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a manual

How to Formulate an Executive and Legislative Agenda
for Local Governance and Development

How to Formulate an Executive and Legislative Agenda for Local Governance and Development: A Manual

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ISBN No.: ISBN 971-92718-3-3

Printed and bound in Manila, Philippines

Published by:

Local Government Academy (LGA)
8/F Agustin I Building
Emerald Ave., 1600 Pasig City, Philippines
Tel No. (632) 634-8430
www.lga.gov.ph

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This project was undertaken with the financial support of the Government of Canada provided through the Canadian International Development Agency (CIDA).



PHILIPPINES-CANADA
LOCAL GOVERNMENT
SUPPORT PROGRAM

Programme de soutien aux
gouvernements locaux

A JOINT PROJECT OF



Department of the Interior
and Local Government (DILG)



National Economic and Development Authority
(NEDA)



Canadian International
Development Agency

IMPLEMENTED BY



Agriteam Canada
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Federation of
Canadian Municipalities
Fédération canadienne
des municipalités

Federation of Canadian
Municipalities (FCM)
www.fcm.ca

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Foreword

The Department of the Interior and Local Government (DILG) congratulates the Philippines-Canada Local Government Support Program in publishing the *How to Formulate an Executive and Legislative Agenda for Local Governance and Development: A Manual and Facilitator's Guide*. This publication is indeed a significant and timely contribution to the Department's continuing efforts to enhance the quality of local governance in the country.

The quest for good governance at the local level begins with a strong and effective local leadership. Local Chief Executives (LCEs) who set a clear vision for their local government units (LGUs), who are able to steer their LGUs towards this vision, and in the process, build stakeholder ownership and support for the vision, make for successful and effective local leaders.

Beyond effective leadership, however, good local governance is also about building partnerships that encourage and facilitate convergence of efforts among critical actors in the LGU, and citizen participation in local planning and decision-making processes. Engaging the participation of various local stakeholders promotes shared ownership of plans and shared accountability for results. Convergence and participatory approaches help foster transparency, effectiveness, and efficiency in public sector operations.

These elements – strategic leadership, participatory governance and convergence – are necessary ingredients to good local governance. With focus on these good governance elements, the Manual is a welcome addition to existing local planning and good governance tools.

The Guidebook also provides a very practical and useful reference for LGUs in charting their development directions. It features strategic planning tools and approaches that are more attuned and applicable to existing conditions in most LGUs in the country.

We hope that this set of Manual and Facilitator's Guide will serve as an inspiration to LCEs and other LGU actors as they chart a common vision for their LGUs and lead their people towards this shared vision.

MABUHAY!



HON. JOSE D. LINA
SECRETARY

Department of the Interior and Local Government

Acknowledgements

This publication was made possible through the dedicated and collective efforts of the following individuals who have willingly shared their ideas and valuable time in conceptualizing and developing these manual and guidebook.

The Philippines-Canada Local Government Support Program led by Alix Yule and Marion Maceda Villanueva for believing in the project and providing the necessary guidance and support for its production;

DILG Assistant Secretary Austere Panadero, Director Marivel Sacendoncillo of the Local Government Academy (LGA), and DILG Asst. Regional Director Evelyn Trompeta for collaborative support extended to the project;

Maria Concepcion Pabalan, Julie Catherine Paran and Imelda Caluen of the Development Academy of the Philippines for drafting the manual;

Atty. Evelyn Jiz, Ditdit Dailisan, Alice Celestino, Ronald Bucud and Sheila Villaluz for the very helpful and insightful comments on the draft;

Mayor Shalimar Tumaru, Mayor Ramon Yee, Mayor Lalaine Capotulan, Mayor Cesario Benedito, Mayor Maxino Prudencio, and Mayor Ferdinand Hernaez for finding time in their busy schedules to review the draft and provide practical inputs that were extremely helpful in enhancing the content and design of the manual;

Bruce Bailey for the kind suggestions and expert advice in developing the manual from start to final production;

Mar Gabito and Paul de Castro of the DILG Bureau of Local Government Supervision; Thelma Vecina, Alfonso “Jun” Marali, Jr., Jose “Jay” Gonzalo Ablay, III and Angelina Layugan of the Education and Training Division of the LGA; the National Board of Directors of the League of Planners of the Philippines; Prof. Ernesto M. Serote of the School of Urban and Regional Planning, UP Diliman; Dir. Orlando Garcia of the Department of Budget and Management (DBM) ; the Regional Development Coordinating Staff (RDACS)



acknowledgements

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and Philippine Council for Sustainable Development (PCSD) Secretariat/Agriculture staff of NEDA for their time, support and invaluable input to the content of the manual;

Divina Luz Lopez for her overall project management and technical expertise in ensuring the quality of this publication;

Myn Garcia for providing technical and creative direction, and overall supervision of the design, layout and production;

Jet Hermida for the art direction and layout;

Sef Carandang for her editorial support and overall coordination;

Gigi Barazon and the rest of the LGSP administrative staff for providing support;

Finally, special thanks goes to the local chief executives, the EA teams and the on-site coaches who successfully participated in the LDMP and in the other LGSP projects, and brought out the idea of capturing the good experiences of these projects into a capability building tool. They are indeed the inspiration behind the making of these manual and guidebook.

Preface

The *Manual on How to Formulate an Executive and Legislative Agenda for Local Governance and Development* represents a major output of the Philippines-Canada Local Government Support Program (LGSP). The Manual represents the collective experiences of some 183 LGUs that were supported by the LGSP in formulating their strategic plans or Executive Agendas through its flagship initiative in 2001, the Local Chief Executive Development Management Program (LDMP), as well as experiences from the subsequent capacity building projects and activities that support the implementation of priority programs and projects identified in their strategic plans. The publication is a synthesis of the insights and lessons learned from these experiences, particularly with regards to participatory governance, strategic management, convergence planning, legislative agenda formulation, capacity development, and resource mobilization, among others. The end product is an Executive-Legislative Agenda (ELA) process that is practical, needs-based, action-oriented, and participatory; resulting in a broad-based support from critical stakeholders.

The ELA is an enhancement to the existing local planning processes and structures as mandated by the Local Government Code. The ELA provides strategies, as well as tools and techniques, that are intended for LCEs, Sanggunian members, the Local Development Council, LGU personnel, and local planning professionals in charting a common future for their localities. The process utilizes participatory and consultative approaches, and offers mechanisms that facilitate convergent planning and decision-making processes between the executive and legislative departments of the LGU.

Apart from the experiences drawn from the various LGSP programs, the ELA also obtained inputs from planning experts and practitioners from the academe, leagues of local governments, and government agencies involved in local governance and planning such as the Department of the Interior and Local Government through the Local Government Academy, Department of Budget and Management, National Economic and Development Authority, and the Housing and Land Use Regulatory Board. Consistent with the convergence approach, the formulation of the ELA sought inputs from various stakeholders and allowed them to come to certain agreements on the necessary elements and features that should be present in the ELA process.



preface

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As a convergence of actual LGU experiences and ideas of planners, the Manual and Facilitator’s Guide provide a rich source of development planning inputs for local governments in the country. It is hoped that the Manual would contribute to more strategic and results-oriented planning efforts at the local level, and ultimately to the attainment of sustainable local development goals.

Philippines-Canada Local Government Support Program

Acronyms

AIP	-	Annual Investment Plan
ARD	-	Assistant Regional Director
ARMM	-	Autonomous Region in Muslim Mindanao
BDP	-	Barangay Development Plan
BOT	-	Build-Operate-Transfer
CapDev	-	Capacity Development
CB	-	Capability Building
CDP	-	Comprehensive Development Plan
CIDA	-	Canadian International Development Agency
CLUP	-	Comprehensive Land Use Plan
CSO	-	Civil Society Organization
DBM	-	Department of Budget and Management
DILG	-	Department of the Interior and Local Government
EA	-	Executive Agenda
ELA	-	Executive-Legislative Agenda
EA-PM	-	Executive Agenda Performance Management
EO	-	Executive Order
FGD	-	Focus Group Discussion
GAD	-	Gender and Development
HR	-	Human Resource
HRD	-	Human Resource Development
IEC	-	Information, Education, Communication
IRA	-	Internal Revenue Allotment
LA	-	Legislative Agenda
LBO	-	Local Budget Officer
LCE	-	Local Chief Executive
LDC	-	Local Development Council
LDIP	-	Local Development Investment Plan
LDMP	-	Local Chief Executives Development Management Program
LFC	-	Local Finance Committee
LGSP	-	Local Government Support Program
LGC	-	Local Government Code
LGU	-	Local Government Unit
LPDO	-	Local Planning and Development Office
LGPMS	-	Local Government Performance Measurement System

LPPMS	-	Local Productivity and Performance Measurement System
MAO	-	Municipal Agriculture Officer
MBN	-	Minimum Basic Needs
M&E	-	Monitoring and Evaluation
MHO	-	Municipal Health Officer
MLGOO	-	Municipal Local Government Operations Officer
MPDC	-	Municipal Planning and Development Coordinator
MPDO	-	Municipal Planning and Development Office
MSWDO	-	Municipal Social Welfare and Development Officer
NAPC	-	National Anti-Poverty Commission
NCRFW	-	National Commission on the Role of Filipino Women
NEDA	-	National Economic and Development Authority
NGO	-	Non-Government Organization
PDAC	-	Project Development Assistance Center
PI	-	Performance Indicator
PM	-	Performance Management
PMC	-	Project Management Committee
RA	-	Republic Act
RCBW	-	Regional Council for Bangsamoro Women
SB	-	Sangguniang Bayan
SEP	-	Socio-Economic Plan
SP	-	Sangguniang Panlalawigan
SWOT	-	Strengths, Weaknesses, Opportunities and Threats
TOP	-	Technology of Participation

about

about the manual

The Manual on “How to Formulate an Executive and Legislative Agenda for Local Governance and Development” is a simple, step-by-step guide for formulating an LGU Executive-Legislative Agenda (ELA), a plan that embodies the strategic directions of the LGU during the term of office of its elected officials. The manual is designed for you -- Local Chief Executives (LCEs), Sanggunian members, and other local government officers and professionals who are engaged in participatory planning and interested in learning more about strategic planning applications at the local level.

The contents of this Manual have been based on the collective experience of 183 LGUs in Mindanao and Western Visayas supported by LGSP, that went through the process of formulating an Executive Agenda in 2001, and later a Legislative Agenda, following a multi-stakeholder, consultative process.

The ELA approach presented in this Manual is designed to strengthen the local planning process and is not meant to replace or duplicate existing planning systems in LGUs. As an integral part of the planning process, the ELA adds greater value by moving the plan forward to getting the plan implemented and monitored.

More than a planning tool, an ELA can be a powerful vehicle for effective local governance. Through the ELA, the principles of good governance are put to action.

As a planning and budgeting tool, an ELA

- Provides a development roadmap for the LGU
- Helps identify results that will contribute to the LGU's long-term vision
- Identifies priority programs and projects that will help accomplish these results
- Organizes and allocates local resources in a rational and results-oriented manner

As a transparency and accountability tool, an ELA

- Informs the constituents of the LGU's medium-term development priorities for which the LCE, and the other elected local officials, make themselves accountable
- Facilitates consultation process between the LCE and various stakeholders

As a social mobilization tool, an ELA

- Promotes active and quality participation of the community in local development planning
- Helps rally support from stakeholders
- Helps unite the broader LGU community

As a performance management tool, an ELA

- Provides a basis for ensuring that LGU plans are implemented and are producing the desired impact
- Helps set performance targets to the various departments of the LGU, thus encouraging greater accountability for results

As a communication tool, an ELA

- Allows elected officials to present and articulate their political agenda and seek its integration in the ELA
- Creates opportunities for the community to give feedback and voice out their issues and concerns to the LGU, and the LCE in particular
- Encourages closer interface between the executive and the legislative officials
- Allows for elected officials to report back their accomplishments and achievements

As a convergence tool, an ELA

- Encourages collaboration between the executive and legislative departments
- Provides avenues for consensus among diverse stakeholders in pursuing a set of unified actions designed to bring about the desired changes in the local community

The ELA Kit comes in two parts. The first part, the **ELA Manual**, describes the various steps in developing the ELA. The second part, the **ELA Facilitator's Guide**, is a toolkit that ELA facilitators can use in the process of assisting LGUs formulate their ELA.



It is hoped that the Manual would enable you to gain a clearer understanding and appreciation of the ELA and how it can help promote the practice of good governance at the local level.

part one

1

Understanding the Executive and Legislative Agenda

“Good governance emanates from participatory practice. Singularly, the Chief Executive cannot come up with effective delivery of basic services. The Mayor has to be innovative and practical in addressing problems...and adopt an Executive Agenda that has the welfare of the constituents as a paramount concern.”

Datu Muslimin G. Sema, *Mayor*, Cotabato City

“The Executive Agenda, put into a single and comprehensive document, is one giant step for any Local Government Unit and will serve as the primary guide for the Local Chief Executive, together with his/her officials and the constituents, in the administration of public services.”

Paterno D. Mainit, *Municipal Planning and Development Coordinator*, Makilala, Cotabato



Q ■ What is an Executive Agenda (EA)?

