



# **BUILDING BRIDGES**

between citizens and local governments  
to work more effectively together

## **THROUGH PARTICIPATORY PLANNING**

### **Part II - TOOLKIT**

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- Partners Slovakia
- Partners Romania
- Partners for Democratic Change International
- University of Texas at Arlington
- United Nations Centre for Human Settlements UNCHS (Habitat)
- Training Institutions from CEE/SEE Countries.

Partners Romania Foundation for Local Development (FPDL) managed the manual development with the financial support of:

- LGI -Local Government Initiative Programme of the Open Society Institute.
- UNCHS (Habitat), United Nations Centre for Human Settlements, under the "Local Leadership and Management Training Programme" financed by the Government of Netherlands.
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## FOREWORD

This series of training manuals coincides with the launch of the United Nations Centre for Human Settlements (UNCHS) Global Campaign on Urban Governance. The theme of “inclusiveness,” reflecting the Campaign’s vision and strategy, is deeply embedded in the themes and learning strategies covered by these manuals. While they have been planned and written to serve the developmental needs of non-governmental and community-based organisations, their leadership and staff, the context for learning implementation is consistently conveyed within the spirit and reality of widespread collaboration.

There is growing evidence and increased recognition of several themes that define and frame the urban governance agenda for the new century and millennium. The first, inclusiveness, implies that local governments and communities that want to be on the leading edge of social and economic change must recognise the importance of including everyone, regardless of wealth, gender, age, race or religion, in the process of forging decisions that affect their collective quality of life.

The second recognition involves shared leadership that cuts across the spectrum of institutional and community fabric. Ideally, these shared leadership forums will be based on mutual trust, open dialogue among all stakeholders, and a wide range of strategies for turning good ideas and common visions into concrete actions.

As described in the Prologue, this series of learning implementation tools has been a collaborative effort by Partners Romania Foundation for Local Development, UNCHS (Habitat) and the Open Society Institute. Major funding for the project was provided by the Open Society Institute’s Local Government Initiative Programme with other financial support from UNCHS (Habitat) and the Government of the Netherlands. Partners Romania managed the project under its Regional Programme for Capacity Building in Governance and Local Leadership for Central and Eastern Europe. These responsibilities included field testing the Participatory Planning and Managing Conflict and Differences manuals in a training of trainers programme involving 18 participants from 13 Central and Eastern European countries and members of the Commonwealth of Independent States.

The initiatives for launching this series of training manuals came from two different regions of the world. The Steering Committee for the Regional Capacity Building Programme for Central and Eastern Europe identified conflict management and participatory planning as two of their region’s training needs during their deliberations in 1997. In addition, a diverse group of NGO, CBO and local government leaders from across Sub-Saharan Africa met in 1998 and identified these topics, as well as others covered in this series, as important training needs.

Finally, I want to thank Fred Fisher the principal author of the series and the superb team of writing collaborators he pulled together to craft these materials. These include: Ana Vasilache, director of Partners Romania, who managed the process from Romania; Kinga Goncz and Dusan Ondrusek, directors of Partners Hungary and Slovakia respectively; David Tees, who has contributed to many UNCHS publications over the years; the trainers who participated in the field tests of the materials; and, the team of UNCHS staff professionals, headed by Tomasz Sudra, who brought their considerable experience and expertise to fine tune the final products.

**Anna Kajumulo Tibaijuka**

**Executive Director**

**United Nations Centre for Human Settlements (Habitat)**

## PERSPECTIVE

**Part I** covered the concepts and strategies of participatory planning, and a bit of history. **Part II** is presented in two parts. **Component 1** includes a few training design ideas and exercises in case you want to organise and conduct a more traditional learning event. For example, you might want to conduct a short workshop to introduce the concepts and ideas of participatory planning to local government and community leaders. Or brief trainers and facilitators on how to use the materials to design and facilitate a participatory planning process working with a planning team assembled by local leaders. These facilitated work sessions could focus on either the development of a long-range strategic plan for the community or an action plan to address a more immediate problem within the community. Many of the tools in Component 2 will also be useful to use in these types of training programs.

It was evident from the field test of these materials in Romania that a training of trainers program focusing on skill development in the various phases of participatory planning and using a classroom case study approach, is not very effective. The planning tools are most effective when applied to a real problem or opportunity working with those who have the direct responsibility to develop a plan based on participatory methods.

Given the lessons learned from the field test of the draft materials, Component 2 includes exercises and worksheets to be used during a participatory planning process based on a real need and real people (not that trainers aren't real, but hopefully you get the picture). These tools are presented in the sequence that they are discussed in **Part 1** of this manual. However, we will alert you one more time that facilitating a participatory planning process will be a *voyage of discovery* requiring you on occasions to take a side road or double back and retrace territory already covered.

Participatory planning tools are also effective management training resources. Planning is a major management responsibility involving decision making and problem solving. So, be inventive and figure out how you can use these tools to expand your services as a trainer or to use them in a myriad of ways that doesn't even mention the words *participatory* or *planning* in the title of the workshop or the consulting service you are providing.

Just remember, this is a voyage of discovery!

### Front-line Learning Opportunities

Here are just a few examples of how these planning tools might be used to increase collaboration and participation within organisations and communities and among various groups or individuals within a community such as local governments, NGOs, CBOs, their leaders, staff, and citizen constituents.

- Training local government and NGO/CBO staff members to be more effective in working across organisational boundaries in shared leadership situations.
- Helping staff members in larger organisations develop knowledge and skills in providing staff consulting services of a facilitative nature to operating units within the organisation.
- Facilitating visioning and strategic planning endeavours at the request of local governments and other organisations such as operating NGOs and CBOs.
- Providing assistance to tactical planning groups that have been assigned program or crisis planning tasks by local government councils or large NGOs.
- Managing large community based dialogues about critical issues that are tearing apart the social and economic fabric of the society.
- Facilitating inter-organisational or intergovernmental work sessions on issues, opportunities, problems, or concerns that cut across institutional and jurisdictional boundaries..

# COMPONENT ONE

## TRAINING DESIGN TOOLS

The following are tools that might come in handy in a number of situations where you are providing training *about the participatory training process*, not actually facilitating the PP process. They are not presented in any order of importance or sequence.

A word about ice breakers, openers and energisers before we move on. Sometimes these exercises seem frivolous and can be if used too often or taken to some of the extremes one finds in books that are solely dedicated to one of these exercise types. Nevertheless, they can and do serve the needs of those who are joining together to learn and implement what they are learning. Since trainers often get these “environmental” tools confused with each other, it’s probably worth a few moments of our time to look at them more critically as tools to help groups be more effective and efficient when engaged in learning implementation.

Icebreakers and openers have a lot in common but also some differences. Icebreakers are relatively subject free activities whereas openers, as usually defined, are related to the content being addressed by the workshop or learning event. Icebreakers are typically used when group members do not know each other. They are exercises designed to help members get acquainted and become more comfortable with each other as learning partners. Openers, on the other hand, are tools to help participant’s ease into the subject matter. They tend to set the stage for interactive learning; help the group, including the facilitator, avoid abrupt starts, and generally help the participants get comfortable with the content material they will be addressing. They are work-oriented “preludes.”

The third type of climate building and group maintenance type exercise is the energiser. The principal author of this series of manuals has come to appreciate this genre of activity in recent years when used in moderation. Typically, it’s a fun type event to get the group’s collective adrenaline flowing again when they are experiencing an energy slump. We haven’t spent much time on these types of tools in the manual, but from our experience in working with many groups, we have found that most groups have participants who are skilled at leading these types of learning exercises.

Don’t hesitate to use the resources of the learning community whenever possible to enhance goal attainment. Nevertheless, don’t give up total responsibility for the programme even when engaged in conducting an energiser. It’s not beyond the realm of possibility that the participant who volunteers to conduct your energiser is an avowed nudist and sees this as an opportunity to recruit members for the local naturalist society.

### TOOL 1: WARM-UP/ICE BREAKER

#### ***Mapping the participatory planning territory***

##### ***Learning objective***

This exercise is intended to provide participants with an opportunity to get acquainted with each other and to begin exploring the concepts and ideas associated with participatory planning.

##### ***Time required***

About 60 minutes. If it takes longer, it probably means the participants have come up with some good maps of the territory to be covered in the workshop. Rearrange your time and anxieties accordingly.

##### ***Process***

1. Provide each participant with 3-4 large index cards made from heavy stock paper about 5 by 8 inches in size. Ask them to write on each card one word or short statement that expresses one idea, feeling, or descriptive statement of what they believe participatory planning is. Remind them that they should put only one thought on each card.
2. Ask each person to stand, introduce him/herself if he hasn’t already done so and read what he or she has written on each card.
3. After the messages on the cards have been read, ask participants to attach them to a wall reserved for displaying the information.

4. Break the group into three or four smaller groups of no more than six participants per group and ask them to create a conceptual map of the ideas that have been presented. You might want to remind them, since somebody is likely to ask, that a conceptual map is simply a way to cluster and organise ideas, information, data, and other snippets of insights so they convey a framework for thinking about a particular issue like participatory planning (PP).
5. Convene the groups and have them display their conceptual maps for discussion and critique. If it appears that a generalised “map” of PP is emerging from the various group efforts, try to visualise it in writing, a drawing is always helpful, for reference during the rest of the workshop.

## **TOOL 2 - MAKING A PRESENTATION**

“Thoughts without content are empty.  
Intuition without concepts are blind.”  
**IMMANUEL KANT**

From time to time in any learning situation, there comes a time when it is both appropriate and essential to make a presentation of new concepts, ideas, data, information, or materials. “But, what about all this talk earlier regarding experiential learning? Isn’t a lecture inconsistent with this principle?” Yes and no. We aren’t talking about a traditional lecture that tends to be a one-way presentation by the expert. Rather, we are suggesting a two-way dialogue or guided discussion, if you like, about a pertinent piece of information or concept that is germane to the next stage of the group’s learning implementation. In the exercises and learning materials presented later in this manual, we will be suggesting the use of a presentation. In most cases we will even suggest some of the key points that need to be covered. To help you structure your presentation or guided discussion before you actually do it, we suggest you consider using the following outline.

***Title of your presentation***

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***Key points you want to make***

Three or four are probably enough if you want participants to remember them

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***Real life examples you want to use to make your points***

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***Questions to your audience***

These should be designed to evoke comments based on their experience about the points you are making

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*Summary of your key points telling them what you told them!*

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*Describe how you plan to use visual aids to reinforce your presentation*

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## **TOOL 3 - PREPARING FOR PARTICIPATORY PLANNING**

"Progress and growth are impossible if you always do things the way you've always done things".  
**WAYNE DYER**

This simulation is all about planning to plan, not the participatory planning processes that develop strategic and action plans. This is a bit confusing, thus the travel advisory.

