



Guidelines

# Preparing a local-level periodic development plan in Nepal

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# **Preparing a local-level periodic development plan in Nepal**

June 2020



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# Foreword

Municipal planning in Nepal has evolved from an approach managed by only land-use planners and government perspectives to a more inclusive process involving a broader range of participants. This is building a better understanding of local situations and their most pressing issues. To help institutionalize broad participation in periodic development planning, RECOFTC and the Hariyo Ban Program, funded by the United States Agency for International Development (USAID), have prepared guidelines for municipal governments.

The guidelines are just one product of the Municipal Plan Development Project and draw from the planning process experience that Thakurbaba Municipality in Bardiya District of Western Nepal went through. The provincial government and other municipalities have expressed appreciation for the resulting periodic development plan as a guiding document.

The work with Thakurbaba Municipality revealed several issues that municipalities are experiencing and that need resolving, such as how to increase the contribution of forestry to poverty reduction and how to better integrate climate change adaptation and mitigation into strategic plans.

With those issues in mind, along with other gaps and needs municipalities in Nepal face when it comes to multi-sector planning, these guidelines were developed to highlight how forests contribute to the municipal, provincial and the national economies, how to use budgeting incentives to encourage sectoral collaboration and to ensure the sustainability of projects and how to conduct more constructive consultation processes, among other aims.

One of the biggest challenges for municipal plans and their implementation is monitoring and evaluation, which are often not cost-effective or based on indicators that are specific, measurable, achievable, relevant and time-bound (SMART).

Municipality plans that follow these guidelines can become a more useful tool to trigger discussions on implementing progress, for example for municipal planners to establish a monitoring, evaluation and learning (MEL) framework with the SMART principals that meet requirements; or for policy makers to track progress on Nepal's emerging green economy.

These and other exchanges on emerging issues can then inform any need for change and enhance engagement with wider stakeholder groups, ultimately building a future where people live equitably and sustainably in and beside healthy and resilient forests in Nepal.

David Ganz  
Executive Director, RECOFTC



# Acknowledgment

We thank the USAID-funded Hariyo Ban Program and the Thakurbaba Municipality for the financial and technical support in the process that led to the production of the guidelines. I am grateful to Mayor Ghan Narayan Shrestha, all elected representatives and the communities of Thakurbaba Municipality for their suggestions and feedback during the drafting of their periodic development plan. Their support was crucial throughout the process. Experts Prem Sagar Chapagain, Ram Chandra Lamichhane and Sanil Nepal supported the development of the plan. Neeraj Katwal of RECOFTC Nepal developed and compiled the guidelines and Sandesh Hamal, Jaganath Joshi, Devraj Gautam, Gupta Bahadur KC and Kishwor Gandarva from the Hariyo Ban Program helped finalize the guidelines. I thank them wholeheartedly.

A special thanks goes to our external reviewer Hem Raj Lamichhane, guest editor Rahul Karki and graphic designer Sanjeeb Bir Bajracharya for their input during the validation and finalization of these guidelines.

Shambhu Dangal  
Director, RECOFTC Nepal



# Introduction

## Need for the guidelines

The restructuring of the governance system in Nepal was initiated following the promulgation of the new Constitution in 2015 (2072 BS), which reorganized the country into seven provinces and 753 local-level bodies known as *palikas*<sup>1</sup>. The *palikas* include six metropolitan cities, 11 sub-metropolitan cities, 276 municipalities and 460 rural municipalities. The Constitution mandates 22 exclusive powers to the *palikas*, including planning and implementation of local-level development (Schedule 8) and 15 concurrent powers to function at the local level (Schedule 9).

Following local elections in September 2017, *palikas* were formed and have been functional under the leadership of elected representatives. The powers of the local government are listed in Schedule 8 of the Constitution and manifest through the laws made by the village and municipal assemblies (Article 57 (4)). The Local Government Operation Act, 2017 (2074 BS) (section 24 (1)) requires every municipality to prepare and implement periodic, annual, strategic sectoral mid-term and long-term development plans. Each plan should be in line with the policies, targets, objectives, time frame and processes prescribed by the federal and provincial governments and should integrate cross-cutting issues, such as good governance, child-friendliness, climate change adaptation, disaster management, gender equality and social inclusion.

Within the recalibrated political context, a periodic plan is required for local governments to capture the basic needs, resource management and prioritization of development activities. To provide guidance for this local-level planning process, the National Planning Commission of Nepal prepared the Local-Level Planning Formulation Procedure 2075. Elected representatives demonstrated enthusiasm and vision to transform their *palikas*, but the limited experience and expertise

in integrated long-term strategic planning proved a major gap for preparing these plans.

Aiming to minimize this gap, RECOFTC Nepal and the program team of Hariyo Ban Program developed these guidelines to help local representatives when preparing their periodic development plan.

## About the guidelines

The guidelines can help in the preparation of the periodic development plan for the *palikas*. They describe the overall process and steps to take when developing the long-term master plan and periodic development plan for the *palikas* drawing from the planning process experience that Thakurbaba Municipality in Bardiya District of Western Nepal went through. The steps can be adapted to meet the needs of municipalities and subsidiary bodies.