An Executive Agenda is a document that articulates the government program of the executive department of a province, city or municipality in a given period. It contains the major development thrusts of the local administration, including the development priorities of the Local Chief Executive (LCE), towards the attainment of the LGU vision. More specifically, it lists down priority programs, projects, activities, policies and implementing mechanisms to be pursued by the executive department of the LGU. An EA also underscores the need for policies and legislative measures necessary to support the three-year programs and priorities of the local government.

Republic Act 7160, otherwise known as the Local Government Code, mandates LCEs of a province, city or municipality to:

- “present the program of government and propose policies for the consideration of the Sanggunian at the opening of a regular session of the Sanggunian” concerned, and
- “initiate and propose legislative measures to the Sanggunian and as often as may be deemed necessary, provide such information and data needed or requested by said Sanggunian in the performance of its functions” (Sections 444, 455 and 465).

This list of “programs, policies and projects” being required of the LCE to be presented to the Sanggunian concerned is embodied in what is known as the “Executive Agenda.”¹

Q ■ What is a Legislative Agenda?

A Legislative Agenda (LA) is a package of priority policies and legislative measures designed to support local development priorities, particularly those contained in the EA. It serves as a roadmap to guide the Sanggunian or the local legislative council in identifying, analyzing and formulating solutions to problems and issues requiring public policy action.² As a list of prioritized ordinances and resolutions for enactment during a specified period, the LA can be used to focus the work of the legislature during its term of office, and to synchronize and converge legislative actions with the EA priorities.

■ What is an Executive-Legislative Agenda?

The Executive Agenda, to be effectively operationalized and implemented, calls for certain policies and legislative measures. Without the appropriate legislative/policy support, EA implementation may be stalled and its potential gains for the community reduced. It is therefore essential that the executive and legislative departments of the LGU coordinate their priorities, and ensure that their actions are mutually supportive of each other and directed at a common set of local development priorities.

The Executive-Legislative Agenda (ELA) is a planning document that is mutually developed and agreed upon by both the executive and legislative departments of an LGU. It is an integrated plan that contains the major development thrusts and priorities of both the executive and legislative branches towards a common vision for the locality.

■ What are the uses of an ELA?

In view of the limited resources of the LGU and the rather short tenure of elective officials, it would make sense to seek convergence of efforts, resources and strategies among key local stakeholders as they pursue sustained local development. The ELA process provides an opportunity for key stakeholders, particularly the executive and legislative departments, to work more collaboratively and in a more concerted fashion.

A joint ELA has the following important uses:

- To lead the executive and the legislative branches towards a unified vision, mission, goals and objectives;
- To enable the executive and legislative branches to agree on priority problems and issues;
- To help the LGU focus on a set of interventions towards the attainment of a common set of objectives and goals;
- To increase the chances for implementation of priority programs of the executive department, if the legislative branch formulates ordinances in support of the LCE program of government; and
- To speed up the implementation of priority projects.



What is the relationship of the ELA with other existing LGU plans?

Major LGU Plans

In the context of the Local Government Code (LGC) and based on the guidelines prepared by the National Economic and Development Authority (NEDA) and the Department of the Interior and Local Government (DILG), there are at least four major types of plans required of LGUs. These are as follows:

- Comprehensive Land Use Plan (CLUP)
- Comprehensive Development Plan (CDP)
- Local Development Investment Program (LDIP)
- Annual Investment Plan (AIP)

The LGC also mandates the preparation of Barangay Development Plans to encourage more bottom-up planning. Apart from these plans, LGUs are also expected to prepare other sectoral or thematic plans (e.g., local poverty reduction action plan, solid waste management plans, gender and development plans, etc.), which are consolidated into the CDP.

Table 1 summarizes these major plans in relation to their definition, purpose, contents, responsibility, time frame and legal basis.

The LGU vision serves as the basis for all planning efforts in the locality. This vision is translated in the form of a Comprehensive Land Use Plan (CLUP), a long-term plan which lays out the development directions that also defines the physical pattern of growth for the locality for at least 10 years. Ideally, all other plans should be consistent with the CLUP to ensure continuity, rationality and stability in local development efforts down through the generations.

Medium-term plans such as the CDP, usually ranging from three to six years, are prepared to concretize the LGU vision. The LDIP, on the other hand, defines the investment program of the LGU for three years and is ideally derived from the CDP. The CDP and the LDIP have timeframes not necessarily tied up with the LGE's term of office.

The Annual Investment Plan defines the priority programs and projects of the LGU that will be financed through its 20 percent Development Fund. The Barangay Development Plans paves the way for bottom-up planning in the local planning process. The BDP provides critical information on community needs and aspirations that should be considered into the next level of planning. BDP preparation is similarly guided by planning parameters set by the LGU.

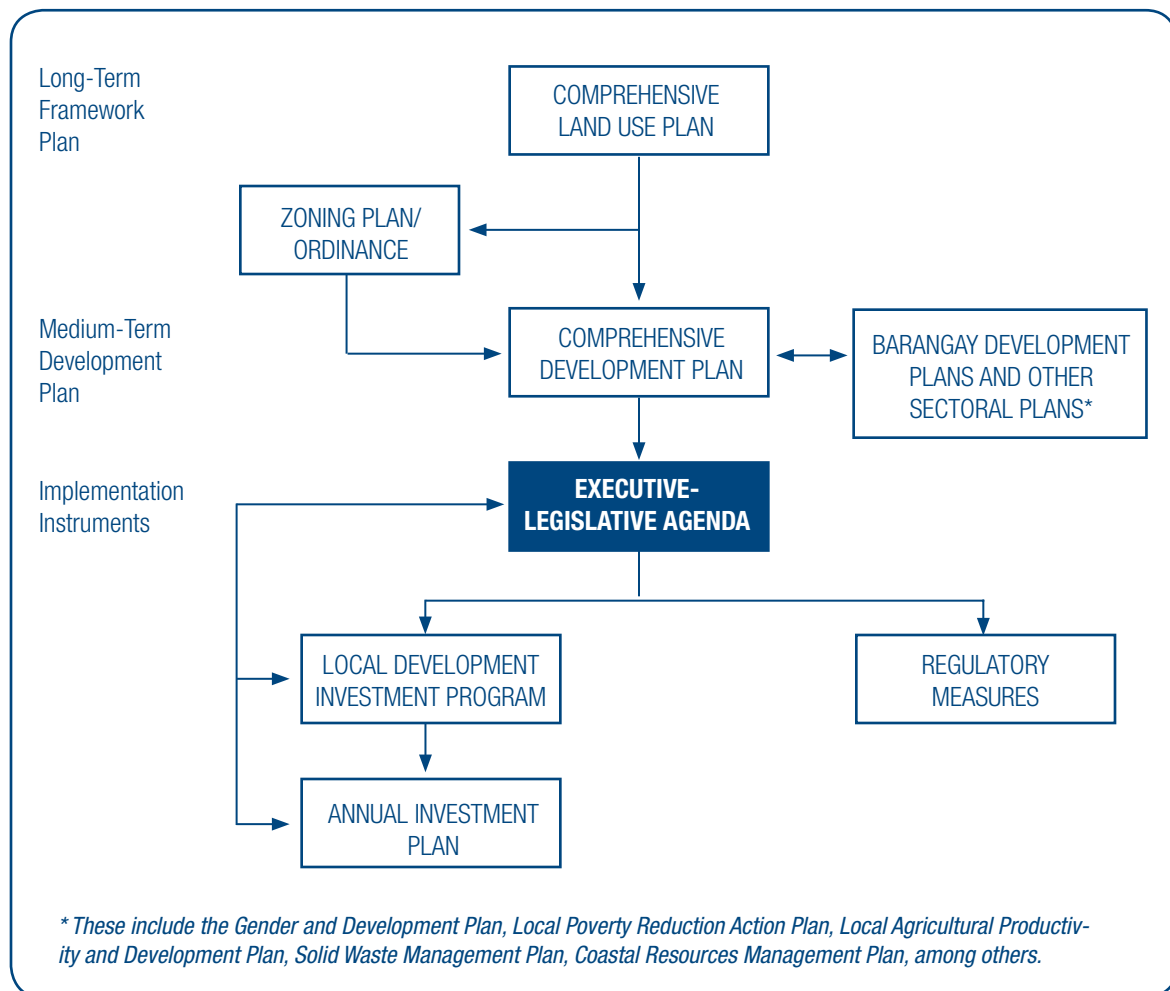
Table 1. Major LGU Plans

	Definition	Purpose	Contents	Responsibility	Time-frame	Legal Basis
CLUP	A long-term guide for the development of the local area.	Guides the formulation of programs and projects of local officials to ensure continuity, rationality and stability in local development efforts down through the generations.	Policies on settlements, protected areas, production areas and infrastructure		10 years (local)	Sec. 447, 458 and 468 of the LGC
CDP	A medium-term plan of action for implementing the CLUP.	Provides an overview of key aspirations, concerns and challenges to LGU development.	Plans and programs on social, economic, institutional, physical and infrastructure development; environmental management, and administration and financial development		30 years (nat'l. and regional plans)	Section 476 (b) (1) and (5) of the LGC
LDIP	A short-term plan containing the programs and projects derived from the detailed elaboration of the CLUP and CDP.	Guides how financing is to be done with reference to the capital and non-capital projects drawn from the CDP.	List of investment programs and projects designed to accelerate local economic development, raise the level of socio-cultural well-being, and improve the standard of public services, utilities and infrastructures.	LDC	3 to 6 years	LGC
AIP	A tool for annually linking the approved and reviewed CDP and LDIP with the budget.	Assists in designing budget details so that they fit with the CDP and LDIP in terms of objectives, targets and fiscal policies.	List of investment programs and projects to be financed by the 20 percent Development Fund of the LGU in a given year.	LDC- Exe-Com, Local Finance Committee, NGOs, private sector	1 year	LGC
BDP	A short-term plan containing the priority programs and projects of a barangay		List of investment programs and projects designed to support development priorities in the barangay to be funded through the Barangay Development Fund	BDC	1 year	LGC

It is important to bear in mind that the ELA does not replace or supplant the existing plans of the LGU. Rather, it builds on existing plans which LGUs are mandated to prepare. The ELA can be considered as an implementing instrument of the CDP.³ However, in the absence of a CDP, the ELA can serve as a starting point in its formulation. More than a document that articulates the priorities of the executive and legislative department of government, the ELA can provide the critical link between planning and implementation by relating the plans to the budget. It also sets the stage for implementation by providing a set of processes for other sectors, especially the CSOs and the private sector, to buy in. Another feature of the ELA is the inclusion of institutional and human resource development and resource mobilization in the planning process apart from the sectoral plans mentioned earlier.

Figure 1 shows the relationship of the ELA with these LGU plans.

Figure 1. The Relationship of the ELA to other LGU plans⁴





■ What are the qualities of a good Executive-Legislative Agenda?

Based on the views and actual experiences of LGUs that went through the process of preparing an ELA, the qualities that make a good Executive-Legislative Agenda are as follows:

Objective

It is grounded on an objective research and a good analysis of the local situation. An effective ELA formulation requires access to pertinent data, careful analysis of trends, and the ability to draw conclusions from data. Credible ELAs cannot just be based on the limited perceptions and biases of a handful of decision-makers. Solid research is needed to help understand critical long-range trends, issues problems and opportunities in the LGU.

Integrated

It is a product of thorough review and validation of existing LGU plans, and consolidation of insights shared by various stakeholders. It takes into account community/barangay development plans and higher level plans as well as sectoral plans in the locality.

Needs-based

It is not a mere wish list of programs and project; rather, it is anchored on the real needs of the local community by making use of minimum basic needs (MBN) surveys and results of participatory area appraisals/diagnosis, among others.

Focused

It channels LGU efforts and resources towards critical interventions which are anticipated to contribute significantly to the realization of long-term development goals while bringing immediate benefits to its constituency.

Widely-shared and Participatory

It is widely shared, crossing party lines and sectors. It reflects the values, views and development priorities shared by its constituencies.

Time-bound

It can be implemented realistically by elected officials during their term of office.

Implementable

The ELA must be owned and used by key decision-makers, specifically the local chief executives and legislative leaders, as they make policy and program decisions.

Enjoys Top Management Support

A good ELA enjoys strong support and commitment from LGU officials, particularly the LCE. An ELA may possess all other qualities of a good plan, but without support from the LCE and the Sanggunian, it may remain as a mere document and not see action.