The following simulation is designed to illustrate two aspects of the participatory planning process:

- (1) The process of selecting a facilitator to work with a few citizens of the mythical Lake Village, and
- (2) Things the Mayor and her staff need to do before holding the first full-blown planning session with a large number of citizens.

In other words, it is a simulated learning event to help participants understand what is involved in planning a strategic or action planning event.

This simulation can be conducted in many ways, based on the learning needs of your participants. For example, it could be used to train facilitators in contracting and facilitating skills or to help a smaller group of community members, who want to plan a larger strategic planning process for their community, learn more about how to do it.

Don't hesitate to make changes in the simulation materials to meet your client's specific training needs. To reiterate, this simulation exercise is designed to help participants learn how to plan a planning event, not to conduct the planning event.

### ***The planning simulation design***

#### ***Learning Objective***

This simulation is intended to provide participants with an opportunity to experience the initial stages of the participatory planning process.

#### ***Concept***

The simulation is divided into two interconnected segments. The first is designed to help participants develop knowledge and skills in the contracting phase of developing productive work relationships among various individuals

and groups. In this simulation, it concerns the working relationship between an external consultant or facilitator and the Mayor, the client. [These concepts and skills are discussed in Chapters 4 and 5 of Part I. It will be helpful to review these materials as part of your preparation planning.]

The second part of the simulation is designed to provide participants with increased knowledge and skills in the tasks and responsibilities of planning a participatory planning process for their community. It involves a smaller group of workshop participants who are asked to plan a larger community-wide participatory planning event to address their village's long term physical, economic, social, and environmental development. It is a bit like the configuration of a set of Russian dolls: a planning process within a planning process. [The tasks to be completed in this part of the simulation can be better understood by reading Chapters 6 and 7 of Part I.]

These two simulations are designed to be conducted in sequence within the same workshop, starting with contracting sessions between the mayor and two potential facilitators, and facilitation of a planning workshop based on the results of the contracting simulation. When held in sequence, the workshop could take one day.

The two simulations can also be conducted separately. There are some obvious variations on how each simulation can be designed and conducted, based on what you want to accomplish using these training materials. These will be discussed later.

If you are not familiar with the use of the term *simulation*, think of it as a combined case study and role-play learning event designed to demonstrate various concepts, principles and strategies associated with the overall goal and specific objectives you hope to achieve.

### ***Time Required***

As just mentioned, the simulation can take about 2.5 hours for the contracting part of the simulation and about three hours for the simulated planning session. The following timetable assumes a training design that links the two parts of the simulation into one learning event. It also assumes two back to back interviews between the Mayor and the two prospective facilitators. If you decide to provide all participants in the workshop with an opportunity to practice contracting skills, then the time frames should be altered to reflect this approach. In this case, you might want to consider triads with each three-person group including the mayor, a facilitator who is interviewing for the job, and an observer.

### ***Estimated times for part one of the simulation***

- 30 minutes for a guided discussion of the main concepts and skills associated with the *Building Productive Partnerships* phase of the PP process.
- P30 minutes to introducing the overall simulation, select participants as described in the simulation materials and brief them regarding their roles.
- 40 minutes for the contract meeting between the mayor and prospective facilitators assuming two interviews of 20 minutes each.

### ***Estimated time for part two***

- 30 minutes to discuss in plenary session the process and results of the contracting session.
- Two hours for the planning session.
- 45 minutes to debrief the experience and summarise important lessons learned.
- 15 minutes for evaluating the experience.

### ***Materials Required***

In addition to the usual easel stands, flip chart paper, and markers, prepare separate written descriptions for each role to be played by participants. If you have more than 20 participants, you may want to arrange for an additional room so that two simultaneous planning sessions can be held.

### ***Process***

The simulation, as designed, includes two separate but inter-related events. The first is a contracting session between the mayor and prospective facilitators and the second, a facilitated planning session with a group of concerned citizens.

It is assumed the second stage of the simulation will be facilitated by one of the two individuals interviewed in the first stage of the simulation. **Note:** If you decide to run two planning meetings, you can either have the second candidate

who was interviewed facilitate the meeting or ask the mayor to run the second meeting. The dynamics of the second meeting could be different if the mayor is asked to play the facilitating role.

1. Hold a guided discussion about the contracting process as described in Chapter 5 of the manual. Emphasise the concepts and skills associated with Step 2 of the process: *The Initial Meeting Between Facilitator and Client*.
2. Introduce the overall simulation, describing the situation and the objectives to be achieved.

In this exercise as with others, don't hesitate to make modifications to the situation and the roles to make them more appropriate to the participant's life experiences and the context within which such meetings might take place.

3. As the simulation is designed, there are eleven roles to be performed: two for the initial contracting exercise and nine additional persons for the planning session simulation. You might want to hold two simultaneous planning sessions based on the number of participants in the workshop. The number in each small group might differ based on the total number of participants. This could be accomplished by combining the roles that include couples. Use your discretion in setting up the groups.
4. Ask for three volunteers: one to play the mayor and the two others to be interviewed as candidates for the role of facilitator. This assumes one of the two interviewed would be selected by the mayor to facilitate the second stage of the simulation. The mayor would be asked after the interviews to decide on the person of her choice and to state why she has made this choice.
5. Brief the mayor and facilitators on their roles and give them about ten minutes to prepare. During this time, select the persons who will be playing the other roles in the participatory planning part of the simulation. If there are other participants remaining, ask them to work as observers who will assess the process and outcomes of the planning meetings.
6. Have the mayor conduct two interviews of about 20 minutes each with the prospective facilitators, one at a time. During the first interview, the second person to be interviewed would be asked to leave the room. Arrange the furniture so the rest of the participants can observe what is happening. Hold any comments from the other participants until the two interviews have been completed.
7. Hold a plenary discussion of the results of the interviews. Start by asking the mayor to indicate which of the two candidates he/she would hire to facilitate the planning session and why. Follow this by comments from the two persons who were interviewed and the observers, if any.
8. At this point, you have several options. The most obvious is to conduct the planning stage of the simulation. Another option is to provide skill development in the contracting process for all participants. If this option is used, conduct the sessions based on the steps outlined above.

The next steps assume the simulation will continue and involve facilitated small groups responsible for coming up with a plan for holding a strategic planning workshop involving key village stakeholders and possibly others.

9. Conduct a guided discussion about the follow-up stages of the participatory planning process. Point out the differences and similarities between the strategic and action planning, emphasising that the steps for implementing each are very similar. Although the simulation calls for planning a strategic planning event, provide the participants with enough information about both of these planning processes.
10. Following the guided discussion, brief the participants on the planning meeting simulation. Working with a facilitator, each planning team will develop a set of recommendations for the mayor's consideration regarding the development of a strategic plan for the village.

The planning teams should consider the following details in drafting their recommendations for the mayor:

- focus of the strategic planning process
- essential stakeholders that the mayor should involve in the planning process
- suggested timeframe, venue and other management details
- any data collection they believe should precede the community planning session

- how the session should be staffed and conducted, and
- any other details they think important to convey to the mayor.

11. Give the groups two hours to complete their recommendations.
12. Have each group report out their recommendations and ask the observers to report their observations about the process used in the group discussions. Open the discussion to all participants. Complete the simulation with an evaluation of the event and its effectiveness in achieving its learning objectives.

### ***Setting for the simulation***

The following description of the simulation situation and the invitation letter sent by the mayor to a small number of local citizens should be copied and given to all participants after the initial briefing about the simulation. The role descriptions that follow the simulation description are to be given only to those persons who will be playing each of the roles.

#### ***Lake village: Getting a wake-up call from an impatient Mayor***

Lake Village is a picturesque farming community located in a valley surrounded by high mountains. The population of Lake Village is about 1,000, with a high percentage of elderly persons. Most of the families have relied upon agriculture for their living with dairy farming as the largest economic generator. The village over the years has become well known for its production of a special type of soft cheese. This cheese is produced and marketed through a local agricultural cooperative. However, other villages closer to major markets have been producing a similar product and sales from the Lake Village Cooperative have been diminishing over the past two years resulting in lost revenue and considerable discontent among some of the key farming families.

While the community is located around a small but very beautiful lake, little has been done over the years to develop this natural asset to help the community and its citizens increase their economic livelihood and to enhance the overall quality of life in this sylvan setting. Over the years, the retired farmers and other older citizens have centered their lives on a well-planned and developed elderly day care center. Many of the younger people of the community have left because of the lack of job opportunities although it is well known that many would like to have stayed in the area.

Although the lake is an obvious asset for potential development, there is a problem in achieving any consensus about what might be done to exploit its potential. Ownership of the lake front property and use of the property is a more obvious dilemma in developing the lake's potential. Local government owns only a small portion of the frontage. Individuals and the agricultural cooperative own the remaining lake frontage. The cooperative facilities are somewhat rundown and unattractive. Since their main vehicle maintenance building is located on this site, there is a growing collection of inoperative, unsightly vehicles parked helter-skelter on the property.

Furthermore, the state of the cooperative property reflects the condition of the village generally. In spite of the beautiful surroundings, the village is not very attractive to outsiders. There are few flowers and trees, a lack of public open spaces that non-property owners would feel comfortable in using, and a general sense that an attitude of "leave us alone" exists among the villagers. There are no tourist facilities or periodic cultural events to suggest that this general impression of the village is inaccurate.

And yet the new mayor, a former schoolteacher who was well liked by students and parents alike, is committed to bringing about changes in the community. She wants to put together a community development plan that would help raise the standard of living for all citizens. But she knows she needs the involvement of all the citizens if it is to be successful.

Not long ago the mayor visited with the mayor of a similar village on the other side of the mountain range and heard about the success he experienced in developing a strategic plan for their village. According to him, the success of reaching a consensus about how the village should be developed was due, in large part, to something he called "a participatory planning process." And, he added, "We hired a facilitator from outside the village to help organize and provide leadership for the process." That statement led to a long discussion about, as the mayor of Lake Village related later, "What in the world is a facilitator?" It must have been a good discussion. She decided to contact two persons who call themselves trainers and group facilitators as soon as she returned home. They are both scheduled to come to Lake Village for interviews tomorrow.

