the DDF and can take a regional approach.
- Oversight and enforcement by MOI in the process of implementing the DDF—it should be made a mandatory planning tool (for example, through government decree), so that it is not just a 'book on the shelf'—it should be a 'living document' that is consulted throughout its lifetime.
- In order to keep track of priorities in the DDF, set up a database within the district containing DDF priorities, as well as interventions and details of relevant stakeholders.
- Some districts have had success in bringing together stakeholders in the district to make sure they are aware of the DDF and emphasise that anything they want to implement should be in line with the priority areas of the DDF. It is very important to have the support of the Mayor in order for this approach to be successful.
- Recognise that for many districts, external support will be needed (e.g. donors, diaspora) in order to fund the priorities in their DDF. The DDF is important in this way as a fundraising tool to demonstrate a legitimate planning process.

## Session 5: Conclusion

### Session Objectives:

By the end of this session participants will be able to:

- Summarise the main topics covered in the DDF Module.
- Demonstrate understanding of the content of the module, through a short assessment task.
- Evaluate the module, by providing feedback on their reaction to the training they have just completed, through a short questionnaire.



**Duration:** 1 hour



**Methods:** Discussion, Assessment Task, Evaluation Questionnaire



**Materials and Preparation Required:** Prepare copies of the Assessment Tasks and Evaluation Questionnaire in advance of the session.



**Relevant PPT Slides:**

- Slide 26: Conclusion

### Session Notes:

The main aspects of this session are to recap what has been covered in the training, through a summary provided in the Participant Book, as well as to set participants a short assessment task to gauge their understanding of the material covered in the training. It is also important to get the opinions of participants on what they thought about the training, so that the training material can continue to be improved.

Start by asking participants if they can recall some of the main points from the training. Ask people to share if there was anything in particular they found useful or interesting, or anything that might have been confusing. You can refer to the bullet points in the Participant Book for this session to guide you and the participants through this process.

Then, hand out a copy of the post-test task for each participant (this is located in the separate 'Assessment and Evaluation' document). You should have made a copy for each participant prior to the start of the training.

Participants should attempt the 'Post-test' questions and self-assessment checklist, which complement the pre-test questions and checklist that should have been completed at the start of the training. You can choose whether participants should do the questions on their own, or to conduct as a more interactive activity in plenary.

Allow about 20 minutes for the assessment tasks. Collect the papers and then hand out an evaluation questionnaire for participants to fill in. Allow about 10 minutes for the evaluation questionnaire.