Box 1. Sample Format of the Executive-Legislative Agenda

- Message from the Local Chief Executive
- Sanggunian Resolution adopting the ELA
1. LGU Vision and Mission Statement
 2. Brief Profile of the LGU
 - Physical
 - Demographic
 - Economic
 3. Development Goals and Strategies (per priority sector such Economic Development, Social Services, Environmental Management, Governance, Development Administration and other priority areas/sectors of the LGU.)
 - Brief Description of Sector Situation
 - Sector Goals, Objectives and Strategies
 - Sector Priority Programs and Projects
 4. Priority Human Resource/Capacity Development Needs and Interventions
 5. Priority Legislative Requirements
 6. Resource Mobilization Strategies
 - Projected Fiscal Requirements of the ELA vis-à-vis Projected Revenues
 - Strategies for Resource Mobilization and Revenue Generation
 7. Plan Implementation, Monitoring and Evaluation

part two



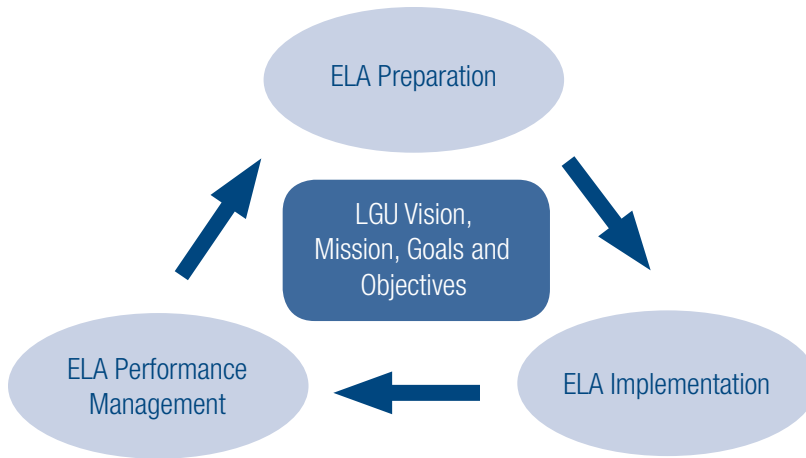
The Executive-Legislative Agenda Process

This part presents a logical step-by-step guide in preparing the ELA. The discussion begins with an overview of the main stages of the ELA. It then proceeds with a description of the detailed steps involved, from the earliest stage of identifying the issues to the point of planning for its implementation, monitoring and evaluation. The steps may differ in detail from one LGU to another, depending on their respective situations.

Overview of the ELA Process

The ELA can be seen as a cyclical process consisting of three main stages, namely: Preparation, Implementation, and Performance Management.

Figure 2. **The Executive-Legislative Agenda Cycle**



ELA Preparation

This stage involves the setting of LGU strategic directions—its vision, mission, goals, priority programs projects, capacities needed, and the supporting policy and legislative measures—in consultation with various stakeholders in the local community. The Local Development Council, being the mandated planning body at the local level, serves as the main reference group. The participation of the legislative council, through their representatives and concerned sectoral committees are sought in all these consultations while factoring in the inputs from other key sectors.

ELA Implementation

This phase involves the actual carrying out of priority programs and projects. It begins with securing ELA endorsement from the LDC, generating approval and budgetary support from the Sanggunian, and getting broad support from external and internal stakeholders for its implementation. Also part of the pre-implementation activities is aligning available LGU resources and mobilizing additional resources to support the ELA priorities.

ELA Performance Management

The ELA should follow a dynamic process of constant review and updating to ensure its responsiveness to local development trends and opportunities as well as emerging/ changing needs of certain sectors in the community. Moreover, the ELA performance management system includes a two-way feedback mechanism that involves the LCE reporting back the ELA to the community, and the community giving feedback to the LGUs on a regular basis. Mechanisms that capture insights and lessons learned from plan implementation would be useful to establish at the onset.

For this manual, the focus is on the steps involved in ELA formulation. While it does not provide the how-to's to effective implementation and performance management, the manual presents the necessary steps in planning for sustained ELA implementation and in monitoring its implementation performance and outcomes.

■ How long does it take to prepare an ELA?

An ELA may be prepared as soon as the newly-elected officials assume office. This will give the LCE and his/her team enough time to draft the Plan and have it approved by the Sanggunian. Drafting the ELA involves an iterative process and demands enormous time from the ELA team. The draft ELA is expected to undergo several revisions before a final version is ready for presentation to a multi-stakeholder assembly. Altogether, the entire process may take up to three to six months to complete. It is however important to ensure that the ELA work plan is made consistent with the budget review and approval process as indicated in Figure 3.

■ What are the steps involved in the ELA Process?

Following are the suggested steps in undertaking a participatory and action-oriented ELA process:

1. **Planning to plan**
2. **Prioritizing Issues**
3. **Consulting with Stakeholders**
4. **Defining/Revisiting the LGU Vision and Mission**
5. **Formulating Goals and Objectives**
6. **Prioritizing Programs, Projects and Capacity Development Needs**

7. **Determining Legislative Requirements**
8. **Building Commitment**
9. **Securing Endorsement and Approval**
10. **Moving the ELA to Action**
11. **Popularizing the ELA**
12. **Managing and Sustaining ELA Implementation**

Figure 3 provides estimates of the duration and the expected major outputs of each step, and the critical dates to be observed vis-à-vis the LGU budget process.

Q ■ What is the driving force behind ELA formulation?

A good ELA begins with the support and commitment of the LCE. While the pressures of the job of an LCE may be a constraint to his/her active participation in drafting the ELA, the LCE is expected to take a visible role in the process.

A visible LCE may mean any or all of the following:

- The LCE is able to provide clear directions and proper motivation to the ELA team.
- The LCE is thoroughly familiar with every detail of the Plan.
- The LCE is able to present, explain and defend the Plan to various stakeholders and solicit support for its implementation.
- The LCE is able to provide necessary support for the Team.
- The LCE is always present in the critical stages of the ELA process, especially during multi-stakeholder consultations.



Having understood what an ELA is and the qualities of a good ELA, it is time to proceed to the steps involved in its formulation.

Figure 3. Indicative ELA Work Plan vis-à-vis Budget Calendar for LGU

Activity	July				Aug				Sept				Oct				Nov				Dec				Major Outputs				
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24					
ELA Process																													
1. Planning to Plan																									ELA Team organized; ELA workplan drafted				
2. Prioritizing Issues																									Initial short list of priority issues				
3. Consulting with stakeholders																									Validated list of priority issues				
4. Defining/Revisiting the LGU vision/mission																									Revisited Vision/ Mission Statement				
5. Formulating Goals and Objectives																									Defined Goals/ Objectives				
6. Prioritizing Programs, Projects, Capacity Development Needs																									List of Priority Programs, Projects, HR/Capacity Development Needs				
7. Determining Legislative Requirements																									List of priority legislative measures				
8. Building Commitment																									ELA validated by stakeholders; formal support obtained				
9. Securing Endorsement and Approval																	●								LDC endorsement of the ELA; SB approval of the ELA, and review Executive Budget and AIP				
10. Moving the ELA to Action																									LGU and Department operational plans formulated; resource mobilization strategies identified				
11. Popularizing the ELA																									ELA Communications Plan and Team formed				
12. Managing and Sustaining ELA Implementation																									ELA Performance Management Plan and Team formed				
LGU Budget Process																													
1. Budget Preparation <i>LCE prepares and submits LGU Executive Budget to Sanggunian</i>																	●												LGU Executive Budget and AIP
2. Budget Authorization <i>Sanggunian authorizes LGU budget through Appropriations Ordinance</i>																									Approved LGU Budget with an Appropriations Ordinance				
3. Budget Review <i>Local Sanggunian/DBM RO/Province/City reviews budget</i>																									Review Action				
4. Budget Execution and Accountability (takes place in the ensuing year)																													Accounting of Income and Expenditure Budget, Performance/Accountability Reports

● *Deadline for submission of the LGU Executive Budget and AIP, to the Sanggunian for review and approval*

step 1

the twelve steps

Planning to Plan

“There is need to tap the best minds in the community for specialized information to enhance the EA.”

Mayor Daisy Sibya, *San Joaquin, Iloilo*

ELA formulation is a challenging task. While the commitment and support of the LCE is crucial to the success of the ELA, this may not be enough to establish a sustainable ELA. Careful planning is needed. Among the considerations that an LCE must take into account in preparing an ELA include the following:

- Would existing LGU resources be enough to undertake an ELA/strategic planning exercise?
- Is there sufficient internal expertise for strategic planning, especially among the LGU management team and planning staff?
- Would an external resource person/facilitator be needed to assist the LGU in the ELA process?
- How much financial resources can be made available to support the process?
- How much time can be reasonably allocated for the process, given other competing concerns within the LGU?
- Who should take the lead, next to the LCE?

Setting-up the ELA Team

While the LCE needs to be visible in the ELA process, he/she needs the help of an efficient team to work on the details of the ELA. Mobilizing and/or organizing this team is a crucial step in the ELA preparation process.



You may ask your ELA coach/facilitator for assistance in setting up your ELA Team.



Who should compose the ELA Team?

Criteria for selecting the ELA Team

In selecting the composition of the ELA Team, the following criteria are suggested:

- **The knowledge, skills and attitudes required in ELA formulation and implementation process.** These include: knowledge of the planning process, development and governance concepts and principles; skills in planning, problem analysis, technical writing, communications, and networking; and willingness to work with others. In addition, knowledge, understanding of and sensitivity to critical development themes such as poverty, environment and peace which LGUs are mandated to incorporate in their local plans, are equally important.
- **Sustainability.** Individuals who come from formal and legally recognized LGU structures for planning such as the following: the LDC which is the main body responsible for local development planning; the Sanggunian which has the mandate to approve local development plans and budgets; key departments/units within the LGU involved in program/project implementation; the Municipal Local Government Operations Officer for technical assistance; the Municipal Planning and Development Office for secretariat support and overall coordination of all related planning efforts of the LGU.
- **Participatory and Equitable Representation.** As a convergence mechanism, the ELA process should involve the participation of key stakeholders not only from within the internal structure of the LGU but also its external stakeholders like the CSOs, academe and the private sector. Representatives from these stakeholder groups may be invited to sit in the ELA Team. Given the importance of policy and legislative measures required to support the implementation of the plan, adequate representation from the legislative council in the ELA Team should be sought.

- **Gender Balance.** There should be gender balance in the Team. This will not only promote and ensure the understanding of issues affecting women, men and other subgroups in the locality but also manifest the LGU’s adherence to and support for GAD mainstreaming efforts in the bureaucracy.
- **Existing workload of the member.** ELA preparation can be tedious and pressure-laden and members should be prepared to render long hours. Consideration for the existing assignments of the prospective member should be made to avoid conflict in workload and schedules particularly in the light of the ELA timeframe.

These criteria can be looked upon as basic considerations for ELA Team selection. LGUs can, of course, add or substitute other criteria as they deem fit given their respective situations and priorities.

Suggested Size of an ELA Team

While equitable representation in the ELA Team is desired, there is a need to keep the number of members within manageable size. Thus, it is suggested that the ELA Team be composed of seven to ten members who meet the selection criteria. While membership to the ELA Team is reduced to a limited number, actual participants to the planning process should include a broader array of stakeholders to include other LDC members, Sanggunian members, and the community.

Suggested Members of the ELA Team

Chair

- Local Chief Executive

Members

Executive

- Local Planning and Development Coordinator
- Two to Four representatives (preferably Department Heads) for each of the key priority sectors (e.g. MHO or MSWD for the social sector; MAO and Municipal Treasurer for the economic sector; etc.)

Legislative

- Vice-Mayor
- SB Secretary
- Chair of the Committee on Appropriation

Two CSO Representatives sitting in the Local Development Council

Facilitator

- Local Government Operations Officer



■ What are the tasks of the ELA Team?

Forming the ELA Team begins with a clear definition of its tasks. Following is a sample list of tasks of the ELA Team:

- Prepare the ELA Work Plan and Budget
- Review existing local plans and gather relevant secondary information
- Plan, coordinate and facilitate the conduct of various multi-stakeholder consultation/validation workshops
- Organize and facilitate the strategic planning sessions
- Draft, package and finalize the ELA document
- Help in organizing other ELA sub-teams that may be required to carry out other ELA activities such as communicating/popularizing the ELA, mobilizing resources, monitoring and evaluation.
- Prepare presentation materials for various audiences of the ELA

Formalizing the ELA Team

It would help if the creation of the ELA Team, regardless whether it is the same management team or a new task force, can be formalized. A directive, e.g. an Executive Order, can be issued clearly specifying the following:

- Team's functions
- Team members and their corresponding duties, and responsibilities
- Relationship of the ELA Team with other units within the LGU
- Support and cooperation needed from the rest of the LGUs
- Resources to be made available to the Team
- Priority to be given to the ELA process.

Formalizing the creation of the ELA Team will introduce the members to the LGU community and help generate assistance in the conduct of subsequent activities. A sample EO creating the ELA Team is found in Box 2.

Orienting the Team

As the ELA Team will do much of the preparatory work, it is critical to secure the commitment of the appointed members. Members should be thoroughly convinced of the importance and benefits of the ELA, and be able to work as a team.



An ELA facilitator can help you in organizing the ELA Team and getting started on the ELA process. ELA facilitators can be tapped from any of the following: MLGOOs that have been designated by DILG as ELA coaches, LGA coordinators and local resource providers who have taken the ELA Coach Program. You may inquire from your MLGOOs for further details on the ELA coach program.



■ Why should the Sanggunian participate in the ELA process?

As a key decision making body, the Sanggunian needs to be involved more substantially in the planning process. By making Sanggunian members part of the ELA Team, they are able to gain fuller appreciation of local development thrusts and priorities and how they can contribute to the attainment of the LGU vision through appropriate legislative actions. Apart from harmonizing executive and legislative actions towards a unified set of goals and objectives for the LGU, the ELA process promotes shared responsibility and accountability.

The participation of the Sanggunian is critical in the following activities:

- Issuance of a Sanggunian resolution supporting the ELA process
- Review of the LGU strategic directions (e.g., issue prioritization, setting of LGU vision, mission and goals, and strategy formulation)
- Identification of legislative measures in accordance with the ELA strategies and priorities

Relationship between the ELA Team and the LDC

The ELA Team derives its mandate from the LDC, the latter being the mandated structure for planning by the 1991 LGC. The ELA Team can be considered as a smaller body, that can be later subsumed under the LDC as soon as it is reconstituted, tasked to take the lead in or facilitate consultations, coordinate activities and consolidate the ELA results and outputs. The LDC can serve as the main reference body to the ELA process, whom the ELA Team should consult and closely coordinate with. This way, the barangays and their priorities are inputted into the ELA through the Punong Barangays who are regular members of the LDCs.