## Guiding principles and approaches

### Ownership and engagement

The palika should remain at the forefront of the entire planning process. A palika is expected to provide:

- Ownership and leadership—the *palikas* should show strong commitment and lead the entire planning process to ensure that a vision and goals are met. This will help safeguard the priorities of the municipalities along with the decisions and interpretations stated in the periodic development plan.
- Local- and ward-level coordination—the *palikas* should ensure communication and coordination at the local level (ward and community) and among specific interest groups, government agencies, non-government institutions, the private sector, cooperatives, user committees and civil society organizations. This requires each palika provide timely communication and response when required at the ward level.

Strong commitment to and ownership of the process when drafting and finalizing the periodic development plan are crucial for the success of implementation.

### **Participatory planning**

The aim of a periodic plan is to promote economic growth and the development of all sectors within a municipality. This requires meaningful participation of various rights holders and interest groups, which should be one of the fundamental principles of the planning process. The planning process should include thought leaders, sector specialists and experts, marginalized and vulnerable communities (such as women, children, Dalits, youth, people with disabilities and senior citizens) during different phases of the planning process. The involvement of such groups should be driven by the needs and objectives that characterize the different planning phases. Participation can be done by way of stakeholder consultations at the ward and community levels, field observation, primary data collection, consultation and feedback on draft versions of the plan from palika representatives, political party leaders and community members. Involving political party representatives during different phases of the plan's preparation will be critical for garnering political support.

### **Gender equality and social inclusion**

Through participation in the three phases of the plan's drafting, women, Dalits and other marginalized groups can voice their needs and aspirations. Capturing their views and suggestions is a priority. The planning team and municipality officials should incorporate a Global Enabling Sustainability Initiative perspective when preparing for the periodic development plan.

### **Environmental sustainability**

Elements of sustainable development should be considered throughout the planning process. Environment and biodiversity conservation must be carefully weighed during the planning process. The needs and aspirations of future generations should be clearly reflected in the periodic plan to ensure a better and sustainable approach to local development.

### **Appreciative inquiry**

Appreciative inquiry should be applied in various workshops and public engagement events during the drafting of the periodic development plan to seek positive interest and solicit views from the general public for the development of their municipality.<sup>2</sup>

## **Expected outputs of the planning process**

Two outputs are expected at the end of the planning process:

- A municipality periodic plan for a period of 15–20 years, as the overall objective of these guidelines, which outlines the priority areas and core focus for a municipality and lays out the plan to achieve it in the long term.
- Ward-level data (qualitative and quantitative) to prepare the profile for the municipality, stored and categorized in a database.

## **Phases, steps and timeline**

The overall preparation process involves two phases, pre-planning and planning. The pre-planning phase entails the formation of a planning team and then formalization of the overall planning process. The planning phase requires several steps, starting from collecting published data and conducting a rapid assessment on the needs and goals, and then assembling the appropriate expertise, and moving through a few drafts of the periodic development plan before reaching final endorsement (figure 1). The entire process is expected to take six to nine months from inception to finalization.

**Figure 1.** Flowchart of the steps for pre-planning, planning and finalizing and endorsing









# Phase one

# Pre-planning

The purpose of the pre-planning exercise is to agree on the scope of the planning, build common understanding, clarify roles and responsibilities of each involved stakeholder during the process, form a planning team and formalize the entire process.

If any organization other than the municipality is involved in the planning, the formalization of the process should be initiated by a formal meeting between the municipality representatives and the organizations involved in the process to assure the commitment and the roles of each party. This meeting between the two parties must aim to build consensus and agreement on the following:

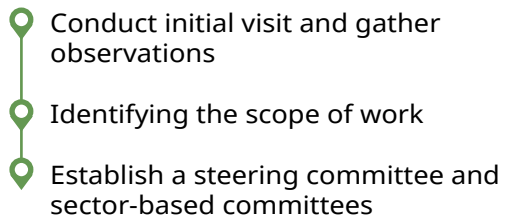
- Lead and management of the planning process;
- Communication and coordination at the local level;
- Review of related documents, such as policies and laws;
- Preparation of checklist for data collection;
- Collection of field data and information;
- Organizing meetings and workshops;
- Production of a draft plan; and
- Draft plan sharing, input collection and endorsement.

The roles and responsibilities should be discussed and divided among the involved organizations, including the municipality. Once an initial agreement is reached and the scope of work is decided, the planning team, along with the elected palika representatives, should be ready for the initial site visit.

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**Figure 2.** Flowchart of the pre-planning steps

## Pre-planning phase

- 
- A vertical flowchart with three steps, each marked by a green circle with a white dot in the center. A vertical line connects the circles, with a small downward-pointing arrowhead at the bottom. The steps are:
- 1. Conduct initial visit and gather observations
  - 2. Identifying the scope of work
  - 3. Establish a steering committee and sector-based committees

## Step 1



### Conduct initial visit and gather observations

The main objective of the initial visit to the palika is observation and interactions to identify problems and potential solutions. During this step, the planning team should design a field visit to generate an overview of the municipality and its basic needs and outline all the needs and issues to be considered in the planning process.