*Several days later*

Based on the mayor's meetings with two candidates she had interviewed for the facilitator's role in her proposed strategic planning effort, the mayor sent the following letter to a select group of citizens. These are individuals she felt could either help her develop and implement such a plan for the village or be opposed to it. The mayor recognised the importance of "winning over" those who might fight any changes in the community. She wanted them involved in the first planning meeting as well. Those invited include:

- **Ms P:** Director of the elderly day care center
- **Mr. S:** a newcomer who inherited her grand mother's house and spends most of the summers and holidays in the village. She and her husband, who live and work in the capital city, have told the mayor that they plan to retire in the village in two or three more years).
- **Mr. and Mrs. C:** young couple who plans to develop a beach facility including small rental cabins on their lakefront property.
- **Mr. B:** President of the agricultural cooperative
- **Ms. A:** his deputy
- **Mr. and Mrs. R:** a highly respected couple, both retired schoolteachers, who have lived in the village their entire lives.

*Invitation letter from the Mayor*

Lake Village,  
2000 May 12

Dear .....

When I campaigned for election as your mayor, I stressed the importance of developing new economic opportunities for our younger citizens. As you know, most of them have to go to the big cities after graduating to find employment. But getting new ideas accepted and implemented is never easy, particularly in this community.

While the elected village council and mayor have the authority to make decisions about future developments, we believe these long-term decisions are too important and should involve the input of many more of our citizens. We've had some discussions in our council meetings about developing a long-range strategic plan for our village. But before we make the final decision, we would like to have a small group of concerned citizens help us in planning any long-term planning process. In other words, we want your help in deciding what we should do to lay the groundwork for preparing a long-term development plan for the village.

The council has asked me to take the lead in organising a possible strategic planning process for the village, and I would like you to participate as a member of the planning team. I am aware of your concerns about the future of our village and welcome your contributions.

The objectives of this first planning meeting are: to decide on the focus of any long-range strategic planning process and to make some decisions about how such a plan might be developed involving all major interests within our community.

The first meeting of the planning team will be held in the Village Hall community room on 25 May 2000, beginning at 15:00. I've also made arrangements for the team to have dinner with members of the village council at 19:30 at the Elderly Care Center. I hope you will be able to join us for both events.

I will be interviewing two individuals who have extensive experience in facilitating group planning processes such as the one we are planning. After the interviews, I will be contracting one of these individuals to work with the planning team. Both individuals have been highly recommended by the Association of Towns and Villages.

I am looking forward to working with you in this project.

Yours sincerely  
Ms. T., Mayor of Lake Village.

## **Role descriptions**

The persons described in the following role descriptions should be given names that are common to your locality. There's something a bit odd about being called Ms. X, or Mr. Y. As noted earlier, these descriptions should only be given to those individuals who will be playing each of the roles. Don't hesitate to make changes in the descriptions to make them more "believable" for your participants.

### ***Role of the Mayor, Ms. T.***

You are the mayor of the village. You are interested in stimulating economic development in your village, but you know there will be a lot of resistance from some influential citizens. You have visited other villages in the region that have been successful in attracting new investments. One in particular, the village on the other side of the mountain from Lake Village, has established a flourishing tourist industry on a similar lake. One of the farmers in the village has even established a riding center to help him pay for his life-long interest in horses.

You would like to see a similar development, but you are aware that the village is very poor and doesn't have resources for constructing a holiday resort. You also know your neighbours and how they can resist any new idea.

You are very proud of the elderly day care center of the village; it was one of your very few initiatives that was not opposed by the community. Even the great-grandmother of the S family loved this center.

As mayor, you have persuaded the council to involve the village in a participatory planning process on future developments. A good friend of yours, the mayor of another village, has recommended the use of an outside facilitator.

You believe the people you have invited to the planning session can have a positive influence on the future development of the village. You shared your idea with them informally, and all had agreed to participate in the initial planning meeting.

But first, you will be interviewing the two facilitators and selecting one of them to help facilitate the initial meeting of your new planning team.

### ***Role of Ms. P., director of the elderly day care center***

You are the director of the elderly day care center.

You know these older people love their village, but feel their lives aren't as fulfilling since most of the young people moved away from the village.

There are some invaluable heritages here as well. Your members know many fairy tales that nobody else knows around the country. You were about to collect them, but have not had enough time up to now.

Many of the older citizens in the village still have the old kitchen tools for baking the special pastry of the region. Its preparation is very labour intensive, therefore it has been given up in the past years.

You would be glad to involve some of your clients in an activity that is more useful than coming to the center to watch television.

You received a letter from the mayor last week inviting you to participate in a team for future planning. You are happy about the invitation because you see it as an opportunity to get the older people involved in something a little more constructive. If they can make a contribution to the village, maybe the younger people will begin to appreciate them more.

### ***Role of Mr. S., the newcomer***

You have lived and worked in the capital city for many years but recently started to fix up the house your wife inherited from her great-grandmother. It's located right on the lake in Lake Village. You and your wife spend your summers in the village and are thinking about retiring there soon. While the house is in bad shape, it represents an old style of construction typical of the region. You would like to restore it and preserve some of its historical features.

In the past, you and your wife have thought about buying a small pension and restaurant when you retire in another smaller city in the region. That was before you decided to move to Lake Village. While the old house has a lot of potential for developing into a small bed-and-breakfast facility, the condition of the rest of the village might make it a bad investment.

The village residents seem not to care about their environment, and they are really jealous of each other. You're concerned that others might shun you in the village if you decide to open a small pension. This is not a serious problem

for you since you have many friends from the city, and they all love to come here. Nevertheless, you would hope that you could get along with your neighbours if you decide to move.

Last week you received a letter from the mayor inviting you to participate in a planning team for preparing a future plan for the village. You decided to attend the meeting, but you are not very optimistic about anything constructive happening. You think it's really difficult for any of the local people to change their minds.

You know the mayor has tremendous energy and goodwill. She has tried to make some changes in the village, but up to now, nothing could be achieved because of the passivity and resistance of the local people. They do not like any changes.

You see the meeting as an opportunity to vent your anger about the condition of the old garage on the farm cooperative property next to your house, not to mention the old vehicles and farm equipment they have parked all over the lot.

***Role of Mr. and Mrs. C, the couple wanting to develop a beach facility on their property***

You are one of the very few younger families who have not left the village. You love your animals and the freedom associated with your lifestyle. But the only way you can afford to stay in Lake Village is if you can do something with your property to make a decent income. You think you can turn your beachfront into a recreational area for people from other parts of the country.

When you tried to do something like this last year, everybody except the mayor was against it. A number of your neighbours came to a local council meeting and raised such a fuss that the mayor had to back down from supporting your ideas for development.

You have two children, ten and twelve years old. They have their friends here; both of them ride horses and take good care of their animals. But you worry about their future. Unless some things change in the village, you think they will have no other choice but to leave the village or become peasant farmers.

Although you like living here, you are considering a move to a city in the next district. You would like to invest in a small business, but see no opportunities in Lake Village because of the attitude of the people.

When you received the mayor's invitation to the planning session, you were surprised and pleased. Although you think the mayor is sincere, you doubt if she will be successful. Nevertheless, you are willing to participate and see what happens.

***Role of Mr. B., president of the agricultural cooperative***

You are managing the agricultural cooperative in the village. You have been living here for more than twenty years ever since the former mayor invited you to come here and help him to develop the agricultural potential of the area. You think you have been quite successful in achieving this goal.

Your cooperative has been able to acquire very modern machinery over the past few years, but now you worry about having enough young people to operate them.

You don't particularly like the new mayor. You think she is a dreamer and out of step with the people of the community. There's been some rumour going around that she wants to develop tourist facilities in the village. You think it is just crazy. This region is excellent for agriculture. People are traditionally peasants here and have always lived on agriculture.

The cheese produced here is the best in the country. The local people are proud of this product but few people outside the area know anything about it. Some of the members of the cooperative have been agitating for a more aggressive marketing plan, but you disagree with them.

As far as you know, nobody supports the mayor's initiative to change the traditions. You hear this opinion everywhere.

You accepted the invitation of the mayor to be a member of the planning team despite your opinions about her and what she is trying to do to the village. You asked the mayor to invite your colleague, Ms. A., to the meeting as well. She was your student in the university and followed you here. She has generally supported all of your initiatives. You think she will back you up in efforts to discourage the mayor in her crazy schemes.

***Role of Ms. A., deputy to the head of the agricultural cooperative, Mr. B.***

You were a student of Mr. B, and followed him here because he was clearly the best agricultural economist at the university. Nevertheless, you were surprised when he resigned from the university to direct the cooperative.

You wanted to learn as much as possible from him, but your real ambition is to develop a private gardening firm. You have a boyfriend who lives in the city and you are planning to settle down somewhere soon to develop your own business in landscape and garden design. Your boyfriend is a landscape architect and has visited the village several times. While he likes the surrounding countryside, he does not like this village. The people are too set in their ways.

You've never mentioned to Mr. B about your plans to leave and to start a business elsewhere with your boyfriend. He has a terrible temper, and you know he will be furious about losing you as a valued colleague.

Now you have been invited to this meeting and asked to participate in the planning team. You have made up your mind not to speak up at the meeting. Since you are not planning to stay here, why should you get involved?

***Role of Mr. and Mrs. R., retired teachers who are living in the village***

You both have been teaching in this village for more than twenty years and love the village.

Although your son moved to the city, you decided to stay here because people really trust you and ask for your help many times, and you feel that you can make a difference here.

Your son is a construction entrepreneur in the city and decided to build a weekend house here in the village to have more space when he comes home.

You were glad to hear this because you would like to see your grandchildren more often. Your dream was to live together with them, but there is nothing to do here so you feel it isn't fair to your son and his family to even talk about the possibility.

You were glad to be invited to this meeting and to participate in the planning team. You like the mayor. She was also your student and always a dreamer.

***Role of the facilitators***

You have been invited, in addition to one of your competitors, by Ms. T., the mayor of Lake Village, to be interviewed about the possibility of facilitating a strategic planning process for the village. After she has interviewed and selected one of you to facilitate the planning process she wants to call a planning meeting to plan the larger strategic planning process. This initial planning session will involve a few citizens the mayor believes are key to getting support for her ideas about developing a strategic plan that will help spark some economic development in the village.

The mayor mentioned some ideas of hers about developing the village into a holiday resort and taking advantage of the lake that is situated in the village. She realises she will need the support of some people who have not supported her in the past. She thinks it will help to get them involved early in the process.