Box 2. Sample EO creating the ELA Team⁵

EXECUTIVE ORDER NO. __

Series of 2004

MOBILIZING AN EXECUTIVE-LEGISLATIVE AGENDA TEAM (ELA TEAM) AND DESIGNATING THE COMPOSITION OF THE ELA TEAM

WHEREAS, the Local Government Code mandates local government units to prepare a Comprehensive Development Plan that outlines the key aspirations, challenges and concerns facing LGUs and a set of programs, projects and policies towards the sustained socio-economic development.

WHEREAS, the Executive-Legislative Agenda serves as an implementing mechanism for the CDP, and its process ensures that the plan is reflective and supportive of the sentiments of and has generated popular support from the various stakeholders in the LGU;

WHEREAS, the ELA process requires a team that will back up the chief executive in the various preparatory, consultative and technical activities in order to come up with good quality and acceptable outputs;

NOW THEREFORE, I, _____, Municipal Mayor of the Municipality of _____, Province of _____, by virtue of the powers vested in me by law, do hereby identify and mobilize the ELA Team, to wit:

Section 1. COMPOSITION.

The Executive-Legislative Agenda Team (ELA Team) shall be composed of the following:

- | | | |
|----------------|---|--|
| Chair | - | (Name of Mayor) |
| Members | | |
| Executive | - | Local Planning and Development Coordinator
Two to Four representatives (preferably Department Heads) for each of the key priority sectors |
| Legislative | - | Vice-Mayor; SB Secretary; Chair of the Committee on Appropriation
Two CSO Representatives sitting in the Local Development Council |
| Facilitator | - | Local Government Operations Officer |

Section 2. FUNCTIONS AND DUTIES OF THE ELA TEAM.

- a. Review available plans and documents, and gather data required in the development of the ELA;
- b. Assist the LCE in public hearings and other consultation sessions with the various LGU stakeholders and affected sectors like the LGU offices, LDC, Sanggunian and other sectoral organizations;
- c. Assist the LCE and the LDC in drafting and finalizing the ELA to include the 3-Year LDIP, current year Executive Budget and AIP;
- d. Assist the LCE in his presentation of the ELA to various stakeholders; and
- e. Do other tasks required by the Local Chief Executive in order to produce the desired outputs.

Section 4. RELATIONSHIP WITH THE LDC AND OTHER UNITS

The ELA Team shall work closely with the LDC as soon as it is reconstituted. The LDC shall act as the reference group for the ELA team and shall participate actively, through its representative, in all stages of the ELA process.

Continuation of Box 2 ...

Section 5. SUPPORT REQUIREMENTS

The team may call upon the assistance of relevant units and/or LGU personnel, through the respective department/unit heads, in the implementation of various activities.

Everyone is enjoined to participate in the various activities of the ELA

Section 6. EFFECTIVITY.

The ELA Team shall exercise their functions and duties effective immediately and until the project closes.

Done at _____ this __ day of _____.

Municipal Mayor

Relationship between the ELA Team and the LGU “management team”

Many LGUs have a management team which meets regularly as a group to assist and advise the LCE and give him/her an LGU-wide perspective on:

- ELA priorities
- Developing programs and projects with cross-organizational boundaries
- Establishing budgets and making trade-off
- Ensuring integration of operational plans
- Monitoring and reporting on LGU-wide issues

Being a member of such a team assists individual managers to have a broader perspective on their own work, and to share information with other managers. LGUs with a fully-functioning management team may mobilize this same team to assist the LCE in formulating the ELA.

As observed however, not many LCEs have fully functioning “management team”. For this reason, the establishment of special task forces such as an ELA Team, can be very useful but they have to work with existing management structures, and not try to replace them, even if these existing structures are weak. Special teams can undermine existing or new structures and create conflicts and confusion. More

specifically, if managers feel bypassed by the ELA Team, there is a possibility of conflict and resistance. Key managers need to be committed to what the LCE is attempting to do with the ELA.

Forming the ELA Team should be done in consultation with the key LGU managers. The LCE should present his/her ELA Team in a manner that managers see it as assisting them, not competing with them.



With the ELA Team already set up, the next task is to identify the critical issues that should be given priority in the ELA.

step 2

the twelve steps to ela

Prioritizing Issues

“Upon checking my ELA , I realized the necessity to reduce the long list into a realistic one....”

Mayor Gregorio S. Faculdo, *Braulio E. Duhali, Davao del Norte*

In identifying the critical issues and problems facing the LGU, the team may take off from existing LGU plans (e.g., the CDP, CLUP, sector plans, barangay plans, etc.) which, if prepared in a participatory manner, usually present a good situationer on the problems, issues and constraints facing the locality. These plans can provide a good base of information from which an initial list of critical issues can be drawn. In particular, the team may wish to look at the Local Poverty Reduction Action Plan (LPRAP) and MBN data, if these are available, as they provide excellent information for planning.

If the existing data are not sufficient to give a clear picture of the current situation in your LGU, you and your team may have to gather more primary data through a series of community meetings, multi-stakeholder consultations, focus group discussions, or surveys. To save on LGU resources, data gathering can be done during the scheduled barangay assemblies where all major stakeholders are invited to participate in the problem identification sessions. Moreover, the Punong Barangays who are sitting in the LDC as regular members can facilitate the process of updating barangay information and feedbacking the same to the Council and the ELA team.



You may ask your facilitator to assist in preparing data gathering plans and templates.



Q ■ How are issues prioritized?

Issues can be clustered according to sectors or development themes. It can follow the sectoral groupings in the Comprehensive Development Plan or the thematic areas of the Local Governance Performance Measurement System.

CDP	LGPMMS
<ul style="list-style-type: none"> ■ Social ■ Economic ■ Physical and infrastructure ■ Environment ■ Development administration 	<ul style="list-style-type: none"> ■ Social Services ■ Economic Development ■ Environmental Management ■ Governance ■ Development Administration

Many issues and concerns are inter-related and are often the effects of a similar cause. It would help the team to classify the long list of issues and distinguish the core problems from the effects. There are a variety of ways in analyzing and prioritizing issues and problems systematically. The more popular tools are the problem tree, SWOT analysis, fishbone analysis, simple ranking, pairwise, etc. The choice of which tool to use will depend on a number of factors, such as ease of use, familiarity with the technique, etc. A general description of these tools and their uses is found in *Step 2, pages 17-24* in the Facilitator’s Guide that accompanies this manual.



You may ask your facilitator to help you in selecting the tools to be used in analyzing and prioritizing issues and problems.

Regardless of the tools used, the exercise should produce three concrete outputs:

- A long list of problems and issues facing the LGU.
- A detailed analysis of issues, leading to the identification of core problems and their causes
- An initial shortlist of prioritized issues to be addressed during the term of office of the elected officials.

■ What are key considerations in prioritizing issues?⁶

In identifying and prioritizing issues, local governments should give attention to important cross-cutting concerns that can be addressed effectively if these are integrated in the local development planning process. These include the following:

Poverty Reduction

Recent government policies have placed enormous responsibility on local governments to take up the challenge of reducing poverty. Local governments are in a better position to determine who are the poor and what their needs are, and identify strategies and interventions that effectively address these needs. Mainstreaming poverty reduction in local governance is important in order that the poor and marginalized sectors in the community are not further disadvantaged by government policies and programs, and that their specific needs are met through targeted government interventions.

Addressing poverty requires addressing issues such as those relating to: (a) limited access to basic social services such as basic education, primary health, nutrition, water and sanitation and shelter, and (b) low income and employment, or the need to stimulate the local economy and to create jobs and increase markets for local agriculture and fishery products. Giving consideration to these issues would help sharpen the poverty focus of local plans.

It is in this light that the ELA provides a good entry point to integrate poverty reduction strategies in local plans, in a manner that involves the poor in designing and delivering interventions and empowers them to take charge of their own poverty reduction and development program. To further guide LGUs in this process, the National Anti-Poverty Commission (NAPC) and other government agencies have developed tools and guidebook to strengthen the capacity of local government units and local stakeholders develop and implement poverty reduction plans and programs. In particular, the Guidebook on Poverty Diagnosis and Planning is now available for LGUs and can be accessed through the DILG.

Environmental Management

Poverty and environmental degradation are interrelated. A great majority of the country's poor are in the rural areas, earning their living from the natural resource base. It is thus important to protect and conserve the natural and environmental resources if the goals of providing sustained livelihood and economic growth is to be achieved.

The LGC contains clear provisions for LGUs to protect their environment. Specifically, in the General Welfare clause, LGUs have the responsibility to enhance the right of the people to a balanced ecology as well as promote health and safety of their inhabitants. This builds the case for LGU mainstreaming of environmental concerns in local planning and decision-making processes to ensure the protection and wise management of the environmental and natural resource base and ensure progress on a sustainable basis. As “stewards” of the environment for the citizens now and for generations to come, LGUs can contribute to the national vision of sustainable development through localization and operationalization of the Philippine Agenda 21, the country's blueprint for sustainable development.

Gender and Development (GAD)

Gender issues and gender responsive solutions need to be integrated in the LGU plans and programs. Gender mainstreaming contributes to more responsive government and better provision of services because it takes into account the interests and needs of various members of the community. Gender mainstreaming also capitalizes on the skills and contributions of both women and men, enabling them to equally contribute to and benefit from the fruits of development.

With the enactment of RA 7192, Women in Development and Nation-Building Act, and the issuance of a joint circular by the Department of Budget and Management (DBM) and the National Commission on the Role of Filipino Women (NCRFW) on the allocation of funds for GAD-related undertakings, it is now easier to mainstream GAD in local development processes. Other enabling mechanisms have been installed in support of gender mainstreaming at the local level. These include the institutionalization of the GAD Focal Point system, development of gender mainstreaming tools such as the Primer on Gender Responsive Governance for LGUs, creation of Regional Resource Centers on GAD, the establishment of the Regional Commission of Bangsamoro Women (RCBW) as a mechanism to help LGUs in ARMM address GAD concerns, among others.

Peace and Unity

The presence of violent conflict interferes with the way local government is able to fulfill its mandate of delivering basic services to its citizens and pursuing sustainable growth and development in the locality. It is imperative for local government to be able to build and support the ability of people and organizations to pursue and enjoy peace. Peace is key if communities are to attract investment and to prosper, and if LGUs are to effectively and efficiently respond to the needs of their constituents.

Giving due consideration to promoting peace and unity in local planning, budgeting and programming decisions is thus important. Initial efforts along this line include the preparation of LGU peace and order plans. The greater challenge lies in LGUs faced with population coming from diverse socio-cultural interests and priorities.

To assist LGUs promote peace and unity, the LGSP has published a Resource Kit on the Culture of Peace and Peace and Conflict Impact Assessment which seeks to assist LGUs and CSOs in addressing peace and conflict.



You may ask your facilitator to guide you in identifying and analyzing the nature and extent of these cross-cutting issues in your LGU. A Toolkit for mainstreaming Poverty Reduction, Environment, GAD, Peace and Unity and Participatory Governance is provided in the Facilitator's Guide as Annex A.



The initial list of priority issues will need to be validated with a cross-section of LGU stakeholders. The next section presents the importance of stakeholder participation and how effective participation can be engaged in the ELA process.

step 3

the twelve steps to ela Consulting with Stakeholders

“LGUs cannot help but become advocates of participatory governance. Participatory governance is an end in itself and should become part of the implementing culture of an effective local chief executive.”

Mayor Plaridel Sanches, *Pandan, Antique*

“My Executive Agenda became the blueprint document of my administration for 2001-2004... With the plan, I was able to organize and utilize my local special bodies as well as harness the civil society groups and people’s organization to work with me in the full implementation of my priority programs and projects.”

Mayor Sakina P. Berman, *Gen. Salipada K. Pendatun*



■ Why is stakeholder participation necessary?

Over the last few years, local governments have put increasing emphasis on the importance of participatory governance, widely accepting the fact that development can be sustainable only if it involves the active participation of its constituents. The value and necessity of participation in ELA preparation can be summarized by the following points:

- **Participation helps the LGU maximize the use of their resources.** Resources are scarce and problems of government are too complex and that the professional and economic resources of LGUs cannot provide all the services expected of them. It is then necessary for the LGU to engage the participation of other sectors in the LGU in addressing specific service delivery gaps and concerns.
- **Participation reduces the likelihood of contentious confrontation before the local government.** Many projects are often delayed because of dissent from community members who were not consulted earlier in the development of



plans and projects that directly affect them. Although participation can take time, it can actually speed up the implementation of projects, especially those that are highly controversial.

- **Participation enhances trust in government.** Involving the community in the process helps connect the government closer to the community, and vice-versa.
- **Participation ensures continuity of plans despite changes in local leadership.** When the people have ownership of the plan, they are more committed to its implementation.

Q ■ How can stakeholder participation be engaged in the ELA process?