#### Purpose

Identify problems and potential solutions

#### Requirement

Site visit

#### Engagement

Planning team

The municipality representatives should use this phase to familiarize the planning team about the local situation.

During the initial visit, the planning team should:

- Interact with the municipality representatives on the potential areas of development.
- Gather a general overview of the municipality and its current status (social and economic) through informal interaction with available resource persons.
- Collect basic information based on a standard questionnaire and checklist.
- Conduct rapid assessment in all areas of the municipality, with a focus on areas identified as problematic by the general public and other stakeholders from the municipality.
- Collect available secondary data from the municipality, such as publications or any data that might be useful during the planning process.

### Output

Issues relevant to the municipality and the potential development area within the municipality are identified. Other detailed assessments are made that may be required in later stages of the planning process.

## Note

The number of visits may vary and can be repeated until all information required to conclude the initial observation has been collected.

## Step 2



### Identifying the scope of work

After the initial visits, the planning team next needs to determine what further assistance and expertise will be required in the core planning team and agree on the planning process and the given time frame.

The following scope of work can be used as a blueprint for the local-level periodic development plan drafting:

- The overall planning exercise starts with an initial planning meeting with the president or mayor and other officials of the palika to discuss processes, steps, roles and responsibilities between the organizations.
- A memorandum of understanding (MOU) is prepared and signed between institutions and organizations involved before the planning process is initiated.
- Five broadly defined tasks should be carried out in sequential order during the planning process:
  1. Scoping of the planning and stock-taking of contextual information to develop a draft outline of the planning process. Then conduct meetings with the palika and other line agencies on the planning process and their expected contributions to finalize methodologies and agree on the roles and responsibilities of each partner, to agree on the template and scope of the plan during the municipal council meetings and to populate the facilitation team from within the municipality.

#### Purpose

Determine what additional assistance and expertise is needed to develop the periodic plan

#### Requirement

Analysis of observations and information from site visits

2. Data and information collection, including socioeconomic data and information about the ward and all residential areas to develop criteria for land-use planning and for conducting land-use mapping, and primary and secondary information on river systems, forests, biodiversity, meteorological data, agriculture land and road network.
3. Data and information analysis of the situation of the municipality, such as resource mapping and stakeholder analysis.
4. Drafting and reviewing the plan to develop a matrix of opportunities, concerns and possible actions that will tap the opportunities and address issues, including a list of potential land-use options and actions to execute along with the communities. This will lead to a draft periodic development plan to be shared with the mayor or deputy mayor of the municipality and ward chairpersons and other potential stakeholders and that then incorporates their feedback.
5. Endorsement of the plan by the municipal council or the municipal executive body.

## Output

A blueprint details the steps for the planning process.

## Step 3



### Establish a core planning team

To facilitate the process for drafting the first version of the periodic development plan in sequential order, a core planning team should be formed with thematic experts and process facilitators. This step is important to set the roles of individual organizations involved (if any) to draft the periodic development plan for the palika. Because the periodic plan

#### Purpose

Determine what additional assistance and expertise is needed to develop the periodic plan

#### Requirement

Analysis of observations and information from site visits

prescribes a holistic development approach within a municipality, the planning team formed should comprise experts from diverse fields. The overall coordination of the planning team, however, will be carried out by the mayor, deputy mayor or chairperson of the palika.

The core planning team should consist of thematic and technical experts from the organizations involved (including the municipality) and should be available whenever needed (table 1). External consultants may be hired if staff experts are unavailable.

Human resources support should be provided by the *palikas* during the data collection and the several consultation processes. The individuals or experts in the field of health, education and forestry from the palika can work in coordination with the various district line agencies and can be mobilized to extract information from the field as well as validate information collected by other individuals. The role of individuals (representatives of political parties and communities) within the municipality will be crucial to ensure the collection and validation of sensitive information.

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**Table 1.** Suggested expertise needed for the periodic development plan process

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- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>■ Team leader or planning expert</li> <li>■ GIS expert</li> <li>■ Forestry and natural resources expert</li> <li>■ Biodiversity conservation expert</li> <li>■ Global Enabling Sustainability Initiative expert</li> <li>■ Governance expert</li> <li>■ Livelihood expert</li> <li>■ Field coordinator</li> <li>■ Gender expert</li> </ul> | <ul style="list-style-type: none"> <li>■ Climate change adaptation, disaster and risk reduction and watershed management expert</li> <li>■ Event facilitator and periodic development plan drafting expert</li> <li>■ Land-use planning expert</li> <li>■ Data analyst and documentation expert</li> <li>■ Civil engineer</li> <li>■ Economist</li> </ul> |
|---|---|
-

## Output

A core planning team is formed that will lead the overall process and deliver the expected periodic development plan.

## Note

Experts can be consulted in the various stages of the periodic development plan's evolution. Not all experts need to be available for the duration of the planning process, but they can contribute as needed.