You agreed to be interviewed, and you hope to be able to establish a clear contract with her about your role, her expectations, and other key concerns. Following the interview, if you are successful in getting the job, you will be expected to facilitate the planning meeting scheduled for 25 May in the village community hall.

You know from your common friends that Ms. T. is a very nice person but a dreamer. You will need to determine if she can get support from the people to develop and carry out a strategic plan that focuses on economic development of the village. It is your judgement that she will not be able to do anything without the support of the community.

***Observer form: Contracting meeting***

1. What does the mayor want to accomplish by the end of the planning team meeting?

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2. What are the defined roles and responsibilities of the mayor and the facilitator as they relate to the planning team meeting?

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***The mayor's roles and responsibilities:***

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***The facilitator's roles and responsibilities:***

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3. Did the mayor and facilitator reach agreement on the logistics associated with the meeting: dates, venue, workshop materials needed, etc.?

Yes: \_\_\_\_\_ No: \_\_\_\_\_

4. Did the meeting produce a clear understanding of the needs and wants of both parties as related to carrying out the tasks required?

Yes: \_\_\_\_\_ No: \_\_\_\_\_

5. Was the facilitator supportive towards the client?

Yes: \_\_\_\_\_ No: \_\_\_\_\_

6. What could have been done differently on the part of either party to have made this a more productive first meeting?

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***Observation form: Planning team meeting***

Please rate your responses to the following questions, using a scale of 1 to 5. One (1) represents the most negative response and five (5) the most positive in relation to the question asked.

1. How effective was the group in reaching agreement on the goals and objectives of the meeting?

**Not at all effective      1      2      3      4      5      very effective**

2. How clearly understood were the roles and responsibilities of each party?

**Not at all effective      1      2      3      4      5      very effective**

3. How clear were the ground rules for the meeting?

**Not at all effective      1      2      3      4      5      very effective**

4. How effective was the working relationship between the facilitator and members of the planning team?

**Not at all effective      1      2      3      4      5      very effective**

5. How effectively were interpersonal differences handled during the meeting?

**Not at all effective      1      2      3      4      5      very effective**

6. To what extent did the meeting achieve its goals?  
**Not at all**                      **1**        **2**        **3**        **4**        **5**        **100%**

7. Describe in a few words the overall atmosphere of the meeting.

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8. What could have been done differently that would have improved the process of working together to achieve their goal and objectives?

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9. Other remarks:

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10. If any of your responses to questions 1 through 6 are three or less, explain why.

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# COMPONENT TWO

## PARTICIPATORY PLANNING TOOLS

The tools that follow are designed to support the efforts of participatory planning teams and their facilitators. They are also tools that can be “lifted out” of context for use in other arenas. Collectively they describe a process that is akin to what many call the managing change approach. And yet, these tools have the potential to either stand alone or be combined with others to serve the needs of a wide range of decision makers and problem solvers.

We have arranged them according to the six phases of the participatory planning process as outlined in Part I of this manual. The rational orderliness of the sequencing prompts us to once again issue a travel advisory! Just because these tools are laid out in a linear fashion doesn’t mean they must be used in the sequence presented. In most cases, the order will make sense as you and your team members carry out your planning responsibilities. On other occasions, you will find that a different sequence is needed or better fits the task at hand, or that you need to go back and redo a step, using the same tool used earlier. This is often the case with the analysis of significant stakeholders. The stakeholders identified in the problem finding analytical step may be quite different from those you need when considering the implementation of your proposed plans.

You may find, as you work together as a team to find solutions to a difficult problem in your community, that some steps we’ve outlined aren’t necessary and you can skip ahead to concentrate on detailing actions for implementation. Like a skilled craft person, you will find your team reaching for the right tool at the right time to get the job done.

Just to remind you of the essence of each of the six phases of the PP process, we have restated the short descriptions from Chapter 3 of Part I. You will find these at the beginning of each phase’s tool kit along with any other information we believe might be useful.

### PHASE I

#### INITIATING THE PARTICIPATORY PLANNING PROCESS

This phase of the participatory planning process involves the “triggering event” that motivates some individual, group or organisation to call for action that could benefit from the participatory planning process. These events are either problems that need to be addressed or opportunities that are unrealised. Problems are usually discovered through awareness while opportunities evolve from individual or shared visions of what is possible. At this point, those proposing the possibility of using a participatory planning process may think about strategic planning as an option particularly if they have identified a potential opportunity to be pursued.

#### ***Tools in the kit***

##### ***Tool 1: Triggering event***

Your team might want to use this set of questions as a way of reaching a shared understanding about the genesis of the challenge your team has been given. One suggestion is to have individual members of the team complete the questions and then compare the answers among the team members or have each member jot down some notes on index cards and then post them on a wall under each question. This allows each team member to see the individual responses. This also makes it easier to see the differences and similarities in responses. This exercise begins the process of understanding the triggering event from different perspectives and hopefully leads to some consensus about the point of departure. If the differences in perception are too great, it may be necessary to go back to the person or persons who unearthed the cause that led to the decision to create a planning team to address it.

##### ***Tool 2: The planning team***

Obviously the triggering event leads to the formation of your planning team. Tool 2 is designed to record some important information about how the team was selected and who is on it and why. It is also designed to structure the discussion and agreement on how you plan to work together as a team. In other words, it will be your ground rules of engagement. You may think of more than those listed on the worksheet we have provided. Agreeing on how you will work together as a team before you begin working on the task you have been given is important and will diminish some of the problems you will encounter later as the pressure increases to deliver your results.

##### ***Tool 3: Planning with principle***

Before you begin your planning work in earnest, we encourage you to look at some of the principles that are essential for achieving success in your participatory planning endeavour. These principles are: *diversity, equity, openness,*

*transparency, accountability and trust.* They are discussed in some detail in Chapter 2 of Part I of this manual. We've included a "puzzling" approach to your discussion of these principles in the tool that corresponds with this write-up.

## TOOL 1: TRIGGERING EVENT

1. Describe below and in some detail the condition, circumstance or event that "triggered" formation of this project team.

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2. Why was it selected at this time?

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3. Who is affected by the current situation?

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4. Who will be affected most if nothing is done?

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## Tool 2: THE PLANNING TEAM

1. What was behind the decision to form the participatory planning team?

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2. Who was involved in making the final decision to assemble this planning team?

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3. Who are the members of your planning team and why were they asked to serve on the team? If you don't know the reasons for the selection of some of your members, give your best judgement.

Name, Title and Organisation	Reason(s) for being asked to serve
1.	1.

2.	2.
3.	3.
4.	4.
5.	5.
6.	6.

4. Discuss the following ground rules for working together and record your team's consensus on each.

- On scheduling meetings?

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- On developing each meeting's agenda?

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- On communicating between members of the team?

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- On communicating with others not on the team, e.g., press, public officials?

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- On working with the facilitator?

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- On settling disagreements?

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- On making decisions?

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- On selecting new members?

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- Other rules not mentioned above that we want to include in our social contract from working together?

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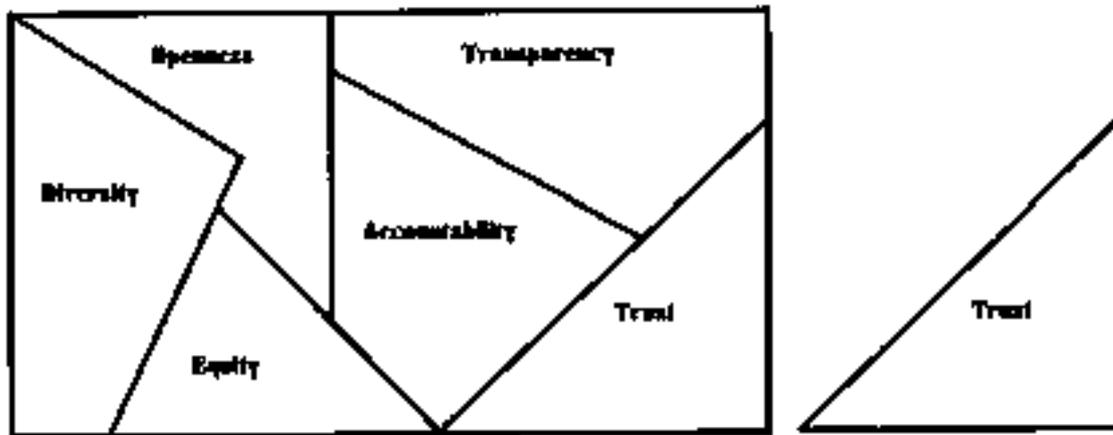


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### TOOL 3: PLANNING WITH PRINCIPLE

This Tool is designed to help your team look at some of the principles that form the foundation for working together as a participatory planning team. After solving the puzzle, you might want to review the decisions you made as a team about how you plan to work together to see if they reflect these principles.

You will need several sets of pre-cut, cardboard puzzle pieces that can be connected to complete six puzzles as shown in the following illustration. The pieces represent the six principles of participatory planning as discussed in Chapter 2 of Book I and mentioned briefly above. Make two or three individual puzzle pieces labelled “trust”, shown to the right of the completed puzzle illustration which can be handed to members of the group if the total number you are using this puzzle with is not divisible by six.



**Some suggested steps in completing the puzzle**

1. Begin the exercise by telling participants that success with participatory planning depends on the extent to which those who engage in planning accept and are guided by six principles: *diversity, equity, openness, transparency, accountability* and *trust*.
2. Give each participant one of the puzzle pieces. When this is done, ask each participant to find other participants with the same puzzle piece and to form into a group with them. For example, a participant who has received a puzzle piece with the word “*diversity*” printed on it will group with other participants with the same puzzle piece. In a few minutes, participants will have sorted themselves out into six groups.
3. When the six groups have been formed, ask participants in each group to discuss the significance of their assigned principle to success in participatory planning. Have these groups say a few words about their conversation about this particular principle. At this point, ask the participants to join with others who have different principles from their own so they can complete the puzzle. If you have handed out additional puzzle pieces labelled “trust” those members may find themselves left out of the completed puzzle groups. This may create some confusion, but it all has to do with trust, another issue to talk about when you debrief the exercise. The final step is to return to the results of using Tool # 2 and think about additional guidelines you might need to assure that your planning work together will be principled.

## PHASE II

# BUILDING PRODUCTIVE PARTNERSHIPS

Participation is about partnering to get things done at the local level. This might involve partnering between the local government, local NGOs or CBOs, and citizens, or partnering with other local governments, higher level public institutions, or the private sector; or a combination of some or all of these possibilities. This initial effort to enlarge the circle of visionaries or problem solvers is also the beginning of the use of the stakeholder analysis tool.