An initial mechanism to engage stakeholder involvement in the ELA is through the conduct of preliminary consultation to validate the initial list of priority issues and surface other critical issues. The occasion may also be used to validate the LGU vision. Harnessing stakeholders' participation at this stage helps in;

- Accurate identification of needs and concerns;
- Proper identification of program and projects;
- Proper identification of the needed legislative actions; and
- Building stakeholders' support and ownership of the ELA.

Stakeholder consultation can be initiated by convening representatives from various stakeholder groups either in a series of small workshops or one large assembly. The consultation should enable you and your team to:

- Inform the various stakeholders about the ELA – its benefits, process, people involved;
- Present and validate the initial list of priority issues prepared by the ELA team;
- Listen to other issues and concerns of stakeholders;
- Gather ideas on possible projects to address identified issues and how they can participate in such;
- Generate ideas on relevant policies and legislative measures to address identified issues and problems; and
- Solicit their support in ELA formulation and implementation.



■ Who should participate in the consultation?

All possible stakeholders, both internal and external, should be invited to participate in the consultations. A major stakeholder to the ELA process is the LDC, being the mandated planning body in the LGU. As the ELA is a planning process that is not isolated from existing local planning systems, LDC participation should be actively sought. In particular, the LDC can function as the main reference group to the ELA processes, which the ELA team can consult and coordinate with.

Internal stakeholders may come from LDC representatives, heads of offices in the LGU, the planning staff (LPDO), and Sanggunian representatives. The participation of the LDC and the Sanggunian is particularly important given their critical roles in the local planning and policy formulation processes, respectively. This stage of the ELA process is also useful in the Sanggunian’s work of crafting the broader legislative agenda.

External stakeholders may include representatives from municipal agencies (especially those responsible for the identified major issues), community leaders or representatives, NGO, private /business sector, and other disadvantaged groups and basic sectors such as women, youth, farmers, fisherfolk, indigenous communities, specially able persons, senior citizens, etc. More than the number, however, it is the quality of participation that counts. It is always helpful to invite the critical stakeholders in the locality in order to maximize the benefits from the workshop discussions.

■ How can benefits from consultation be maximized?

It is important to choose participatory tools that will ensure as much participation from stakeholders as possible. A popular participatory tool, which is commonly used in some LGUs is the Technology of Participation (TOP). A description of this tool is provided in the Facilitators Guide.

For consultation with large number of participants, it is suggested that seasoned facilitators be tapped to design and facilitate the various activities. A good documentation team should also be on hand to ensure that the agreements and suggestions are properly recorded.

The preceding steps discussed thus far enable the LCE, the ELA Team, and the various stakeholders gain a comprehensive view of the existing situation in the LGU, and the key issues and concerns that must be given priority in the immediate term. A good understanding of the local situation provides a sound and realistic basis for setting the strategic directions of the LGU.

Your facilitator may guide you in identifying appropriate participatory techniques to be adopted in the consultation sessions.

The quality of consultation depends, to a great extent, on the quality of stakeholders' participation!



The following sections describe the steps in crafting the elements of the ELA, or the strategic directions of an LGU.

step 4

the twelve steps

Defining / Revisiting the LGU Vision and Mission

“An LCE must be a visionary leader, with plenty of imagination and judgment for the future development of the municipality.”

Sultan Topaan Disomimba, *Tamparan, Lanao del Sur*

“A mission-driven government that remains focused and with clear goals and objectives can achieve much.”

Mayor Raul N. Baniyas, *Concepcion, Iloilo*

“Making a difference requires focusing on something unique in a municipality, something not found in other LGUs.”

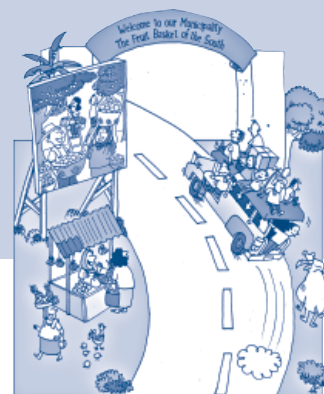
Mayor Ernesto Matias, *Isulan, Sultan Kudarat*

The Elements of an Executive-Legislative Agenda

The ELA can take several elements, depending on the style and preference of the LGU. In its simplest form, an ELA consists of the following basic elements: a statement of vision, mission, goals, objectives and corresponding performance indicators; priority program and projects; and the priority policy proposals and legislative actions in support of the identified issues and problems.

What are the Basic Elements of an Executive-Legislative Agenda?

1. Vision
2. Mission
3. Goals and Objectives
4. Priority Programs, Projects and Capacity Development Needs
5. Priority Legislative Requirements



Setting the strategic directions for the LGU begins with a clear statement of its vision and mission.

Many LGUs already have vision and mission statements. For these LGUs, it may be necessary to revisit your vision and mission statements to check if they are still valid or if there is need to revise them. If your LGU has not formulated your vision and mission statements, it is important to define them together with the major stakeholders in your LGU.

Q ■ What is a Vision?

A vision is the stakeholders' shared image of the LGUs future. It answers the question: **How do you see your LGU in the future? Or what do you want your LGU to become?**

The vision statement should be as vivid as possible, so that it can serve as an inspiration for all stakeholders. It serves both as a reminder and a challenge. It is the driving force behind an organization.

▶ ***To be shared, a vision needs to be developed in a collaborative manner. The facilitators guide includes a tool for the visioning exercise (Facilitator's Guide: Step 4, p. 36)***



■ How long should a vision’s timeframe be?

Your vision may not necessarily coincide with the timeframe of your executive-legislative agenda. Ideally, the timeframe for your vision may correspond to your longer term plans such as the Physical Framework Plans or what is popularly known as your Comprehensive Land Use Plans, which is at least ten years.

Reality Check on Vision Statement

- **Achievable.** Keep in mind that although a vision is ambitious, it certainly should be achievable or well grounded on reality. For example, it is not realistic to have a vision element on tourism if a municipality does not have any tourism potential at all.
- **Inspiring.** Check if it inspires enthusiasm and encourages commitment. Use adjectives and vivid words to describe your locality in the future.
- **Easily Understood.** Check if it is well articulated and easily understood. Use simple language that even a ten year-old child can understand and identify with.
- **Distinctive.** Check if your Vision Statement builds on the distinct character of your LGU. For example, Marikina City aspires to be a river city, thus making the most of its river resource for future development.
- **Complementarity.** Check it against the vision statement of other neighboring LGUs. LGUs within the province should have complementary and not competing visions. Not all municipalities within a province should serve as ports, for example. This is where the Provincial Physical Framework Plan may prove useful as a guide.

Examples of LGU Vision Statement

A better quality of life for the people of South Cotabato through genuine people’s participation, sustainable and equitable socio-economic development, and the transformation of the province into a premier agro-industrial center in Southern Philippines.

Province of South Cotabato

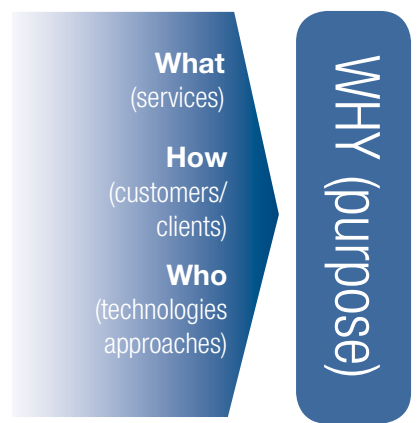
A model highland garden community where people live happy and prosperous lives.

Municipality of Doña Remedios Trinidad, Bulacan

Q ■ What is a Mission?

A mission answers the question: Why do you exist? It is sometimes referred to as the purpose. A mission statement describes the general thrust of your LGU. It provides a clear view of **WHAT** the LGU is trying to accomplish **FOR** its clients and **HOW** it can attain its purpose (see Figure 4). It should serve as the foundation for what the LGU will focus on. It evolves out of the process of bringing the vision into focus. A mission statement is important because it can strategically set the direction for an LGU, providing the focus and guidance needed. A mission does not change much unless the nature of an LGU changes. It can be used for evaluating the performance of the LGU.

Figure 4. **Basic Elements of a Mission Statement**



Sources of Mission for an LGU

The mission for an LGU can be derived from its mandate which is defined in the general welfare clause, Section 16 of the Local Government Code (RA 7160).

Reality check on Mission Statement

- Reflects what the LGU seeks to do.
- Anchored on its vision.
- Communicates and identifies the purpose of the LGU to all stakeholders.

Examples of LGU Mission Statement

To pursue sustainable urbanization for the Island Garden City of Samal, prudently putting in place state-of-the-art urban amenities yet keeping intact its natural endowments, ecological balance, rural ambiance and enhancing its indigenous cultural heritage.

Island Garden City of Samal, Davao

Through a well-defined development plan and a corps of honest and dedicated public servants working hand in hand with the people, we shall pursue economic growth with equity.

Naga City

step 5

the twelve steps

Formulating Goals and Objectives



■ What are Goals and Objectives?

Goals and objectives translate an organization’s mission into more concrete and measurable terms. They set targets and provide detailed answers to the questions: *where is the organization headed and when is it going to get there*. Both are desired results, but they differ in time frame and impact.

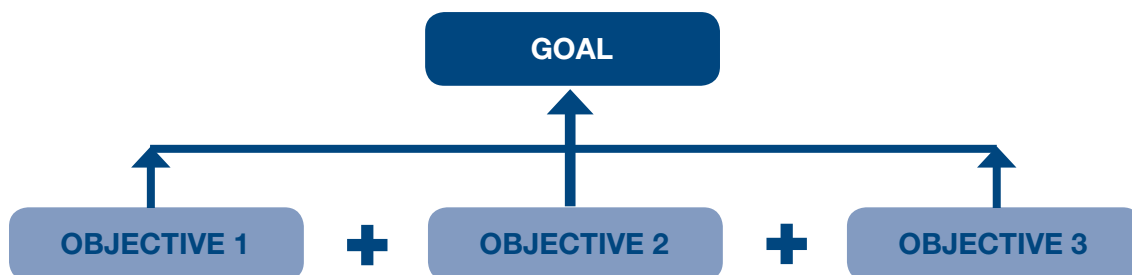


■ Are goals and objectives interchangeable terms or do they have distinct meanings?

In the hierarchy of objectives, goal is the higher objective. A set of objectives can contribute to the attainment of a goal (see Figure 5). Goals are long-term results that bring the LGU closer to the vision. They represent and measure the desired changes in the lives of the local community. Goals impact on the lives of your constituents. They are measured in terms of actual benefits to people.

It is possible that the LGU cannot be solely accountable for the attainment of a goal and that it can only be accomplished in partnership with other agencies. On the other hand, objectives are immediate results that LGUs are directly accountable for. They can be achieved in the shorter term. The realization of several objectives can contribute to the achievement of a goal.

Figure 5. Relationship Between Goals and Objectives



Your objectives should be SMART! Check the objectives if they reflect the SMART criteria:

S	Specific	Specific in targeting an objective
M	Measurable	Progress is measurable through indicators
A	Assignable	Can be assigned to particular responsibility centers or people
R	Realistic	Can be realistically done
T	Time-related	Has a timeframe as to when it can be achieved

Example of several objectives contributing to a goal:



These goal and objectives can be restated using the SMART criteria as follows:

Goal	Increase farm income of ___(#) rural households from P___ in base year (year 1) to P in future year (year 3)
Objective 1	Improve access to market of ___(#) rural households by reducing transport/hauling cost from P___/cavan to P___/cavan
Objective 2	Facilitate the approval of credit application of farmers from the current level of ___households to ___households in future year.
Objective 3	Increase farm yield through irrigation from current level of ___ cavans/hectare to ___ cavans/hectare
Objective 4	Increase farm productivity from current level of ___ cavans/hectare to ___ cavans/hectare through the adoption of new farm technologies



Your facilitator can aid the ELA team formulate goals and objectives.



■ What are Performance Indicators?

Performance Indicators (PIs) measure the extent of achievement of desired results. PIs are needed for both goals and objectives and can be expressed either quantitatively or qualitatively. One must establish the PI baseline of the current year, PIs for the next year, or according to the planning horizon desired.

Performance indicators are important for several reasons. Performance indicators help:

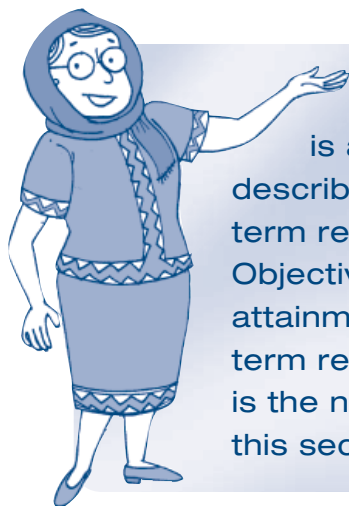
- define the criteria for success of the ELA;
- provide information about progress towards the achievement of desired results in the ELA;
- identify problem areas in ELA implementation and direct interventions appropriately; and
- provide a basis for monitoring and evaluation of the ELA.

QA ■ What are the qualities of a good performance indicator?