## Step 4



## Agree and formalize the planning process

This step is useful when a municipality does not possess expertise and needs to outsource tasks to other institutions. If the municipality is solely responsible for framing the planning process, this step may not be necessary.

Several formal and informal meetings among the core planning team are expected to take place until all needed committees are formed. Preliminary visits to the municipality will help with generating ideas for further discussion and the prioritizing of actions.

After the municipality and all involved organizations agree on the vision for the municipality's development. An MOU should be drafted and signed by all the parties.

The MOU should include the division of roles and responsibilities among

### Purpose

Discuss initial steps and needs for developing the periodic development plan and the roles and responsibilities of each party involved and the working areas in the development of the plan.

### Requirement

Formalization of working procedures according to roles and responsibilities by signing MOU between the organizations involved.

### Engagement

All parties.

the signing partners for the preparation and drafting of the municipal periodic development plan.

To ensure a common understanding among all the parties when preparing the MOU, consider:

- Long-term planning (for 15- to 20-year period) for development of the municipality as an output of the process;
- Agreement on a comprehensive blueprint to prepare the periodic development plan by integrating scientific procedures<sup>3</sup> for each approach and activity;
- Efficient use of available resources to maintain low costs and ensure meaningful participation of elected members, communities and other stakeholders;
- Focus on balanced growth;
- Preservation of areas with value as natural and cultural heritage sites; and
- Rational use of land for better productivity and growth.

## **Output**

- Roles and responsibilities for the planning team and all involved parties are defined.
- The development needs identified for the municipality are agreed upon.
- An MOU that reflects the agreements made as a core foundation for accountability during the planning process is signed.

## **Note**

If a municipality is solely participating during the entire planning process, this step can be skipped. There is no need for an MOU. However, if consultants are to be mobilized, it will be necessary that all agreements are signed.



## Step 5



### Establish a steering committee and sector-based committees

The Local-Level Plan Formulation Guideline, 2075 of the National Planning Commission requires the formation of two types of committees: a steering committee and sector-based committees.

The steering committee directs and coordinates the overall planning processes. The composition of the steering committee is:

- |  |                  |
|--|------------------|
| 1. President or mayor                        | Coordinator      |
| 2. Vice-president or deputy mayor            | Member           |
| 3. All members of palika executive           | Member           |
| 4. Section heads of sectors under the palika | Members          |
| 5. Chief executive officer                   | Member secretary |

Then a committee should be set up for each sector, as table 2 suggests.

#### Purpose

Select and endorse a planning team that meets the needs of the municipality

#### Requirement

Experts

#### Engagement

Planning team and municipality representatives

**Table 2:** Sector-based committees to contribute towards preparation of the periodic development plan

Sector-based committees	Subsectors
1. Economic development	Agriculture, industry, commerce, tourism, cooperatives, financial institutions
2. Social development	Education, health, water, sanitation, culture, Global Enabling Sustainability Initiative

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3. Infrastructure development	Road, bridges, suspension bridges, irrigation, building and urban development, energy, micro and small hydropower supply, alternative energy and communication
4. Environment and disaster management	Forest and soil conservation, watershed protection, environment protection, climate change, solid waste management, water induced disaster management, disaster management
5. Institutional development, service delivery and good governance	Human resource development, institutional capacity development, setting service delivery standards, use of electronic information technology in service delivery, revenue mobilization, fiscal discipline, internal audit and control mechanism, final audit and advance settlement

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## **Output**

A steering committee and sector-based committees are formed.



## Phase two


# Planning

The planning phase involves designing the overall process, steps and procedures for drafting the periodic development plan. This section explains the steps conducted during the planning phase.

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**Figure 3:** Flowchart of the planning phase steps

## Planning phase

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- A vertical flowchart with eight steps, each marked by a blue circle with a white dot in the center, connected by a thin blue line. The steps are listed to the right of the line.
- Design the planning framework
  - Analyse the physical and spatial elements of the municipality
  - Organize a scoping workshop to map the vision and opportunities
  - Collect baseline data and information
  - Process and synthesize all data
  - Conduct a planning framework and content-development workshop
  - Refine first draft of the plan
  - Review and validate the second draft at a write-shop
-

## Step 1



### Design the planning framework

During this step, revisit the scope of work defined during the pre-planning phase and re-tune the scope, based on the needs of the municipality. The adjustments will help to conclude the framework for the plan preparation, as shown in figure 3.

#### **Purpose**

Draft the tentative process and steps for developing the periodic plan

#### **Requirement**

All members of the core planning team must come to agreement on the format for the plan formulation, considering and discussing different perspectives.