This phase also includes the decision about whether or not to use a facilitator of some kind to help conduct the participatory planning process. We will make the assumption that there will be a facilitator used in the process, either one brought in from outside the circle of initiators or someone from within the ranks of the participating parties. Creating a successful working arrangement with facilitators, or process consultants, is often referred to as “contracting” for their services. This is not the usual legal contracting arrangement but rather a form of *social contracting*.

### ***Tool 4: Facilitator - Planning team contract***

Building productive partnerships requires an effective “contracting” dialogue between the key parties before any substantive goal-oriented tasks are initiated. We have written the key issues that need to be addressed in the contracting meeting around the relationship between your planning team and an outside facilitator.

These questions are equally applicable between the team and the authority figure(s) who created the team, or just about any other task-related relationship. Don’t hesitate to change the wording to meet your contracting needs or to add to the list of issues to be addressed between your team and the person who will be assisting in the planning process even if it is a member of your team who assumes this role and responsibility.

***Tool 5: Stakeholder analysis*** The importance of identifying stakeholders is mentioned frequently in Part I. It is also suggested that the task be repeated more than once by those involved in the PP process. For example, it is important for the initiators of such a process to consider who should be on the PP team (your team!). Once your team begins its planning task, you also need to consider who the relevant stakeholders are if your recommendations are to be accepted and implemented. So, keep this tool handy as you work through your planning process.

### ***Tool 6: Assessing team effectiveness***

This is another one of those tools you need to keep available for use from time to time as you work together as a team. It is a short self-assessment questionnaire each member of the team completes from time to time or when you believe the team needs to look at how it is working together as a team. The instructions for using it are on the worksheet.

### ***Tool 7: Opening Johari’s window***

This tool is to help your team: (1) look at communication patterns between local government and the community that are related to the specific problem or opportunity you are responsible for addressing; and, (2) decide what might be done to improve the flow of information both ways. It is based on the discussion of the Johari Window you can find in Chapter 2: Part I: Essential Characteristics of Participatory Planning. We suggest you re-read the description of this concept before using this tool. It may be helpful to use this tool at two points in your work together. First, as you begin your deliberations about the problem you have been given to research and to find solutions to; and secondly, after you have done most of your data gathering about the problem. You may have different perceptions at these two points in your work as a planning team. If so, you might find it helpful to talk about the differences in terms of how it is affecting your work to come up with viable options for solving the problem.

## **Tool 4: FACILITATOR - PLANNING TEAM CONTRACT**

The following is a checklist of points to be clarified during the initial meeting between your team and the facilitator. The questions are written from the perspective of the facilitator to provide insights into the kinds of issues that need to be clarified between the two parties before the planning work begins. We suggest you use the spaces allotted to record the details of your joint agreement.

1. What was the *triggering event(s)* that prompted the formation of this PP team?  

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2. What is the overall goal your client, the individual or body that authorised the formation of your team, expects to achieve as a result of your work? What are the specific objectives your team will be responsible for achieving within the context of the overall goal? Or, put a bit differently, what are the expected outcomes of your work together?  

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3. Who is the ultimate client, or clients, to whom your team is responsible?  

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4. Here are the things I want in my work with your team and here are the things I am prepared to offer as we work together.  

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5. What do you, as a team, want from me in our work together? What are you prepared to offer to help us work more effectively together?  

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6. What are the roles and responsibilities of the team members during this assignment? Of the client? Of other supporting individuals or groups who are expected by the client to be involved?  

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7. What is the time frame for completing the PP process? For meeting certain interim deadlines?  

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8. What ground rules, e.g., confidentiality, openness, flexibility, will need to be honoured and upheld among the parties involved in the PP process?  

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9. Other concerns?

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## TOOL 5: STAKEHOLDER ANALYSIS: AN ON-GOING TASK WITHIN THE PP PROCESS

“Stakeholder analysis” is used to determine which organisations and individuals to consider for involvement in a specific problem solving or decision-making project. The intent is to identify those who have the interest and experience to contribute to the task and who represent others in the community that should have a voice in the deliberations. Citizens who have a stake in an issue under discussion are not necessarily advocates.

In the following diagram, (see hard copy of publication) list those stakeholders your team believes need to be involved at this time.

Add more circles if needed and then transfer the potential stakeholders to the following worksheet and answer the two questions pertaining to each stakeholder.

Stakeholder	Why this Stakeholder?	What is wanted or needed from this stakeholder?

## TOOL 6: ASSESSING TEAM EFFECTIVENESS

The following questionnaire is to help you evaluate the problem-solving effectiveness of your team on this specific assignment. Read each question and circle the number to the right of the question that most nearly corresponds to the way your team has functioned during this collaborative effort.

Effectiveness Criteria		Scale			
		Strongly Disagree	Disagree	Agree	Strongly Agree
1	Team members understand and agree on the team’s assigned task and intended outcomes.	1	2	3	4
2	Team members are quick to identify and resolve conflicts.	1	2	3	4
3	Team members know and accept responsibility for team tasks.	1	2	3	4
4	Team members openly share with one another what they know and believe.	1	2	3	4
5	Team members are good listeners and avoid interrupting one another.	1	2	3	4
6	Team members share responsibility for keeping the team focused on its tasks and performing efficiently.	1	2	3	4
7	Team members discuss and agree on methods to be used for reaching decisions.	1	2	3	4

8	There is balanced and active participation by all members of the team when working on team tasks.	1	2	3	4
9	The team makes use of proven methods for problem solving and decision making.	1	2	3	4

Review your responses and share the results with other members of the team.

On questionnaires of this kind, it is useful to calculate a mean average of the group’s individual scores for each of the characteristics. Just add the total of individual scores and divide the sum by the number of individual responses.

Based on these quantitative findings, you might want to discuss in more depth the following points:

1. What are the major strengths of our team’s efforts in working together?
2. What are some areas where we can improve?
3. What are some things we might do differently to be more effective?
4. If you are using this assessment questionnaire at the end of your work together, what have each of you learned from this experience that could help you be a more productive and effective member of a future PP team?
5. Another end of planning type question: What words of advice would you have for those who decide to use this approach to planning in the future when they brief potential team members on how to work together more effectively?

## TOOL 7: OPENING JOHARI’S WINDOW

The following figure (see hard copy of publication) represents the conceptual framework known as the Johari Window, which is described in more detail in Chapter II of the Reader. The group facilitator, or an interested member of the planning team, should review with other team members the concepts represented by the Johari Window as they relate to the principles and practices of participatory planning.

This tool is designed to explore the perceptions of each team member about the amount of communication between local government and citizens in regard to the problem or opportunity the planning team is working on, and ways to improve the flow of relevant information. Given this, each team member should be given a copy of the page following this one. The tasks to be performed are described below the model.

After each member has drawn lines on the “window frame” on the following page describing their own perceptions of the flow of information between local government and citizens, these individual perceptions can be recorded on newsprint to provide a composite picture of the group’s perceptions. The team’s facilitator should prepare on newsprint a model of the Johari Window while members of the team are recording their perceptions. This composite picture should be explored by asking each person to be more specific about his or her perceptions regarding the flow of communication. The final task is to agree on ways the team members and their organisations can be more open in both giving and receiving feedback across local government-citizen boundaries in relation to the planning task they are responsible for.

- Open Window:** known to both local government and citizens.
- Hidden Agenda:** known only by local government.
- Blind Spot:** known only by citizens.
- The Unknown:** not known by either local government and citizens.

### **Communication Task: Opening Johari’s Window**

Team members are to record, on the window frame below (see hard copy of publication), their perceptions about the flow of information and ideas between local government and citizens on the problem or opportunity being addressed by the planning team.

#### **Task 1**

Each team member draws a vertical line from top to bottom in the window frame above representing how they perceive the openness of local governments in sharing information and ideas about the problem being addressed by the team.

The top left corner of the box represents *very little willingness to share with citizens* and the right top corner represents local government's *willingness to share a lot of information and ideas with citizens* about the problem.

Draw a horizontal line at the point between the top left corner and the bottom left corner that represents your perception of *how much the citizens know about the problem in relationship to how much they are sharing with local government officials*. The further down in the window frame the line is drawn, the more it reflects the willingness of citizens to share what they know about the problem with local government officials.

#### **Task 2**

The group facilitator would ask each participant to replicate their perceptions, as indicated in their individual drawings, on a larger window frame drawn on newsprint to create a composite picture of the team's perceptions.

#### **Task 3**

Compare and discuss the individual perceptions for similarities and differences. If the team represents individuals from local government and the community, explore these similarities and differences as well.

#### **Task 4**

Discuss the implications of these perceptions on the team's ability to work together more effectively, and the quality of the final solutions to be recommended. Agree on a strategy that will increase the flow of information and ideas both ways.

## **PHASE III: REACHING OUT - OR FOCUSING IN**

Phase III: Reaching Out - or Focusing In? At this point in the process, we want to discuss the options of engaging in a long range strategic planning process, what we refer to as *reaching out*, or directing the participatory planning effort toward more immediate problem solving. This *focusing in* option is frequently referred to as "action planning". Two key skills involved in this phase are either visioning or problem finding depending on the objectives to be achieved. Beyond this phase of determining whether the process will be long- range and strategic, or short-term and problem-oriented, the process of participatory planning follows similar courses of events, albeit the context is very different.

#### **Tool 8: Visions and vision statements**

Looking over the horizon and then writing down what you saw are two very different skills. Given this dilemma, we will suggest a different approach to each of these tasks. First, consider the process of visioning, or as just mentioned, getting out your mental telescope and looking over the time horizon. Most experts can't agree on what time span you should fix when developing vision statements that drive your strategic planning process. That's a judgement call that is yours to make and it should reflect why you are planning to engage in strategic planning. Five years is probably too short to realise most visions; twenty years is, from our perspective, too long. Visioning is a backward look from where you want to be in XX years to where you are now. Strategic planning is filling in the gaps with steps that take you from here to there.

#### **Tool 9: Focusing in and the art of problem finding**

One of the most difficult and challenging steps in the action planning process is to focus in on the problem or opportunity that your team has been assigned to either determine how to resolve or exploit. We will be suggesting a series of queries to pursue in search of your problem or opportunity.

#### **Tool 10: The joy of pursuing opportunities**

Just to emphasise the importance of being more than problem solvers when it comes to action planning, we have included a set of questions to pursue when given an opportunity to explore.