- Relevant (focuses on what is important in the objective or goal)
- Reliable (capable of yielding the same results if gathered by two independent observers)
- Practical (makes use of available data; data requirement is not costly to generate)
- Independent (cannot be used for two levels of objectives; or an indicator for a goal cannot be used as an indicator for an objective)

Using the previous examples, performance indicators are expressed as:

Goal/Objective	Performance Indicator
Increase farm income of ___(#) households	Farm income increased from P___/year (year 1) to P___year for future year
Improve access to market of ___rural households	Transport /hauling cost reduced by P___/cavan to P___/cavan Cropping intensity increased by ___times/year to ___ times/year
Increase farm yield	Increased crop (e.g. palay) production from ___ cavans/hectare to ___ cavans/hectare



The LGU vision represents a desired future state that is achievable in the long-term. The mission statement describes the core business of the LGU. Goals are medium-term results that would bring the LGU closer to its vision. Objectives are short-term results that would contribute to the attainment of the goals. How the LGU will achieve these short term results, and ultimately move the LGU towards its vision, is the next step in the ELA process and shall be the subject of this section.

step 6

the twelve steps to ela

Prioritizing Programs, Projects and Capacity Development Needs

“Our EA is our roadmap for development; it reflects the cooperation of our people translated into realizable projects....”

Mayor Santiago “Mye Mye” Barcelona, *Escalante City, Negros Oriental*

“An EA ought to be workable, realistic and serves the purpose of guiding the activities to be done in a year up to three years. I realize that the CapDev will help how these activities are to be carried out.”

Mayor Felipe T. Allaga, *Bagumbayan, Sultan Kudarat*

Part 1. Prioritizing Programs and Projects

Projects are the building blocks of the ELA. Your vision and dreams can only be translated into reality with the delivery of programs and projects.

The term “project” refers to a great variety of undertakings. Projects range from actions with a single-purpose, such as small infrastructure projects (e.g. construction of an irrigation facility, delivery of a training course, etc.) to complex, multi-component systems such as a capacity building program for local governments.

In more practical terms, a project may be defined as any undertaking that involves the use of scarce resources during a defined time with a given purpose.



Q ■ How are programs and projects identified?

As a vital step in the planning cycle, project identification should not be limited to the ELA team but should likewise involve the participation of critical stakeholders, particularly the LDC which is the mandated body tasked to undertake local investment programming. Specifically, the various sectoral committees in the LDC, if organized, start the process of identifying programs and projects. Involving the stakeholders in program/project identification enhances the appropriateness of interventions, fosters ownership and sustained support for their implementation, and ensures continuous flow of gains/benefits.

This step of the ELA also facilitates the local investment programming process. The ELA list of priority programs and projects can provide a ready basis and a good headstart for the LDC in drawing up the LDIP and the AIP. With the ELA process set in motion, it would be easier for the LDC to perform its mandated function.

Stakeholder inputs to program/project identification may be elicited during the multi-stakeholder consultations in Step 2, or through separate discussions and validation conducted with critical members of the community at various stages of the ELA process.

In identifying programs and projects, it would also be good for LGUs to build on existing strengths and weaknesses and anticipate opportunities or threats in the external environment. To enhance the community acceptability of programs and projects, it is further suggested that they be made consistent with indigenous practices, local knowledge, values and traditions that matter to the community.



■ How are programs and projects prioritized?

Choosing programs and projects through well thought of criteria makes the decision-making process less arbitrary and rational. The criteria for prioritization will vary depending on who formulates them since these reflect the values of people and the specific situation of the LGUs. Also, proper reference to the LGU mandates as specified in Section 16 of the 1991 LGC and the crafted vision, mission and goals of the locality should be made in the process of setting the criteria. Most importantly, programs and projects should be aligned with the LGU vision, goals and objectives.

When you arrange your programs and projects in the order of priority, you should be results-oriented. Programs and projects are not simply a means to finance activities and materials; rather, they are approved as the best means to attain definite end-objectives. Experience has shown that of all the programs identified, only about 20 percent are likely to remain viable after adequate screening.



Suggested tools for program/project prioritization are included in the Facilitators Guide: Step 6, pages 42-50. The ELA facilitator may orient the team on these tools.

Reality Check on Potential Programs and Projects

1. **Impact and Relevance.** Will the program/project directly contribute to the LGUs vision, mission, and goals?
2. **Mandated.** Is the program/project a mandate of the LGU?
3. **Feasibility.** Is the program/project feasible as to:
 - Timeframe (can be completed within the LCE term of office)
 - Available resources (can be immediately implemented given existing organizational and financial resources, technology, information, etc.)
 - Acceptability to the community (affirmation of key stakeholders)

Part 2. Identifying Capacity Development Needs

The ELA, to be implemented effectively, dictates a set of competencies and institutional arrangements that should be present in the LGU. This set of competencies and institutional arrangements comprise an organization's capacity. Key interventions needed to develop the required capacities for ELA implementation are considered priority action areas for the ELA and are subsumed under the Section on Development Administration.

The ELA integrates a process that allows the LGU to assess the capacity requirements of the plan and determine whether these are present in the LGU. The process ends with the formulation of the following outputs: (a) an HRD Plan and (b) an Institutional Development Plan. Both present a set of actions that address identified capacity gaps in the LGU vis-à-vis the ELA capacity requirements the HRD Plan at the individual level and the Institutional Development Plan at the organizational level.

Ideally, CapDev strategies should employ a holistic approach that examines not only the capacity enhancement of staff but also the other aspects of the organization. Still, realities in many LGUs may not permit the immediate conduct of an organization-wide capacity assessment exercise which typically requires a fair amount of time and resources. At the minimum, it is suggested that an HRD Plan be drawn up to ensure that the competency requirements of the ELA will be made available.

■ What is capacity?

The CIDA-LGSP's framework on capacity development describes capacity into three categories:

1. At the individual level, or individual capacity, which refers to the set of knowledge, skills, values and attitudes possessed by the employees of the organization.
2. At the institutional level, or institutional capacity, which includes: (a) the work environment and motivation systems affecting employee performance, (b) organizational capacity or the organization's structure, work processes, tools and equipment, supplies and materials, technology, internal communication, and physical facilities; and (c) leadership and communication or the organization's strategic directions and the manner by which these are communicated to its internal and external stakeholders.
3. At the systems/sector level, or system/sector capacity, which pertains to the enabling external environment within which an organization operates. LGUs

need to have the capability to seize the opportunities and prepare for the challenges presented by its external environment.

■ What are the steps involved in capacity assessment?

There is no “one way” to assess capacity. Nonetheless, following are suggested steps in conducting capacity assessment both at the individual and the organizational levels:

1. Establish the capacity requirements of the ELA goals and objectives. What capacities should be present in the LGU to support the implementation of programs and projects that contribute to the achievement of ELA goals and objectives?
2. Examine existing capacity vis-à-vis requirements and identify obstacles that hinder the achievement of the goal/objective. Does the LGU have adequate leadership, management, technical skills, organizational arrangements, motivation, technology and equipment, systems and procedures, regulations, ordinances, and funds to accomplish the goals of the ELA?
3. Identify capacity gaps (in terms of staffing, skills, equipment, organizational arrangements). Where are gaps in capacities? Which capacity areas need to be prioritized? Available local government performance management systems such as the LPPMS and the LGPMS of the DILG, should be able to provide useful information on organizational capacity of the LGU.
4. Identify specific actions that need to be taken (which may include getting more information). What should be done to improve or develop capacities?
5. Prepare a plan and budget to achieve the goal and make sure the capacity improvement steps are included. How much time, effort and budget would be required to make improvements to our present capacity and is it worth it?
6. Assign roles and responsibilities to achieve the goal and the capacity objectives.
7. Monitor the plan and make adjustments as required. Should goals and objectives be adjusted given present capacity?

A sample capacity gap analysis matrix may take the following form:

Table 2. **Capacity Gap Analysis Matrix**

ELA Outcome Area/ Proposed Project	Implementation Strategy	Capacity Requirements											
		Competency Requirements (K/S/A)		Structure		Systems & Procedures		Policies		Logistical		Others	
		*	#	*	#	*	#	*	#	*	#	*	#

* Ideal # Actual

If you are just doing the HRD Plan, you may focus only on the Competency Requirements (knowledge, skills, attitude) column in Table 2.



Your ELA facilitator can guide you in undertaking capacity assessment.

Drawing up the Human Resource/Capacity Development Plan

A Human Resource (HR)/Capacity Development Plan outlines the capability building interventions or programs that need to be undertaken to address an identified capability deficiency, indicating the target groups and the development approach to be used.

Enhancing individual capability is not only confined to training. There are other modes to enhance the skills and knowledge of people in an organization such as coaching, mentoring, exposure trips/exchange program, etc.

On the other hand, enhancing organizational arrangements involves, among others, the following:

- Installation or mainstreaming of systems and structures
- Improvement of processes
- Introduction of new technologies
- Definition of procedures and methods
- Enforcement of rules

In general, capacity development planning helps rationalize and strategically focus capability building efforts of LGUs. The benefits derived from CapDev planning are not only confined to ELA implementation but can last even beyond the plan period.

A sample Human Resource/Capacity Development Plan format is shown in Table 3.

Box 3. Example of Capacity Assessment for a Revenue Goal

The LCE, together with his stakeholders, sets a goal to double the amount of real property taxes collected over the next three years. In the process of setting the goal, several issues were identified:

- There is no computer or software available in the LGU
- There are staff available but they lack computer skills
- The treasurer will retire at the end of this year
- The revenue code are is out of date
- Many people are behind in their tax payments

Clearly, more detailed work will have to be done. There will be a need for budget estimates (cost of computer, software and training). Other information (How can we find out about better tax assessment methods? Why are people behind in paying their taxes?) will be needed. One of the managers will have to be assigned responsibility for developing an operational plan over the coming months. Perhaps a small task force will be needed to gather more information and to follow up on this work.

In preparing the operational plan for this result area, the following issues may have to be addressed:

- What professional and personal qualities a new treasurer should have?
- How should job descriptions of lower level staff be improved?
- What kind of staff skills and experience are necessary?
- Do we have the right kind of organizational arrangements?
- Are changes in existing procedures, regulations or ordinances needed?
- How are we going to maintain the equipment?
- How do we motivate citizens to pay taxes?

Table 3. **HR/Capacity Development Plan**

Priority HRD/ Capacity Development Interventions	Target Office/ Staff	Desired Outcome	Implementation Details (Timeframe, Respon- sible Unit, Resource Requirements and Source)



■ Is there a need for a separate HR/Capacity Development Plan?

Normally, the activities and budget related to making capacity improvements should be part of the plan and budget for the overall goal and objective. If the objective is to improve tax collection, the budget and operational plan for any training needed should be part of the overall plan, annual budget and the three-year investment plan for this goal. This keeps all the activities that need to be carried out, as well as the budgets, together and makes implementation and accountability clearer.

At the same time, there may be good reasons for wanting to see capacity improvement interventions in one place. For example, many training interventions may be proposed, and rather than having them scattered and uncoordinated, it may be more efficient to bring them together under the responsibility of the HRD person or to integrate them into your existing HRD plan or Development Administration plan, if you have one.



The Facilitator's Guide provides a thorough description of the capacity assessment process and tools that you can use. This is found in Step 6, pp. 50-54 of the Facilitator's Guide.

Reminders in identifying capacity development needs:

1. Proper grounding on capacity development concepts and tools would be useful in implementing the activity. A separate orientation on the topic may have to be conducted for you, your ELA Team and other LGU department heads who will be closely involved in the activity.
2. An LGU capacity profile is usually not readily available. Generating accurate information on your LGU's administrative and operational capacity may require substantial data gathering work, and therefore, take some time. The ELA Team may utilize a combination of techniques in generating the required information. These techniques are explained in the Guidebook.
3. By its very nature, capacity assessment may appear threatening to some LGU staff and constrain them from giving accurate information. It is therefore important that LGU department heads are thoroughly oriented on and understand the process as they are the key informants.
4. The team may need the help of an external facilitator/advisor in assessing capacity and developing a Comprehensive Capacity Development or HRD Plan.



Having established and validated the priority programs, projects, and capacity needs of the LGU, the ELA team then determines specific areas of the ELA that require legislative measures.

step 7

the twelve steps to ela **Determining Legislative Requirements**

Q ■ **What are legislations?**

Legislations are policy instruments used to influence the attainment of a specific development objective. For local policies to be effective, they should directly support and align with the development priorities of the LGU. Like programs and projects, legislations concretize and put to action development strategies. A systematic and participatory approach to identifying and prioritizing legislative actions, that leads to the formulation of a Legislative Agenda, is an essential ingredient of good local governance. As provided for in the Local Government Code, the primary responsibility for identifying and formulating needed legislative actions is lodged with the Local Legislative Council or the Sanggunian. The Legislative Agenda serves as the primary tool of the Sanggunian in performing its role and provides a roadmap in making proper connection of legislative actions with the strategic thrusts of the LGU.

Q ■ **What is the difference between legislative measures and legislative agenda?**

The ELA process calls for the identification of legislative requirements for the ELA strategies, programs and projects. The list of legislative requirements or priority legislative measures forms part of the ELA that is presented to the LDC for endorsement and to the Sanggunian for adoption. The list of priority legislative measures should be of particular interest to the Sanggunian as it provides a good starting point in crafting the broader legislative agenda.

While the formulation of an LGU Legislative Agenda is encouraged as a parallel effort in the ELA, the process would require a separate set of activities that may be too detailed to be incorporated in the ELA. The actual identification and formulation of needed legislations shall be taken up by the Sanggunian as a completely separate activity from the ELA.



Legislative measures cover a range of development concerns and sectors in the municipality. Ideally, areas requiring priority legislations go hand in hand with the sectoral or thematic priorities of the local government. Thus, priority legislative measures can be identified for the economic development sector, social development sector and environment, among others. There are also legislative measures that cut across sectors particularly those pertaining to development administration.