#### **Engagement**

Core planning team

## Step 2



### Analyse the physical and spatial elements of the municipality

After the overall framework and outline of the planning process are finalized, the physical features of the municipality should be analysed by using spatial data. This should lead to setting the parameters for the collection of the primary and secondary data. Thus, undertake the following:

- Conduct a preliminary study of spatial data for site overview  
 Apply the know-before-you-go approach. Gather and analyse published spatial and other relevant secondary data before a second visit is made to the municipality to further collect general information, which can also be used as baseline information at a later stage.
- Define the parameters for data collection  
 This is a responsibility of the core planning team who determine the essential parameters based on the needs of the periodic development plan for baseline data (see the annex for a sample).
- Prepare for the first meeting (scoping workshop)  
 Before making a second visit to the municipality, the core planning team conducts a scoping workshop. This workshop can be organized within the premises of the municipality and with local elected representatives attending along with representatives of political parties, other stakeholders and community-based organizations operating within the municipality. A joint session during the scoping workshop with all elected representatives from each ward and stakeholders from the municipality, as well as political representative can

#### Purpose

Knowing work area before making a second site visit

#### Requirement

Secondary data (statistical and spatial) of the municipality and the district it is located in

#### Engagement

Core planning team, especially land-use planning and GIS experts

help bridge any gap in understanding the planning process and the methods applied.

- Develop a schedule, session plan and strategy for the scoping workshop as a next step
- Agreed with consensus on all elements.

## **Output**

Data collection and analysis are completed and the subsequent phases of the planning process are detailed. This exercise provides the core planning team with an overview and visualization of the municipality in terms of spatial and statistical elements. This step also provides the necessary information for defining the framework, requisites and core objectives of the scoping workshop in the next step.

## **Note**

Scoping workshops serve as a platform for representatives of the municipality and all other stakeholders, including the general public, to express their interests, focus and vision. During the scoping, the core planning team explains in detail to all other stakeholders about the data-collection process and methodology. Scoping workshops also serve as a checkpoint to make sure the priorities of the municipalities and planners are aligned.

## Step 3



### Organize a scoping workshop to map the vision and opportunities

The core planning team facilitates a scoping workshop to map the vision and opportunities, and reach an agreement on the defined parameters (from step 2) for the baseline data that the periodic development plan will require.

The workshop fulfils several objectives:

- Introduce the purpose of a periodic development plan and its importance for the context.
- Explain the need for public participation during the planning process.
- Revisit the defined data-collection parameters.
- Discuss and adapt the methods and processes for the drafting the periodic development plan.
- Develop a common understanding and reach agreement among the elected representatives and other stakeholders with the core planning team and collect constructive suggestions for the next steps.

The workshop schedule should include the following sessions:

- Session 1: Introduction of the periodic development plan and baseline data parameters drafted by the core planning team and revision of the parameters
- Session 2: Collaborative analysis of opportunities and potential areas of development

#### Purpose

Build common understanding among all parties on the purpose of the periodic development plan

#### Requirement

Workshop materials; printed GIS maps; major secondary data required for discussion and authentication; and workshop venue

#### Engagement

Core planning team, representatives from the municipality, political parties, community-based organizations and all other stakeholders from the municipality



- Session 3: Development and internalization of the overall vision for how the municipality should develop and each sector-based vision
- Session 4: Development of an inclusive strategy and planning process
- Session 5: Agreement on the template of the periodic development plan and data-collection parameters
- Session 6: Formation of a data-collection and drafting team

## Output

- Observations on the current status of the municipality's needs are analysed, including preliminary resource mapping and stakeholder analysis.
- A shared vision and objectives of the overall representatives and people of the municipality are drafted.
- The different sectors to be included in the periodic development plan are agreed, including the vision, goal and objectives for each sector.
- An action plan for ward-level data collection and mapping is created (but conducted in step 4).
- Continuous communication between the core planning team and the municipality are agreed to keep in line with the drafted objectives and processes.

## Step 4



### Collect baseline data and information

This step elaborates the type of data and methods for data collection that will generate the baseline information needed for each ward. Secondary data should be collected from reliable sources, such as reports from the Central Bureau of Statistics and other official publications. Primary data should be collected from each ward by a designated team formed by the municipality.

The following actions need to be undertaken:

- **Formation of the data-collection team**  
 Each municipality will be responsible for setting up a team for primary data collection at the ward level. This will take place at the end of the scoping workshop. Each data-collection team is to be headed by the chairperson of the respective ward. Members of the team can be local school teachers, ward members and key informants from the ward. The data-collection team can have as many members as are needed to effectively contribute to the data-collection process. It is recommended that each data-collection team from every ward hire a dedicated professional for data collection to ensure its quality and authenticity.
- **Orientation on data collection**  
 The data-collection teams must undergo orientation on data-collection formats, methods, tools to use and the right order to collect data to make sure that clean and clear data are available for further processing.

#### Purpose

Collect and process all the necessary data and information required for the periodic plan development

#### Requirement

Questionnaire for primary field survey and data interpreter and analyst

#### Engagement

Ward chairperson and designated assistant from each ward as a responsible person for the data collection task at field level, data entry personnel and analyst to process the collected data

- **Data collection**

A minimum duration of one month should be allocated to collect all the necessary data at the ward level. However, the time for data collection can be determined according to the coverage and geographical conditions of the municipality. The tasks during the data collection may include but not be limited to:

- Collection of primary data of the municipality at the ward level;
- Direct validation of information by the data-collection team; and
- Tracking and hands-on support to the data-collection team by the core planning team.