## **TOOL 8A: VISIONING**

Whether you are putting together a vision statement for your action plan as a task-oriented, problem-solving or opportunity-tapping team or part of a larger group of significant stakeholders who have been assembled to forge a strategic plan for an organisation or community over a longer period of time, here's a right-brain (the intuitive side) exercise that should produce results.

Disassemble into small groups of 4-8 persons, depending on the size of your total group and get comfortable.

**Task One:** Draw a composite picture of your collective vision about what the future would look like if the problem was solved, the opportunity fully exploited, or the strategic development plan that will be created by the assembled stakeholders was realised.

To do this group drawing, you will need a big piece of paper, a vacant wall that needs to be painted, or the back of a very large elephant that has agreed to stand still for a few moments while you play Rembrandt. As seasoned planners, you will be able to arrange the logistics. How you go about making this composite drawing is your decision. We only stipulate that every member of your group must participate.

**Task Two:** Sit back, admire your masterpiece for a few moments, ask each other clarifying questions, and then write down words and short phrases that describe what the picture is conveying. Use the other side of the elephant if she hasn't escaped.

**Task Three:** From these words and short phrases, write your small group's vision statement. There is also a vast difference of opinion about what vision statements should look like. Some experts say, "No more than five words. A short, pithy, slogan that people will remember! Better yet, design a logo." Others lean toward more global statements of intent that inspire. Again, the choice is yours.

## TOOL 8B: WRITING VISION STATEMENTS

We've already broached this subject, but here are a few more ideas to consider.

**Task One:** Review the vision elements prepared by small groups using the ideas from Tool 8A, or better ideas gleaned from your collective experience or readings.

**Task Two:** After duplications are eliminated, review the remaining elements for consistency with the following properties. Elements that measure up with the majority of these criteria may be satisfactory components of a meaningful vision statement.

*Appropriate* - Is consistent with the situation, culture and tradition of those concerned.

*Idealistic* - Sets standards of excellence; reflects high ideals.

*Clarifying* - Helps to clarify why action is needed and the direction to be taken.

*Challenging* - Requires sacrifice of some kind for its attainment.

*Inspirational* - Will serve to stimulate enthusiasm and the commitment necessary to keep working.

**Task Three:** Assign the final writing of the mission statement to a team of three or fewer who are known for their ability to speak big thoughts in few words. This is the most difficult task of all in the visioning process. Good luck.

## TOOL 9: FOCUSING IN AND THE ART OF PROBLEM FINDING

The following questions are designed to help you conduct a structured discussion about the problem the mayor, council, perhaps a community organisation, or your client has handed you with expectations that your team will be prepared to recommend one or more well thought-out courses of action.

As you consider each of these questions, we suggest you record your thoughts in the spaces allotted. The questions are framed within the context of community problem solving. This tool is followed by one more suited to use when pursuing a planning course with an opportunity in hand.

- What is the problem? This is the first step in developing a common understanding of the problem, its unwanted impact on the community and the probable affect of its continued existence.

- 
- Why is it a problem? Locate the causes or find an explanation for the problem's emergence, existence or persistence

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- Why should the problem be solved? If this question can't be answered, there may not be a problem worth pursuing.

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- When is it a problem? Identify the conditions under which the problem reveals itself.

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- Where is it a problem? Specify areas of the community that are affected by the problem and areas that are not affected.

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- For whom is it a problem? Focus in on the individuals, groups or organisations that suffer most from effects of the problem.

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- What are the consequences of doing nothing to solve it? Explore the potential and on-going consequences of delay or inaction for the community or for those most affected by the problem.

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- At this point, we urge you to ask again: What is the problem? Re-define the problem, as necessary, based on answers to the other questions.

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- Does your problem statement pass the 3-C test?
- Is it clear? For example, would your daughter's boy friend understand it?
- Is it concise? Or does it ramble all over the map?

- Is it complete? Does it include all the key variables?

If not, try stating it again in the space below.

## TOOL 10: THE JOY OF PURSUING OPPORTUNITIES

Somewhere between the reaching out process of visioning and the focusing in discipline of problem finding is the joy of pursuing an opportunity. Like problem finding, it takes a bit of detective work, asking the right questions, to assure that the opportunity is understood and clearly defined. Here is a suggested line of inquiry that is similar to, but different from, those suggested for problem finding.

- So, you see an opportunity. What is it? Try to define it, understand it, develop a common understanding of the opportunity, its expected impact on the community and the probable effect of pursuing it.

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- Why is it an opportunity? What is behind the opportunity that makes it so compelling? Pursue its roots, find an explanation for its emergence and existence.

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- Why should this particular opportunity be pursued? Particularly when weighed against others that might be as enticing? If this “why” doesn’t produce convincing arguments, consider backing off.

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- When did this opportunity reveal itself to the world or at least to its most enthusiastic advocate? If it’s been around for a long time, it may have hidden liabilities. On the other hand, some of the world’s most precious gems have been picked from well trodden fields of dreams.

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- Where is the opportunity most evident? Where will it provide the greatest payoff and for whom? Specify areas of the community that will benefit most if the opportunity is pursued and realised. If the opportunity, for example, creates a climate for including more citizens who have been left out in past community endeavours or redresses certain inequities, it may be worth taking greater risks to realise its potential. Go back and review the underlying principles we discussed earlier to see if the opportunity has merit based on principle. If so, become its advocate, not just its planner.

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- For whom will the opportunity benefit most if realised? This ties into the last query and is extremely important, particularly if public funds are involved. Focus in on the individuals, groups or organisations that will benefit most

from pursuing this opportunity and those who will pay the price for those who benefit. This leads us to your next task.

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- What are the positive and negative consequences of realising the opportunity or of doing nothing to pursue it further? You will note that this is a triple headed task so make sure you pursue all of them with your usual rigour.
- 
- 

- At this point, we urge you to ask again: Do we really understand this opportunity and its potential benefits and consequences and are we willing to commit to its realisation? If so, go for it!
- 
- 

## PHASE IV: FACT - FINDING AND ANALYSIS

Phase IV: Fact-Finding and Analysis. Depending on the context, either short term problem solving or long-range visioning, there will be a series of steps to be completed before defining a strategic plan or outlining a detailed course of action. These include: collecting more data, information and ideas; organising and analysing these sources for better understanding of the problem or opportunity; determining the goals and objectives to be achieved; and assessing the feasibility of fulfilling the goals and objectives. This final step includes such tools as SWOT and Force Field Analysis.

### ***Tool 11: Now that you found the problem, do you really want to solve it?***

There is another set of very serious questions you need to ask about your problem after you have found it. For example, is it urgent? Is it important in relation to other problems? What about the feasibility of reaching a solution?

### ***Tool 12: Information and data collection***

There are many ways to gather information, data, and ideas about the problem or opportunity that has been handed to your planning team. They fall into these broad categories: interviews, questionnaires, document analysis, direct observation, and your team's own experience and intuition. These are explained in some depth in Part I of this manual. This tool will remind you of these techniques and help you organise your data collection tasks.

### ***Tool 13: Writing objective statements***

This is one of the duller tasks in the action planning course of events but very important. There are lots of well worn sayings like, "*If you don't know where you're going, you won't know when you get there,*" or "*Any road will do*". We urge you to spend quality time on this task. We will be giving you some help in checking your *objectives* to see if they measure up.

### ***Tool 14: Force field analysis***

Force field analysis is a tool for assessing why problems aren't solved and opportunities not exploited by identifying the forces that keep them in their current state of *quasi-equilibrium*. We can take any situation we want to change and identify the field of forces, e.g., political, social, organisational, or technical, that keep it as it is. The forces are of two kinds: driving forces, those that help move us towards our objectives, and restraining forces, those that stand as obstacles to achieving our objectives.

An unbalancing of forces can cause the equilibrium to shift either in the direction of the objective or in the opposite direction, making the objective even more difficult to achieve. Three steps are involved in using force field analysis as a problem solving tool.

- **Diagnosis:** Identify all the forces, driving and restraining, that are helping to maintain the current level of activity.

- **Unfreezing:** Changing the strengths of the individual forces, both driving and restraining.
- **Refreezing** or stabilising the forces at a new, desired state of equilibrium as described by the problem solved or the opportunity realised. As we all know, solving one problem usually creates another, and success in realising an opportunity suggests more to be pursued. Given these results, the state of quasi-equilibrium we create is never permanent.

**Tool 15: SWOT Analysis**

SWOT Analysis has its roots in force field analysis (FFA). Some find it an easier analytical tool to use. It also seems to be more popular at the moment, perhaps because it is associated with the process of strategic planning. The important difference, from our perspective, is the focus of the two tools. FFA is more effective when working with problems or opportunities that transcend organisational boundaries. It takes into account the larger environment whereas SWOT, as it is usually described, analyses the **Strengths** and **Weaknesses** of the organisation, and **Opportunities** and **Threats** as factors largely associated with the external environment. Given this fundamental difference, we prefer FFA as an analytical tool to use when looking at problems or opportunities that cut across organisational and institutional boundaries.

## TOOL 11: NOW THAT YOU FOUND THE PROBLEM, DO YOU REALLY WANT TO SOLVE IT?

After you have “found” the real problem, it’s time to submit it to another set of inquiries. The problem might be very valid as a problem but not solvable for one or more valid reasons. Hopefully, this new set of inquiries will provide you with a better sense of whether or not to pursue your problem-solving ventures any further. If the team’s decision is not to pursue a course of problem solving based on the following criteria, you will need to provide a full report to your client justifying your decision.

To assess the potential solvability of the problem you have been given, we suggest that each member of the team completes the following questionnaire. After this has been done, it’s time to compare notes and to decide your next step.

**(Circle the number which best reflects your opinion about each aspect of the problem)**

- How urgent is it to find a solution to the problem? A problem is urgent if it requires immediate attention to avert a crisis.  
**Not at all urgent**                      1            2            3            4            5            **very urgent**
  
- How important is it to solve the problem? A problem is important if neglecting it could result in serious consequences for the future of the community.  
**Not at all important**    1            2            3            4            5            **very important**
  
- How feasible is it to solve the problem? For example, some problems can’t be solved with existing technologies, or it may require fiscal resources that far outstrip the community’s ability to pay.  
 Not at all feasible            1            2            3            4            5            very feasible
  
- Is it within the control of the local government and community to solve the problem?  
**Not at all within local control**    1                      2            3            4            5            **very much within local control**
  
- Are team members willing to make a personal commitment to solve the problem? If members of your team can’t answer this in the affirmative, then it is unlikely that others who are less involved would make such a commitment.  
**Not at all willing**                      1            2            3            4            5            **very willing**

**Your total score:** \_\_\_\_\_

**The team’s average score:** \_\_\_\_\_

**Scoring instructions and discussion suggestions**

- Add up your individual scores. The highest total individual score is 25. Calculate the average mean scores of team members on each question by adding all the individual scores by question and dividing by the number of persons on the team.
- Discuss the scores and possible consequences. Individual scores that total less than 20 should be discussed in some depth. Any individual question receiving less than a mean average of four by the team should also be reason for discussion.
- This information will be useful to stimulate discussion and surface any doubts team members might have about the project they have been assigned. It can also serve as a team building exercise by fostering feedback and disclosure as two important communication skills.