Q ■ Why should the ELA process include the identification of legislative requirements?

The ELA process is an attempt at creating that “fit” between legislative and executive actions. It provides the mechanisms to converge the efforts of the executive and legislative departments towards a common set of development goals for the LGU.

Q ■ Why is Sanggunian participation important in the ELA?

The participation of the Sanggunian in the ELA team can pave the way for convergence between the planning and policy formulation processes. With their involvement in the early stages of the ELA, Sanggunian members acquire better understanding of local problems and opportunities that are critical inputs to the actual formulation of policy/legislative actions.

The LA process, as shown in Table 4, entails a set of activities similar to the EA process. To save on time and resources, some of the steps in LA formulation can be done jointly with the ELA process. Alternatively, some of the steps in ELA process can input into LA formulation. The table however indicates the LA steps that are exclusive to Sanggunian members namely, Steps 4 to 6.

■ How are priority legislative requirements identified?

As earlier mentioned, the output of this step is a list of legislative measures needed to implement the LGU development thrusts. The ELA process does not require the team to draw up a legislative agenda, neither craft specific ordinances or resolutions as these are the function of the Sanggunian.

In identifying the legislative measures to support the ELA, the process takes off from the list of priority programs, projects and human resource/capacity development interventions. Following are some indicative steps:

Indicative Steps in Identifying Policy/Legislative Measures

1. Identify the LGU development thrusts and strategic directions
2. Examine each of the strategic thrusts and actions (i.e., goals and objectives, programs, projects, capacity development interventions, policies) and identify policy/legislative gaps
3. Identify areas requiring policy/ legislative measures
4. Draw up list of priority policy/legislative measures

A sample format of the output for this activity is shown in Figure 6.

Table 4. Legislative Agenda Formulation vis-à-vis ELA Formulation*

	LA Process	Related ELA Steps
Step 1	Identify local needs, problems and aspirations (e.g., depletion of aquatic resources, uncollected garbage, etc) and cluster them into coherent themes, sectors or issue areas, e.g. solid waste management, environmental protection, economic development, good governance	Step 2 – Prioritizing Issues Step 3 – Consulting with Stakeholders
Step 2	Review issue areas for consistency with the LGU vision, mission and goals	Step 4 – Defining/revisiting the LGU vision Step 5 – Formulating Goals and Objectives
Step 3	Prioritize these issue areas and identify proposed legislative actions, e.g., segregation and waste recycling ordinance	Step 6 – Prioritizing Programs, Projects and Capacity Development Needs Step 7 – Determining Legislative Requirements Step 8 – Building Commitment Step 9 – Securing Endorsement and Approval
Step 4	Prioritize legislative action into a specified timeframe. This involves the identification of proposed resolutions and ordinances to be calendared for adoption by the local Sanggunian within the specified period.	
Step 5	Allow for agenda acceptance and advocacy, i.e., adoption into Sanggunian resolution and community advocacy	
Step 6	Legislative Tracking	

*As the table illustrates, the initial steps of the LA process can be undertaken jointly with the related ELA steps. The LA process departs from the ELA at Step 9, at which stage, priority legislative requirements have been defined and the SB adoption and approval of the ELA secured.

Figure 6. **Sample Format of Priority Legislative Measures**

Strategic Thrust/ Policy Area	Priority Programs/ Projects	Needed Legislative Measures	When Needed
1. Devt. Administration <i>A more self-reliant LGU</i>	<i>Revenue Generation Program</i>	<i>Updating of the Revenue Code</i>	<i>July-Dec. 2004</i>
2. Econ. Development <i>A more vibrant local economy</i>	<i>Local Investment Promotion Program</i>	<i>Review of the Local Investment Code</i>	<i>Sept.-March 2000</i>

The output generated from this step is useful in terms of:

1. Highlighting and advocating the importance of harmonizing legislative and executive actions;
2. Generating needed support for implementation of ELA activities, and
3. Providing focus to the legislative work of the Sanggunian.



Your facilitator can guide the ELA team in identifying the legislative measures to support ELA implementation. You may also refer to Annex B of the Guide for fuller appreciation of the Legislative Agenda process.



The main elements of the ELA have been drawn up.
The succeeding steps illustrate how to move the ELA
to action.

step 8

Building the twelve steps to ela Commitment

“...the hardest decision that I have made is when I signed the COVENANT OF COMMITMENT which the ELA Team had formulated and voluntarily signed by all municipal and barangay officials, civil society organizations, and private sector expressing their full support. With this piece of direction of my government for my term, I am liable to pursue the beautiful things therein... the officials and individuals who also signed therein shall also be responsible in guiding and helping me realize all the aspirations we had set....”

Mayor Romulo M. Tapgos, *Arakan, Cotabato*

The draft ELA should be formally presented to various stakeholders, preferably with the presence of the same set of stakeholders who took part in the initial consultations. This second round of validation is meant to check the acceptability of priority programs and projects in the ELA. The event can also serve as an opportunity to generate formal expression of support from stakeholders and re-affirm their commitment for ELA implementation. Expressions of support may include a written pledge of commitment from key representatives or a draft resolution endorsing the ELA duly signed by stakeholder representatives.

This is one stage in the ELA process where LCE presence is critical. Having ultimate accountability for the plan, the LCE should be able to articulate clearly and passionately the ELA elements and the critical factors to its successful implementation. The presentation should be able to elicit commitment of stakeholders in helping achieve the goals of the ELA.



To enhance the commitment building process, the following may be considered:

- ✓ Naming the ELA -- a People's Agenda, an LGU Agenda, or simply an Executive Agenda – in a manner that would enhance its acceptability and ownership.
- ✓ Including a catchy phrase, maybe the vision statement, or compelling visuals in the cover page
- ✓ Incorporating a separate sheet showing a pledge of commitment or endorsement from stakeholders during the various consultation meetings.

With the feedback and reactions generated from the workshop, the ELA can now be finalized and presented to the LDC for endorsement.



Your facilitator may be able to assist you to organize the consultation and prepare a good presentation. Moreover, Step 8, pp. 58-61 of the Facilitator's Guide provides tips in effective presentation.



The activity involves getting the LDC to endorse the ELA to the Sanggunian and the Sanggunian to adopt the ELA and approve its enabling instrument, the AIP. The process assures firm commitment to ELA implementation, thus, creating a more stable development path for the LGU.

step 9

Securing Endorsement the twelve steps to ela and Approval

An ELA needs unequivocal endorsement by the LDC and support from the SB!

The ELA approval process takes the following steps:

1. LDC to endorse the ELA to the Sanggunian.

As the mandated planning body, the LDC makes formal endorsement of the ELA to the Sanggunian. Getting the LDC to present and endorse the ELA to the Sanggunian reinforces and strengthens the envisioned role of this body as embodied in the LGC. LDC support can be facilitated by: (a) involving the LDC in every step of the ELA preparation process; and (b) projecting the ELA as a collaborative effort of various stakeholders and, as such, enjoys broad-based support.

In presenting the ELA to the Sanggunian, it will be important to direct the attention of the Sanggunian members to the proposed legislative measures, as formulated in Step 7, to make sure that such measures are taken up in their own legislative agenda formulation work.

2. Sanggunian to issue a resolution for the formal adoption of the ELA.

The participation of the Sanggunian in the critical stages of the ELA formulation process is expected to facilitate the review and approval of the ELA. It would help if the Sanggunian can issue a resolution to signal the formal adoption of the ELA. A sample resolution is shown in Box 4.



3. LDC to finalize and present the AIP to the Sanggunian

Taking off from the identified programs, projects and HR/capacity development interventions in Step 6, the LDC firms up the Annual Investment Plan (AIP) guided by the DBM's updated Budget Operations Manual for LGUs and presents the same to the Sanggunian as basis in the LGU's utilization of its 20 percent development fund from the IRA. In like manner, the LCE may also review the draft LGU Executive budget towards making departmental budgets consistent with the ELA priorities.

In preparing the LGU Executive Budget and the AIP, the LCE may convene a general assembly of LGU staff to present the ELA. At the minimum, the assembly should achieve the following:

- Make the LGU officers and staff gain good understanding of the ELA and its various elements;
- Enable them to align their respective department budgets with the ELA; and
- Motivate and inspire the staff to support and commit to the successful implementation of the plan.

Box 4. Sample SB Resolution Adopting the ELA

RESOLUTION NO. ____, Series of ____

“ADOPTING THE EXECUTIVE-LEGISLATIVE AGENDA OF THE MUNICIPALITY/PROVINCE/CITY OF ____”

WHEREAS, the Executive-Legislative Agenda (ELA) sets the local government’s strategic directions for the next three years and provides an explicit expression of the present administration’s goals, objectives, strategic priorities and programs that are consistent with the LGU vision and mission;

WHEREAS, the formulation of the ELA involved the participation of various stakeholders in the community in its various stages, from needs identification to plan implementation, monitoring and evaluation;

WHEREAS, the ELA represents the collective aspiration, needs and priorities of the local community and therefore enjoys broad-based support;

WHEREAS, the ELA is this administration’s sincere invitation to all its constituents and resource institutions to be its pro-active partners in progress;

NOW THEREFORE, this body in session assembled,

RESOLVED, to adopt as it hereby adopts the Executive-Legislative Agenda of the Municipality/Province/City of _____.

CARRIED

Date

I hereby certify to the correctness of the foregoing resolution which was duly adopted by the Sanggunian Bayan/Panlalawigan/Panglungsod during its Regular Session on _____.

(Signed)

Secretary to the SB

ATTESTED:

Presiding Officer

SB Member

SB Member

SB Member

SB Member

SB Member

SB Member

APPROVED:

Municipal Mayor

Secretary to the SB

Suggested Steps in Budget Preparation

1. LCE convenes staff assembly to present the ELA and budget policy/priorities for the year.
2. Departments adjust their budget proposals in accordance with ELA thrusts and priorities and submit the same to the LCE through the Local Budget Officer (LBO).
3. The LBO, with assistance from the ELA Team, reviews and consolidates into the LGU Executive Budget department/unit plans and budget proposals.
4. The LBO, with assistance from the ELA team, conducts “one-on-one” budget hearings with each department/unit and firms up budget proposals.
5. The LBO consolidates the budget proposals into the LGU executive budget for review by the LCE.
6. The LGU executive budget is presented to the Sanggunian for approval.
7. Sanggunian approves and enacts appropriations ordinance for budget approval.

In larger and more complex LGUs, there may be a need for departments to do mini strategic planning for their respective responsibility areas. This will help them situate better their roles and contributions to the overall development goals and objectives for the locality, and align their operational plans and budgets accordingly.

Important Reminder:

Timing is essential in the process of aligning the budget with the ELA. The ELA process should coincide with the budget calendar to ensure timely approval and funding commitment for implementation.

Critical date for examination and consolidation of LGU executive budget is on or before October 16. This includes the General Fund and the 20 percent Development Fund.



Your facilitator may guide you in formulating your executive budget and your AIP based on the DBM budget manual for LGUs.

4. Sanggunian to approve the AIP

The approval of the Sanggunian of the AIP should be accompanied by an Appropriations Ordinance adopting and allocating funds for the AIP. Funds allocated for the AIP constitutes part of the local budget as defined in the LGC – that programs and projects that will be funded should emanate from the multi-sectoral development plan translated into mid-term and annual investment program.

Box 5. The Case of Selected LGUs in Region XI

In Region XI, a more conscious effort to ensure the integration of the ELA with the Legislative Agenda was undertaken. LGUs implemented separate but simultaneous formulation of the SB Legislative Agenda and the ELA. The two activities were closely coordinated, with the ELA becoming the base for legislative actions. The ELA was easily adopted by the Sanggunian.



Now that the ELA has been approved for adoption by the Sanggunian, and an Appropriations Ordinance enacted for the approval of the AIP and the LGU Budget, the next stage involves operationalizing the Plan.

step 10

the twelve steps to ela

Moving the ELA to Action

Operationalizing or rolling out the ELA is done at two levels: (a) through the conduct of LGU/department/unit operational planning exercise to produce the annual Work and Financial Plan, based on approved budget; and (b) mobilization of additional resources that may be needed to implement the various programs and projects in the ELA.

Part 1. Preparation of the Annual Operations/ Work and Financial Plan

Operations planning, or work and financial planning, involves the identification of priority activities, programs and projects of the LGU and its various departments/units for the year. Planning parameters are determined on the basis of the approved budget for the year, and the expected contributions of the department/unit to the stated LGU goals and objectives. In practical terms, the process is simply a review of the budgeting process earlier conducted but this time with more defined parameters in terms of budget ceilings. The exercise should lead the team in ascertaining the fiscal requirements of the plan vis-à-vis available resources.



You may refer to Step 10, pages 66-68 of the Facilitator's Guide for detailed steps in Operations Planning.

Part 2. Mobilizing Resources for the ELA

Local governments are continually challenged to obtain the resources necessary to achieve their vision for their communities. Trends show that national government funding will never be enough to support the development requirements of the LGUs. Unless LGUs develop strategies to become self-reliant, they will increasingly be confronted with the problem of “fiscal gap.”⁷ There is therefore a need for LGUs to make full use



of their revenue generation and resource mobilization powers to be able to raise the resources needed for ELA implementation.