## **Outputs**

- The data-collection team is formed and the required data is collected.
- Issues and interests are sourced from the public at each ward to represent the needs and issues of the municipality.
- Data that could not be traced from secondary sources are directly collected at the household level, from each ward. The Central Bureau of Statistics data are properly referenced.

## Step 5



### Process and synthesize all data

Following the first-level of processing by the data-collection team, the data are forwarded to the core planning team for further processing.

The data analyst from the core planning team should manage and orient the data in a sequential order and carry out further cleaning by removing redundant data to match with the context and needs of the municipality.

#### Purpose

Generate clean data for tabulation and analysis

#### Requirement

All collected data

#### Engagement

Data analysts

Some of the major tasks to consider in this step:

- Data tabulation and cleaning
  - Data entry into MS Excel spreadsheets to process the data in tabular format for analysis;
  - Extraction of secondary level data and integration into the dataset;
  - Second-level data cleaning to organize the data and eliminate redundancies;
  - Production of output tables for each indicator, to be used for analysis purpose; and
  - Alignment of the data to develop a ward-level database profile.
- Data analysis and overall output
 

This involves analysis of the processed data according to the focus and priorities of the municipality. Qualitative outputs are linked with the quantitative features to draw out the status of the municipality at the ward level. These findings will become reference points for designing the plan of activities according to sector-based and thematic goals and objectives of the periodic development plan.

The major tasks that need to be considered during the analysis:

- The data analysts should produce output and summary tables based on each ward and for overall municipality.
- The data analysts should be able to track information that can pinpoint realistic issues and potential areas of intervention in the municipality.

## Step 6



### Conduct a planning framework and content-development workshop

Once the output tables are produced, the core planning team needs to prepare for the next workshop, which should take place before the first draft of the periodic plan is produced. Before conducting the workshop, general headings (content) of the periodic plan should be drafted by the planning team (see the sample in the annex).

The responsibility of organizing the workshop lies with the municipality because this is where the major decisions on what the periodic development plan will contain are determined. At the workshop, the results and the status of the municipality are presented, based on the information collected by the ward representatives and data processed by the core planning team. The initial vision and opportunities are compared with the data, then revisited and reorganized according to the status and needs of the municipality. This can later be incorporated into the periodic plan. Workshop participants provide feedback and authenticate the presented data.

#### Purpose

Collect feedback from municipality representatives on the content of the periodic development plan produced by the core planning team and incorporate their inputs

#### Requirement

A draft plan outline and workshop venue

#### Engagement

Core planning team, representatives from the municipality, community-based organizations, political parties and other stakeholders

Tentative objectives and methods for the workshop include:

- Revisiting and refining the vision of the periodic development plan.
- Presenting the suggested content of the periodic development plan by the core planning team, validating the datasets for analysis and tracing out areas that can accommodate the requirements for how the municipality wants to develop.
- Collecting feedback on each theme mentioned in the suggested content (see the annex for a sample) for the first draft of the periodic development plan.
- Discussing the planning and budgeting estimation for each of the indicators to prioritize headings in the periodic development plan.

## **Output**

- Final content of the draft periodic plan is agreed.
- The output and data tables produced by the core planning team are validated.
- An overview of the planning and budget estimates for a municipality's priorities areas are identified.

## **Note**

Participation must be ensured of all stakeholders, such as the core representatives of the municipality, including all ward chairpersons, community-based organizations, political parties and other stakeholders. It is recommended that the core planning team create a framework (template or outline) of suggested content with all important data inserted for easier validation of the data and production of the first draft of the periodic development plan. The drafting expert produces the first draft of the periodic development plan based on the content agreed upon during the workshop.

## Step 7



### Refine the first draft of the periodic development plan

The primary objective of this step is to consolidate and revisit the first draft of the periodic plan and produce a second draft. The first draft is reviewed by the core planning team by refining the outcome of the decision-making workshop.

The second draft of the periodic plan is forwarded to the municipality for review to provide the stakeholders there with opportunity to discuss the content and make recommendations for the core planning team to consider. After review and acceptance of the second draft, a final “write-shop”<sup>4</sup> takes place.

#### Note

Upon requirement, several meetings and internal consultations between the core planning team members can be organized to consult on the cohesion and feasibility of the drafted periodic plan and its activities.

#### Purpose

Refine the first draft of the periodic development plan to produce a final draft

#### Requirement

A write-shop for reviewing and revising

#### Engagement

All parties.

## Step 8



### Review and validate the second draft at a write-shop

After the second draft is shared with the municipality, a write-shop should be organized involving representatives of the municipality and the core planning team members. At the write-shop, participants will incorporate final comments and revisions from all involved stakeholders and municipality representatives.

The write-shop is one of the last events of the planning phase that requires final verification from the representatives of the municipality and all other stakeholders. Rigorous revision (line by line) and review of the second draft should be carried out through direct discussion with all parties (representatives of the municipality, political parties and other stakeholders). Any amendments to the second draft should be made on the spot, upon agreement by all parties.