**TOOL 12: INFORMATION AND DATA COLLECTION**

1. What data are needed to help your team make sound judgements and decisions that will reinforce your recommendations and reassure those who will be responsible for implementing them? The following list should help you organise your thoughts and plans for entering into this critical phase of action planning.

*(If, after considering each type of data listed below, you decide you need this type of data, state as specifically as possible what the data is and where you might find it. The methods of collection are listed in Question 2 that follows. You will want to coordinate the two responses to these what and how queries)*

- Physical evidence: \_\_\_\_\_
- Historical data: \_\_\_\_\_
- Demographic data: \_\_\_\_\_
- Quantitative data: \_\_\_\_\_
- Qualitative data: \_\_\_\_\_
- Customer/user opinion data: \_\_\_\_\_

2. What method do you intend to use for data collection? Describe it below.

- Direct observation: \_\_\_\_\_
- Survey: \_\_\_\_\_
- Document search: \_\_\_\_\_
- Personal interviews: \_\_\_\_\_
- Focus groups: \_\_\_\_\_
- Community forum: \_\_\_\_\_
- Direct observation: \_\_\_\_\_
- Your own experience and intuitions: \_\_\_\_\_
- Other sources of information and ideas: \_\_\_\_\_

## TOOL 13: WRITING OBJECTIVE STATEMENTS

One can view a problem as two split halves with a gap in between as shown below. One half is where we are now, the other, where we want to be. The problem is the discrepancy between the two.

### Problem solving is the art of closing the discrepancy:

An objective is a statement of where you want to go or what you want to accomplish. It is what the problem will look like when solved or what the opportunity will look like when achieved. By the way, there is often confusion between goals and objectives. Think of a goal as being a super-ordinate objective. If you have more than one objective associated with the problem you want to solve, and this is often the case, then think about developing a goal statement that incorporates the whole of what the individual objectives will achieve.

To be effective homing devices for solving problems, objectives need to be:

- Specific
- Measurable
- Attainable
- Relevant
- Time bound

And *timely*, we might add. An objective should state a *result* not an *activity*. And, its achievement should be largely within your control. Otherwise, it is difficult to assure its realisation.

We've done the easy part, telling you what an objective is and the **SMART** criteria that objective statements should meet. The difficult part is writing them. Remember:

When a man does not know what harbour  
he is making for, no wind is the right wind  
**SENECA**

It also helps to restate as clearly as possible (one more time!) the problem you are trying to solve or the opportunity you want to exploit before writing the objective you want to achieve. Such as:

1. The problem to be solved is:
---------------------------------

2. Given the problem to be solved, the objective is to:
---

Review your objective statements one at a time and apply the following checks to each one.

Is your objective:

**SPECIFIC?**            No \_\_\_\_\_      Not sure \_\_\_\_\_      Yes \_\_\_\_\_

**MEASURABLE?**        No \_\_\_\_\_      Not sure \_\_\_\_\_      Yes \_\_\_\_\_

**ATTAINABLE?**        No \_\_\_\_\_      Not sure \_\_\_\_\_      Yes \_\_\_\_\_

**RELEVANT?**            No \_\_\_\_\_      Not Sure \_\_\_\_\_      Yes \_\_\_\_\_

**TIME BOUND?**        No \_\_\_\_\_      Not Sure \_\_\_\_\_      Yes \_\_\_\_\_

If the answer to any of these questions is No or Not sure you need to work some more on your *Objective*.

## TOOL 14: FORCE FIELD ANALYSIS

### *Guidelines for Doing and Using Force Field Analysis*

**Step 1.** Identify the forces that will help you achieve your objective(s). *Enter them in the box below.*

- 1.
- 2.
- 3.
- 4.
- 5.

**Step 2.** Identify the forces that will keep you from achieving your objective(s). Enter them in the box below.

- 1.
- 2.
- 3.
- 4.
- 5.

**Step 3.** Ask the following questions about each of the forces in the two boxes above:

- Which of the forces should be dismissed as impossible to influence or change?
- Which of the forces will be the easiest to change?
- Of these, which are the most important to change to achieve our objective(s)?

*One important quality of these forces is important to keep in mind. Removing a restraining force may be more effective in bringing about desired change than increasing a driving force. In many cases, removing the constraint turns it into a driving force. For example, lack of trained staff may be a constraint but after training, these same people become a driving force.*

**Step 4.** Make a consolidated list, preferably on a flip chart that everyone can see, of **important forces** that are also the **easiest** to change. After the list has been compiled, choose the forces you want to incorporate into your recommended action steps. To help you choose, ask the following question about each force:

- Who has access to or influence over the force?
- If you should be successful in changing this particular force, how might it have a positive influence on changing others?
- What are the resources to which you have access or can mobilise to encourage the desired change?
- Strengthening driving forces can create a reaction, increasing one or more of the restraining forces. What can be done to prevent or lessen the impact of this happening?

**Step 5.** Write a short statement of your overall strategy based on the objective(s) to be achieved and the analysis of the driving and restraining forces associated with achieving the objective(s).

## TOOL 15: SWOT ANALYSIS

**SWOT = Strengths, Weaknesses, Opportunities and Threats.** Strengths and Weaknesses are usually associated with organisations or work units that are bounded. Opportunities and Threats are associated with external forces that have an influence on the organisation or sub-unit.

**Step 1:** Conduct an analysis of your internal strengths and weaknesses and your external opportunities and threats.

**Step 2:** Review them in your planning group and with other stakeholders if it is convenient.

**Step 3:** Decide on proposed actions that can be taken to build on your strengths, to eliminate or cope with your weaknesses, to exploit your opportunities and ease or lower the threats.

**Step 4.** Write a short statement of your overall strategy based on the objectives to be achieved and the SWOT analyse just completed.

We suggest you use the following format, or a better one of your own design, to SWOT.

### *Internal Analysis: Part A*

Strengths to build on	Proposed actions
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10.

### *Internal Analysis: Part B*

Weaknesses to eliminate or cope with	Proposed actions
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.

8.	8.
9.	9.
10.	10.

**External Analysis: Part A**

<b>Opportunities to exploit</b>	<b>Proposed actions</b>
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10.

**External Analysis: Part B**

<b>Threats to ease or lower</b>	<b>Proposed actions</b>
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10.

**Our strategy statement:**

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## PHASE V: PLANNING A COURSE OF ACTION

At this point in the process, those involved will be narrowing the objectives they expect to achieve to a realistic number, determining their best option(s) for achieving them; and probably engaging in a further iteration of the stakeholders required for implementation. This phase of the planning process also involves deciding who will do what with whom within certain resource parameters, including time frames and time commitments, to accomplish their goals and objectives or to fulfil their vision. Finally, the team will want to look at the potential consequences of implementing what they will be recommending and to prescribe a monitoring and impact evaluation scheme.

### ***Tool 16: Reviewing opportunities for shared leadership***

One of the essential characteristics of participatory planning is shared leadership, particularly the sharing of roles and responsibilities among local government leaders and operating agencies, community leadership, and civic and community-based organisations. A strategy for sharing leadership is detailed in Chapter 2 of Part I. The strategy outlines four basic options to consider based on five criteria: goals, resources, urgency, commitment to change, and resistance to change. We suggest you review the conceptual framework in Part I before using this tool. This step in the action planning process should influence your detailed action plan which follows.

### ***Tool 17: Planning a course of action***

This tool is easy to use if you've completed each of the steps leading up to this one. It's a matter of deciding who needs to do what with whom in what order using various resources within the parameters you establish to achieve your recommended objectives.

## TOOL 16: REVIEWING OPPORTUNITIES FOR SHARED LEADERSHIP

The following chart outlines four shared leadership styles and five criteria to consider when deciding which leadership style is most appropriate to use when Local Governments (LG) and Citizens (C) are collaborating to implement action plans based on participatory planning efforts. Based on the overall strategy your team is recommending, review each criteria as it relates to your strategy in terms of the four leadership styles. Circle the description of the criteria's leadership option that best meets the parameters of the overall strategy your team is recommending for implementation. After considering all five criteria, and the options for shared leadership as they relate to the criteria, discuss these findings with those who authorised this planning effort before completing your action plan.

**Suggestion:** Each member of the planning team should complete the exercise individually and then share them with others.

1. Based on my assessment of these criteria, my recommendation is for the local government to assume a leadership style in the implementation of the proposed action plan.
2. Based on our team discussion, we recommend the local government to assume a leadership style in the implementation of the proposed action plan.

Shared leadership styles	Goals	Resources	Urgency	Commitment	Resistance to change
Interactive	Mutually shared and understood	Both LG and C have resources to address the problem or issue	Time is available to explore sharing of resources and responsibilities	Commitment from LG and C is necessary if goal is to be achieved	Low in both the LG and community
Proactive	C goals are subordinate to LG	LG has all or most of the resources to address the problem or issue	Speed is important and LG would be adversely affected in achieving goals by delay of exploration	Further commitment from C is not necessary for goal achievement	Low in the community
Reactive	LG goals subordinate to C	C has all or most of resources to address the problem or issue	C exhibit need for immediate action and LG will not be adversely affected	Further commitment of LG is not necessary to achieve the goal	Low in local government

		OR reliance on C will encourage development of potential/resources	by following their lead		
Inactive	Not clear to either LG or C	Neither have the resources to address the problem or issue	Immediate action is not seen as urgent by either party	Neither LG or C are committed	High in LG and/or C to the degree that action would be adverse to both

## TOOL 17: PLANNING A COURSE OF ACTION

### *Action Planning Worksheet*

**Step 1.** Narrow the objective(s) and related actions you plan to recommend and integrate them into one overall strategic statement. Enter the statement below.