Fiscal Capacity Assessment

Prior to strategizing for revenue generation and resource mobilization, the LGU may need to do an initial diagnosis of its fiscal situation. A simple fiscal capacity assessment entails the following activities:

- An assessment of revenue generation efforts that examines the LGU's revenue sources, income trends and indicative financial performance ratios
- An assessment of the strengths and weaknesses of existing revenue generation and resource mobilization strategies of the LGU

The fiscal assessment should be able to provide an estimate of the potential level of resources that can be made available to support ELA implementation and the additional resources that need to be further mobilized. Based on the analysis of the fiscal performance of the LGU, you may now proceed to formulating revenue generation and resource mobilization strategies.



Your facilitator can help you in undertaking fiscal capacity assessment. Details of the process are provided in Step 10, pp. 70-72 of the Facilitator's Guide.

Identifying Resource Mobilization and Revenue Generation Strategies

In general, resource mobilization can be obtained through any or a combination of the following:

- Maximizing internally-generated revenues (e.g., taxes, user fees and charges, etc.) over which LGUs have full control
- More effective allocation of resources by pursuing programs/projects that directly contribute to strategic goals and objectives
- Improve operational efficiency in the delivery of social services and in the overall local government operations
- Attracting outside resources. The Local Government Code vested LGUs with new corporate powers that enable them to explore non-traditional revenue options such as credit financing, private sector partnership through the BOT or joint-venture arrangement or directly tapping Official Development Assistance (ODA).



A more systematic approach to formulating revenue generation and resource mobilization strategies is discussed in Annex D of the Facilitator's Guide. Your facilitator can guide you in this process.

With the wide range of resource mobilization strategies, it is proposed that the ELA Team link up with the Local Finance Committee and/or tap the following individuals or offices to work out a resource mobilization plan and specific proposals for identified priority projects:

- Municipal Planning and Development Office technical staff
- Project development assistance facilities such as the Project Development/Management Unit of DILG, or the Project Development Assistance Center (PDAC) based at the regional office of NEDA.
- Local/external consultants
- ELA facilitator
- MLGOUs



The ELA Team may also refer to the Resource Finder, an LGSP publication that provides information on resources available for LGUs. Specifically, it includes information on different sources of financial and technical assistance for LGUs as well as the organizational profiles and contact details of the institutions providing assistance to local governments.

step 11

the twelve steps to ela

Popularizing the ELA

“In presenting the EA, there is need for social preparation, completion of documents, provision of advance copies, identification of possible oppositions, identification of allies as requisites to final approval. All these were necessary ingredients of a front act to a mass presentation.”

Teresita V. Tajanlangit, *MLGOO, Tulunan, Cotabato*

An ELA that is widely communicated to and understood by all possible stakeholders not only helps enlist support for the plan but also promotes transparent and accountable governance. It is also a means to encourage meaningful participation of stakeholders in local development processes.

There are varied ways of bringing the ELA closer to the broader community:

- Barangay assemblies or pulong-pulong
- Local radio program
- Regular Ulat Sa Bayan
- Forum organized together with CSO and/or private sector
- Comics
- ELA posted in conspicuous places (e.g., mosques/church, barangay halls, cooperative offices)
- Flyers, posters and billboards
- ELA core messages integrated in information/promotional materials of the LGU
- Community theater
- ELA jingle

In presenting the final ELA to stakeholders, it is important to package it in a concise and visually appealing form. A set of ELA core messages using simple but catchy words may be crafted for greater impact and easy recall. The process should also be able to inspire and excite people and lead them to commit to ELA implementation.



In cascading the ELA to the community, the LCE may designate an IEC Coordinator, preferably through the Office of the Public Information aided by the MLGOO, to orchestrate the design and implementation of the IEC activities. His/her possible tasks may include the following:

- Conceptualize the ELA Communications Plan
- Organize an IEC working group, preferably LGU personnel who will be involved in the actual campaign. It is suggested that the MLGOO be part of the IEC team.
- Orient the IEC working group and monitor the progress of the IEC campaign
- Orient and update the LCE, the ELA Team and other key local officials on ELA IEC activities
- Oversee the production of the communications materials



The ELA facilitator may be able to assist/coach the IEC Team to get started on these tasks. You may also refer to Step 11, pp. 76-77 for detailed steps in popularizing the ELA.

step 12

the twelve steps to ela

Managing and Sustaining ELA Implementation

“...the ELA serves as a gauge for all in evaluating the performance of the Local Government Unit.”

Paterno D. Mainit, MPDC, Makilala, Cotabato

“...the EA gives concrete direction in governance of the LGU.. It serves as an indicator to measure the performance of the LGU and the LCE.”

Engr. Zoilo Gudín Jr., City Planning and Development Coordinator, Panabo City

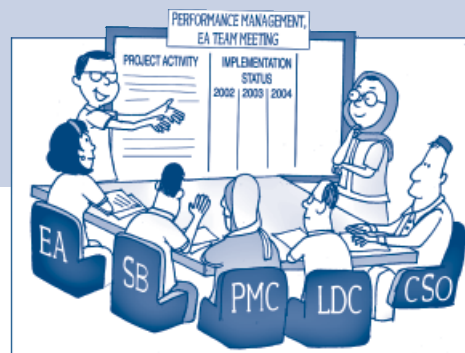
By now, the momentum for the ELA has been established. The immediate challenge is how to sustain this momentum throughout the ELA process. Key to this is the installation of a performance management system that will track the progress of ELA implementation and its impact in terms of addressing priority concerns of the broader community.

Performance management can also be seen as part of a continuous improvement process for the LGU. Instituting the practice of regular monitoring of program and project implementation enhances the effectiveness and efficiency of the local government.

Q ■ Why manage ELA performance?

There are several reasons why it is important to monitor ELA implementation. These are as follows:

1. To determine whether priority programs and projects outlined in the ELA are actually implemented;
2. To identify problems in ELA implementation early on and come up with appropriate adjustments or solutions;



3. To generate relevant information that would guide implementers in more effective implementation and updating of the ELA and enhance ELA acceptability to and support from various stakeholders;
4. To identify the extent to which ELA objectives are being achieved or whether the Plan addresses effectively the needs of the community.

Apart from these functions aimed at ensuring the effective and efficient delivery of programs and projects, the ELA also functions as an accountability and performance measurement mechanism for the LCE and key LGU officers. The ELA, as the LCE's agenda of action that is shared with the broader LGU community, can serve as the basis with which the LCE can compare his/her administration's accomplishments and whether these are yielding the desired results for the LGU.



■ What should be considered in the performance management system for the ELA?

With the presence of an existing Local Governance Performance Measurement System (LGPMS) which LGUs are encouraged to do, it would be strategic to integrate the ELA performance indicators within this system and utilize existing monitoring and reporting arrangements.

In instances where the LGPMS is not yet fully developed in an LGU, the following can provide some guide in designing an ELA performance management system:

- **Information requirements of the ELA.** LGUs have different development priorities, and these priorities dictate the information requirements of the ELA.
- **Information requirements of key stakeholders.** Who are the users of the ELA-PM system, and what kind of information do they need?
- **Available resources of the LGU.** How much resources is the LGU willing to commit for ELA monitoring and evaluation?
- **Keeping the ELA-PM design simple, and easy for other actors to do.** A complicated M&E system that places undue load to program implementors may not be received well and ultimately fail to generate accurate, relevant and timely information.



■ Who are involved in ELA Performance Management?

At present, the mandate for monitoring and evaluating local development plans and projects is lodged primarily with the LDC or specifically the monitoring and evaluation committee or the Project Monitoring Committee (PMC) of the council. It would be ideal to assign the responsibility for overall monitoring and evaluation of the ELA to the LDC, with the M/CPDO providing technical backstopping.

At the program level, department heads, should be held responsible for monitoring the programs of their respective units. After all, monitoring is a managerial responsibility.

In LGUs where mandated arrangements for M&E is rather weak, a special unit or group for ELA Performance Management can play a useful role. However, its roles, responsibilities and reporting arrangements have to be very clear and should be defined in close coordination with key LGU officers.

The Special ELA-Performance Management Team may include the following:

- Local Planning and Development Coordinator
- Select Members of the ELA Team
- LDC representatives, namely from CSO and the Sangguniang Bayan member who chairs the Committee on Appropriations

■ What are the functions of the ELA Performance Management Team?

The main function of the ELA Team is to provide updates and advisory services to the LCE in relation to ELA implementation. The Team should coordinate very closely with the various ELA implementing units. Its advisory functions bring it directly in touch with the LCE and his management Team.

■ How can other stakeholders be involved ?

Participation of external stakeholders in ELA Performance Management System should be encouraged. These can be effected by including a CSO/private sector representative in the ELA Performance Management Team; or if the LDC takes the lead responsibility for monitoring the ELA, the NGO representatives can take on the role. Another approach is to establish a regular feedback mechanism that can either be formal or informal. Several feedback mechanisms are currently available to LGUs. These include Suggestion Box, Report Card Survey, etc

Reporting Back on the ELA⁸

A critical part of the ELA performance management system is for the LCE to report back the ELA to the local constituents.

■ Why should you report back your ELA?

Reporting back the ELA is important for the following reasons:

- To promote accountable and transparent governance
- To make the community aware of the LGU's accomplishments and progress in meeting the goals and targets of the ELA. Doing so enlists/sustains community support for programs and projects, encourages greater/more meaningful participation in local development processes, and foster partnership in realizing the locality's vision.



■ When should you report back your ELA?

As a monitoring mechanism, reporting back of the ELA should be done on a regular basis. At the minimum, a yearly reporting of the ELA is encouraged. Regular reporting of the ELA facilitates smooth plan implementation by way of the following:

- I**nform your community about your accomplishments
- E**ducate your constituency on the development and progress in the community during your term of office
- C**ommunicate your political plans and gain the needed support as early as now

- G**enerate feedback from your constituency
- A**ccess and mobilize additional support
- I**mprove LGU performance by learning from the feedback
- N**arrow down next steps for increased LGU efficiency and responsiveness



■ What should you report back on?

The LCE should highlight the following in his report:


- ELA goals achieved so far
- Projects/Programs Accomplished
- Budget Spent
- Resources Generated
- Capacities of stakeholders in the LGU and in the community that have been developed
- Established Linkages and Networks within and outside of the community
- Benefits to residents (or constituents/community members)

■ What are the ways to Report Back your ELA?

The same instruments mentioned in Popularizing your ELA (Step 11) of this report may be adopted.

■ What are some suggested strategies to Report Back your ELA?

The LCE may tap the ELA-IEC Team and the ELA-PM Team to assist you in organizing the Report Back your ELA activity. It would be good to also partner with CSOs and the private sector to co-organize venues for Report Back and discussion.

 ***Your facilitator may assist you in designing an ELA performance management system and integrating it with existing LGU performance monitoring systems.***



part three

CONCLUSION

Effective local governance is a continuing challenge to local government units. Good governance does not happen overnight. It is often a result of thorough and systematic planning and efficient and effective execution of plans involving various stakeholders in the locality.

Formulating a participatory Executive-Legislative Agenda is an attempt at promoting good governance at the local level. The ELA process introduced in this Manual seeks to enhance the effectiveness of LGUs by pursuing development programs and projects that are realistic, doable and best address the needs and aspirations of the constituents. Through a participatory process, the ELA also promotes greater transparency and accountability of LCEs and other local officials.

From the successful experiences of other LGUS, the following should be considered in formulating and implementing an effective Executive-Legislative Agenda.

Key Success Factors to an Effective ELA

1. Full support and commitment of the Local Chief Executive and the ELA Team.
2. A competent and dedicated Team to formulate and implement the ELA
3. Adoption of appropriate planning and participatory tools and techniques in the ELA formulation process
4. Building on existing LGU plans and convergence of existing sectoral/ thematic plans into a single planning document.
5. Integrating the ELA process into the regular/mandated local structures and systems for planning and investment programming and not as a stand alone planning activity.
6. Involving the mandated planning bodies, especially the LDC and the SBs, in the various stages of the ELA process.
7. Meaningful consultation and validation with various stakeholders
8. Popularizing the ELA, or making the ELA widely known, to the larger community
9. Tapping the services of external facilitators or coaches for appropriate technical assistance
10. Instituting two-way feedback mechanisms on ELA implementation on a sustained basis.

Adopting some or all of these factors in preparing the ELA will surely enhance the effectiveness of LGU interventions and ultimately help LGUs make a difference in the lives of their stakeholders.

ENDNOTES

- ¹ Dihan, R., Handbook on Effective Local Legislation, 1998.
- ² Development Academy of the Philippines, Presentation Materials for the Local Legislative Course for selected LGUs in Region VI sponsored by LGSP Region VI , 2003.
- ³ Adapted from A Model of Local Planning and Development in the Philippines: A Concise Planning Guidebook, Serote, Ernesto M., 2003
- ⁴ Ibid.
- ⁵ The sample EO was patterned after a similar EO of the Municipality of Magsaysay, Davao del Norte.
- ⁶ Derived from the LGSP ToolKit on Mainstreaming Cross-Cutting Themes
- ⁷ Fiscal gap is defined as the difference between the perceived development needs of the LGU and its available financial resources. Fiscal gap analysis involves estimating the total cost of programs and projects in the ELA and the projected revenue and other financial resources of the LGU in the next three years.
- ⁸ This section was lifted from the LGSP Flyer on Reporting Back the EA.

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