Objectives and outcomes to consider for the write-shop include:

- Discussing potential areas for review of the draft periodic development plan with elected representatives and political representatives of the municipality.
- Reviewing the draft periodic plan thoroughly on the basis of the agreed content.
- Developing a final draft of the periodic plan and a monitoring and evaluation framework.
- Carrying out a detailed editing of the periodic development plan.
- Projecting a budget for each stated activity in the plan.
- Conducting a stakeholder analysis, including possible future partnerships, for the purpose of implementing the periodic development plan.

#### Purpose

Engage municipality representatives in validating and finalizing the periodic development plan

#### Requirement

Second draft of the plan and workshop venue

#### Engagement

All parties



**Output**

Final draft of the periodic development plan.

**Note**

To finalize the periodic plan, it is recommended that the write-shop follows each of the objectives listed here in step 8. The selection of participants for the write-shop is important, and the municipality, as the organizer, should make sure that all stakeholders and representatives of each ward and all major political parties attend. Participants without any significant or meaningful role and contribution in previous workshops should not participate.





## Phase three

# Finalizing and endorsing

The periodic development plan is given final shape by incorporating suggestions gathered during the write-shop. The final draft of the periodic development plan should be handed over to the municipality for content editing. To finalize the plan, the municipality may undertake the following steps.

**Figure 4.** Flowchart of the steps for finalizing and endorsing



## Step 1

### Consult with the general public

- Ward-level consultation
 

Public consultation at the ward level is a basic approach to disseminate information and collect critical feedback and views from the general public. As part of the consultation, the final draft should be discussed in each ward and presented to the general public in the municipality.

#### Purpose

Finalize the periodic development plan

#### Requirement

Draft of plan to be consulted up and consultation arrangements

#### Engagement

All parties

- Support for line agency inputs and feedback  
Similar to the ward-level consultations, the final draft plan should be shared with the supporting line agencies to collect their feedback and suggestions.
- Plan finalization  
The municipality team makes any necessary amendment following the public consultation and review of the periodic development plan by major stakeholders.

### Output

The new periodic development plan is understood and agreed upon by the general public and other stakeholders.

### Note

During this step, the municipality takes full ownership of the process in finalizing the periodic plan through the rigorous consultation with the public. To facilitate easy communication with public, the core planning team prepares a synopsis of the periodic plan.

## Step 2

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### Endorse the periodic development plan

Final draft of the periodic development plan should be endorsed by the municipality following a formal process. The overall responsibility for the endorsement of the plan lies with the municipality.

## Step 3

---



### Implement the periodic development plan

After endorsement, the periodic plan becomes a guiding document for the development framework of the municipality for the next 15–20 years (depending on the initial vision).

## Step 4

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### Monitor and evaluate the activities and progress

Monitoring and evaluation are effective tools to measure the extent of progress and achievement set out in the periodic plan. The indicators and the framework of the final periodic development plan are used to quantify the level of accomplishment of the goals and objectives.

#### Review of the periodic plan implementation

For each activity and project under the periodic plan, monitoring and evaluation parameters are set and scheduled by the municipality and based on the annual development plan. The municipality, following this schedule, will arrange review and reflection meetings annually to gauge the achievement of the planned activities. At the end of each year, the municipality sets and prioritizes targets and activities for implementation during the following year.

The municipality can amend the periodic plan after reviewing the achieved targets and based on changes of the context after the plan has begun implementation. The appropriate timing of such a review and adjustment is decided by the municipality.

# Endnotes

- 1 The terms palikas and municipality refer to local government.
- 2 Appreciative inquiry is a change management approach that focuses on identifying what is working well, analyzing why it is working well and then doing more of it. See D. L. Cooperrider and S. Srivastva, "Appreciative inquiry in organizational life," in *Research in Organizational Change and Development*, 1(1) (1987), pp. 129–169.
- 3 Scientific procedures refer to a process that uses scientific methods, including but not limited to observation, questionnaire, frequent interaction with subjects to trace problems, problem tracing and evaluation measures.
- 4 A write-shop is a way of bringing together different groups with different perspectives on a subject, in this case the periodic plan, to produce written materials in a short time.

# Annex

## Sample content of a periodic development plan

### Note

This content outline is a reference for drafting a periodic development plan. The content positioning and headings may vary with each municipality and each plan.

### Sample content outline (template)

#### Title

Periodic development plan summary

#### Chapter 1: Introduction

##### 1.1 Introduction of municipality

1.1.2 Social conditions (institutional, cultural, social value and recognition)

1.1.3 Human condition

1.1.4 Economic activities condition (finance and market access and employment)

1.1.5 Natural resources condition (forest, water resources, mines and agriculture)

##### 1.2 Proposal

#### Chapter 2: Present condition, opportunities and possibilities of municipality

##### 2.1 Human resources and population management

2.1.1 Population



- 2.1.2 Population distribution by age group
- 2.1.3 Population distribution by sex
- 2.1.4 Population distribution by ethnicity
- 2.1.5 Condition of special population
- 2.2 Educational condition
  - 2.2.1 Literacy rate
  - 2.2.2 Availability of educational institutions
  - 2.2.3 Number of students
  - 2.2.4 Number of students by ethnicity
- 2.3 Health and hygiene
  - 2.3.1 Conditions of skilled health workers
  - 2.3.2 Availability of safe drinking water and safe sanitation (toilet)
  - 2.3.3 Health services available in the municipality
- 2.4 Sources of income
  - 2.4.1 Traditional profession and business
  - 2.4.2 Land rights situation
  - 2.4.3 Primary areas of municipal budget spending
  - 2.4.4 Social development
  - 2.4.5 Social features
- 2.5 Services and facilities
  - 2.5.1 Communication services and facilities
  - 2.5.2 Vehicles and transport equipment
  - 2.5.3 Banks and financial institutions
- 2.6 Land-use condition
- 2.7 Agriculture and animal development
  - 2.7.1 Animal and birds nurture