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**Step 2.** Hold informal discussions with key stakeholders who are not serving on the planning team, discuss with them your review of the shared leadership options and your recommendations concerning the opportunities to share leadership responsibilities, and integrate any of their relevant comments into the strategic statement.

**Step 3.** Develop a detailed plan of action. List each objective to be achieved followed by the tasks required to achieve each objective. This can be a very detailed process or one where the planning team leaves many of the details to the implementing agency. We have opted to include most of the details required in an action plan that is intended to be implemented. Use your discretion based on discussions with the agency or team designated to manage the implementation of your action plan.

Objective 1:

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The tasks necessary to implement this objective are:

1. 

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2. 

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3. 

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4. 

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5. \_\_\_\_\_  
\_\_\_\_\_

6. \_\_\_\_\_  
\_\_\_\_\_

Add more places for tasks as needed. **Answer the following questions about each task identified above:**

Task No: \_\_\_\_\_ Brief Task Description from last task worksheet:

\_\_\_\_\_  
\_\_\_\_\_

**Implementation Details:**

Primary responsibility for its implementation is:

\_\_\_\_\_  
\_\_\_\_\_

*Name the specific individual, group, organisation*

Others who need to be involved in implementation are:

1.

2.

3.

The task is to be completed by: \_\_\_\_\_

*Enter a specific date*

The resources needed for implementation, such as people, equipment, information, consumable products, finances, etc., are (be as specific as possible):

\_\_\_\_\_  
\_\_\_\_\_

The possible positive consequences of implementing this part of the action plan are:

\_\_\_\_\_  
\_\_\_\_\_

The possible negative consequences are:

\_\_\_\_\_  
\_\_\_\_\_

Based on your team's judgement about the possible consequences, determine the need for some kind of proactive contingency plan to field test the plan, or this part of the overall action plan, prior to full implementation. Detail your

plans for the field test, pilot implementation strategy, or other experimentation program your team believes is needed prior to full implementation.

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The following monitoring and evaluation measures are recommended as an integral part of each major task plan: How will those responsible for implementing this task provide evidence that it is being implemented:

1. According to schedule or meeting on-time requirement?

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2. Within the various allocated resources?

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3. In accordance with agreed upon standards of performance?

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Forms will be required for each major task to be completed.

## PHASE VI: IMPLEMENTING ACTIONS, MEASURING IMPACT AND MOVING ON

**Phase VI: Implementing Actions, Measuring Impact and Moving On.** This phase of the process is usually outside the direct mandate of the participatory planning team’s responsibilities. Nevertheless, it is important for planning teams to be familiar with implementation issues and concerns. And, there are times when many of those who help to plan programs and activities involving coalitions of local government officials and community representatives are also directly involved in their implementation.

### ***Tool 18: A discussion tool about assessing impact***

This tool outlines a series of indicators for measuring the impact of your planned efforts. We suggest your team meet with the individuals who will be responsible for implementing the action plan you have just completed to discuss in depth a plan for measuring the impact of your efforts when implemented.

### ***Tool 19: A suggested impact assessment questionnaire***

This questionnaire mirrors the questions set forth in Tool 18. They are intended for use by either the implementation team, or by those responsible for assessing the ultimate impact of the project or program your team has recommended, or both?

### ***Tool 20: Assessing your personal effectiveness as a team member***

Your team has just completed a successful participatory planning venture, a voyage of discovery. Before moving on from this temporary assignment, we suggest you take a look at how well you have functioned personally as a member of a planning team. A self-assessment questionnaire follows to assist you in this final task. Congratulations on a job well done!.

## TOOL 18: A DISCUSSION TOOL FOR ASSESSING IMPACT

The following performance indicators are intended to provide guidance to your planning team and the team that will now take responsibility for implementation. We suggest you hold a discussion with the implementing team to consider the indicators listed below in terms of which ones might be most appropriate in tracking the impact of your

recommendations. Some are concerned with whether the program or service was implemented as planned, i.e., did the implementing agency carry out the plan as intended? Others are more concerned with evaluating the outcome, or impact, of the implemented service or program. *Outputs* are measurable indicators of progress toward the achievement of objectives. *Outcomes* are the planned, and sometimes unplanned, results of the intervention.

They all are written to take a backward look at the ultimate success and impact of the recommended actions. What this requires is an effort to design an ongoing assessment strategy that will provide these kinds of answers. Such a plan also increases the assurance that your plans will be implemented as intended.

Here are some indicators to serve as a basis for these kinds of measurement.

***Adequacy***

- Was the action plan sufficient to accomplish the objectives?
- Were the objectives adequate to solve the problem or take advantage of the opportunity?
- Were the resources available sufficient to carry out the action plan?
- Can the results be sustained?

***Effectiveness***

- Was the action plan implemented?
- Were the goals and objectives achieved as planned?

***Efficiency***

- Could the resources have been used differently or been substituted, to have produced more results within estimated costs or the same results more inexpensively?
- How costly was the action plan when compared to resulting benefits?
- Would an alternative plan have produced the same results at a lower cost?
- Were resources managed in the most efficient way possible to achieve the objectives?

***Consequences***

- Have the outcomes envisioned by the planned effort been achieved? This is a slightly different inquiry from the one regarding objectives.
- What have been the overall benefits to the recipients of the planned effort?
- What liabilities have been incurred by the implemented effort?
- What unanticipated consequences have there been as a result of the planned actions?
- If sustainability was a criterion of success, will it be realised?

## **TOOL 19: A SUGGESTED IMPACT ASSESSMENT QUESTIONNAIRE**

The following questions are designed to evaluate the impact of the project, program or activity implemented as a result of a participatory planning effort conducted at an earlier time. Record in the space below the title of the project, program or effort and a brief description:

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For most of the criteria listed below there is a five point scale representing gradations of adequacy, effectiveness, etc. as they relate to the assessment of the final completion and impact of the project, program or activity described above.

**Adequacy**

- Was the action plan sufficient to accomplish the objectives?  
**Not at all sufficient**    1        2        3        4        5        **Very sufficient**
  
- Were the objectives adequate to solve the problem or take advantage of the opportunity?  
**Not at all adequate**    1        2        3        4        5        **Very adequate**
  
- Were the resources available sufficient to carry out the action plan?  
**Not at all sufficient**    1        2        3        4        5        **Very sufficient**
  
- Can the results be sustained from this point on?  
**Yes: \_\_\_    NO: \_\_\_    No way to tell: \_\_\_**

If your answer is either *NO* or *No way to tell*, explain why this is the case.

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**Effectiveness**

- Was the action plan implemented?  
**Not at all**    1        2        3        4        5        **Totally**
  
- Were the goals and objectives achieved as planned?  
**Not at all**    1        2        3        4        5        **Totally**

**Efficiency**

- Could the resources have been used differently to have produced more results within estimated costs or the same results more inexpensively?  
**Not at all**    1        2        3        4        5        **Totally**

Explain how and why:

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- How costly was the implementation plan when compared to resulting benefits?  
**Not at all costly**    1        2        3        4        5        **Very costly**
  
- Would an alternative plan have produced the same results at a lower cost?  
**Yes: \_\_\_    NO: \_\_\_    Don't know: \_\_\_**

If *Yes*, describe the alternative plan

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- Were resources managed in the most efficient way possible to achieve the objectives?  
**Not at all efficiently**    1        2        3        4        5        **Very efficiently**

**Consequences**

- Have the outcomes envisioned by the planned effort been achieved? This is a slightly different inquiry from the one regarding objectives.

**Not achieved as planned      1          2          3          4          5          Totally achieved**

- What have been the overall benefits to the recipients of the planned effort?

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- What liabilities have been incurred by the implemented effort?

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- What unanticipated consequences have there been as a result of the planned actions?

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- If sustainability was a criterion of success, will it be realised?

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**TOOL 20: ASSESSING YOUR PERSONAL EFFECTIVENESS AS A TEAM MEMBER**

The following questionnaire is to help you evaluate your personal effectiveness as a member of the planning team. First, read over the scales and, on each one, place a check indicating the place on the scale that describes you best. After marking all the scales, pick out the three or four areas of personal behaviour which you would most like to change. On these scales draw an arrow above the line to indicate the desirable direction for changing your behaviour. (There may be situations where lowering your involvement, as stated in the questionnaire may be desirable).

- Ability to listen to others in an understanding way.  
**Low                    1          2          3          4          5          6          7          High**
  
- Ability to influence others in the group.  
**Low                    1          2          3          4          5          6          7          High**
  
- Tendency to build on the previous ideas of other group members.  
**Infrequent          1          2          3          4          5          6          7          Frequently**
  
- Likely to trust others.  
**Unlikely              1          2          3          4          5          6          7          Very likely**
  
- Willingness to discuss my feelings (emotions) in a group.  
**Unwilling            1          2          3          4          5          6          7          Very willing**

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|-----|---|-----------------------|----------|----------|----------|----------|----------|----------|----------|------------------------|
| 6.  | Willingness to be influenced by others.                                 | <b>Unwilling</b>      | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> | <b>6</b> | <b>7</b> | <b>Very willing</b>    |
| 7.  | Tendency to run the group.  | <b>Low</b>            | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> | <b>6</b> | <b>7</b> | <b>High</b>            |
| 8.  | Tendency to seek close personal relationships with others in the group. | <b>Low</b>            | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> | <b>6</b> | <b>7</b> | <b>High</b>            |
| 9.  | My reaction to comments about my behaviour in groups.                   | <b>Usually reject</b> | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> | <b>6</b> | <b>7</b> | <b>Usually welcome</b> |
| 10. | Extent to which I am aware of the feelings of others.                   | <b>Unaware</b>        | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> | <b>6</b> | <b>7</b> | <b>Aware</b>           |
| 11. | Reaction to conflict or disagreement in the group.                      | <b>Low Tolerance</b>  | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> | <b>6</b> | <b>7</b> | <b>High Tolerance</b>  |
| 12. | Reaction to opinions opposed to mine.                                   | <b>Low Tolerance</b>  | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> | <b>6</b> | <b>7</b> | <b>High Tolerance</b>  |

Review the results from the self assessment questionnaire. Briefly describe the behaviours you want to improve upon and answer the following questions. What motivated you to select this area for personal improvement? What actions are you prepared to take to accomplish this?

I. ***Short description of the behaviour:***

Motivation to change:

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Actions you plan to take:

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II. ***Short description of the behaviour:***

Motivation to change:

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Actions you plan to take:

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III. ***Short description of the behaviour:***

Motivation to change:

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Actions you plan to take:

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