### 2.7.2 Animal development

## 2.8 Forest and atmosphere

### 2.8.1 Forest services and facilities

### 2.8.2 Damage to wildlife

### 2.8.3 Watershed and water resources

## 2.9 Climate change

## 2.10 Tourism and cultural heritage

### 2.10.1 Tourism services and facilities

## 2.11 Energy and power

## 2.12 Industry

## 2.13 Physical infrastructure and structures

## Chapter 3: Principal of municipal development

## Chapter 4: The overall vision, goals, objectives, policies, programs and strategies of the municipality

### 4.1 Resulting index

### 4.2 Investment indicators

## Chapter 5 Overview of thematic development, goals, objectives, policies and programs

### 5.1 Education, science and technology

### 5.2 Health, nutrition and hygiene

### 5.3 Tourism and culture

### 5.4 Agriculture, livestock, cooperatives and market management

### 5.5 Industry, commerce and business

### 5.6 Youth, sports and social development

### 5.7 Forest, climate, climate change adaptation and disaster risk management

### 5.8 Physical infrastructure development

Chapter 6: Analysing the source and equipment

Chapter 7: Stakeholders and their expected role

Chapter 8: Monitoring and planning

## Tables

Table 1: Population

Table 2: Population by age group

Table 3: Gender distribution by population

Table 4: Ethnic demographic distribution

Table 5: Specific demographic conditions

Table 6: Literacy rate

Table 7: Educational institutions

Table 8: Number of students

Table 9: Number of students by caste

Table 10: Healthcare providers

Table 11: Number of skilled health workers

Table 12: Availability of drinking water and toilet services

Table 13: Availability of health services

Table 14: Income sources

Table 15: Traditional business

Table 16: Land ownership

Table 17: The main spending area

Table 18: Social cultures and traditions

Table 19: Communication services and facilities

Table 20: Vehicles and transport

Table 21: Banks and financial institutions

Table 22: Land use

Table 23: Potential farmers

Table 24: Irrigation condition for agriculture

Table 25: Agricultural development

Table 26: Farm-use conditions

Table 27: Cash flow generations

Table 28: Food grain and vegetable production potential

Table 29: State of animal husbandry

Table 30: Animal care centre

Table 31: State of forests

Table 32: Services and facilities provided by forests

Table 33: Damage by wildlife (year 2075)

Table 34: Climate change issues and the number of households affected

Table 35: Disaster risk management

Table 36: Culture heritage

Table 37: Tourism services and facilities

Table 38: Sources of energy and power

Table 39: Industry

Table 40: Physical infrastructure

Table 41: Index of results

Table 42: Investment indicators

Table 43: Education, science and technology programs

Table 44: Health, nutrition and sanitation programs

Table 45: Tourism and culture programs

Table 46: Agriculture, livestock, cooperation and market management programs

Table 47: Industry, commerce and trade programs

Table 48: Youth and sports and social development programs

Table 49: Forest environment, climate change adaptation and disaster risk management programs

Table 50: Physical infrastructure development programs

Table 51: Estimating budget and resources

Table 52: Results monitoring template

Table 53: Investment monitoring index

## Annexes

Annex 1: Household details

Annex 2: Demographic details of age

Annex 3: Details of households belonging to a tribe

Annex 4: Specific demographic details

Annex 5: Major income sources

Annex 6: Details and ownership of the land

Annex 7: Social scenario

Annex 8: Academic institution and student details

Annex 9: Details of health institutions

Annex 10: Details of skilled health workers

Annex 11: Households with safe toilets and water-purification facilities

Annex 12: Industry details

Annex 13: Number of internal and external tourists and incomes

Annex 14: Types of forests and annual production and income

Annex 15: Community forest income and expenditure

Annex 16: Food production

Annex 17: Animal husbandry status

Annex 18: Condition of reservoir

Annex 19: Climate change and its associated catastrophic risks

Annex 20: Temperatures and rainfall conditions of [name] municipality

Annex 21: Land-use condition

Annex 22: Proposed sketch of the annual monitoring and evaluation plan

Annex 23: Thematic outline according to the final result, the monitoring and evaluation scheme

Annex 24: Participant thematic group of planning conference

Annex 25: Stakeholders

Annex 26: Development projects

Annex 27: Budget management for major programs and projects

Annex 28: Some educational indicators

Annex 29: Some pictures of the Annex in the plan

## Maps





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