A PLANNER'S GUIDE TO ACTION PLANNING
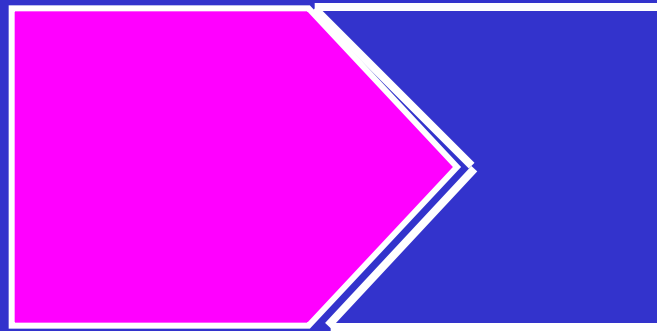
Claudio Acioly jr.
claudio.acioly@unhabitat.org
Head Capacity Building
UN-Habitat

1.

Changing the way we think and work in cities.

Paradigm change affecting cities and the way we plan and manage them.
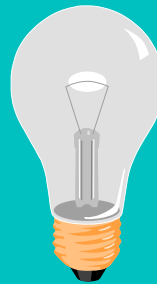
1

From

Emphasis on Statutory Planning - Master Plans Rigidity

2

To

Strategic & Action Planning

Urban Productivity Flexibility

3

Government Provides! State Provision

4

Government Enables! Market Provision Privatization & Partnership

5
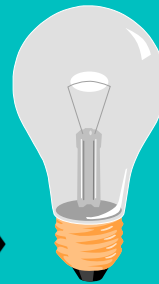
Central Government Decides!

6

Local Government decides! Decentralization

7

Physical Development

Spatial Planning Regulatory

8

Financial & Economic Planning

Technical Feasibility Institutional basis

9

From

Technocratic & top down planning
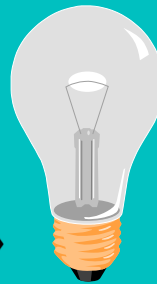
10

To

Civil Society Participation & bottom-up planning

Relationship
regulatory/statutory - normative plans and city-
development strategies

Regulatory-Normative Plans

Strategic Plan

City con

vision

Action plan

Action plan

Action plan

Action plan

Physical

Financial

Institutional

Based on F. Davidson, 1997

Envisioning the Future of Rotterdam

Creative Inventory in Arnhem's strategic planning process

Resident handing in her views for "Arnhem 2015".

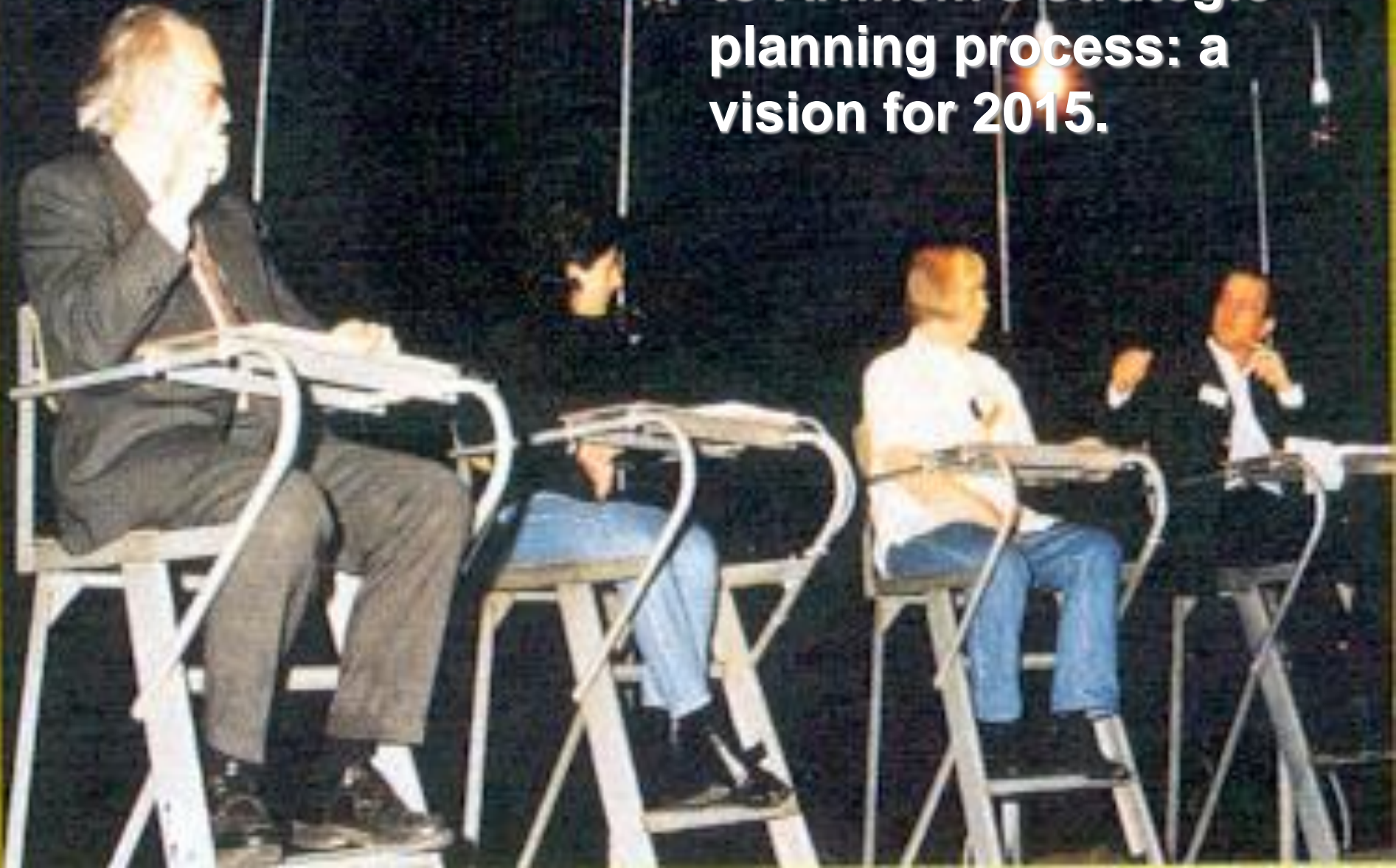Citizen consultation: Developing a common vision and a strategic vision for Arnhem 2015

Creative Inventory & public debate in support to Arnhem's strategic planning process: a vision for 2015.

STRATEGIES

Strategic thinking & strategic planning is needed to make things happen!
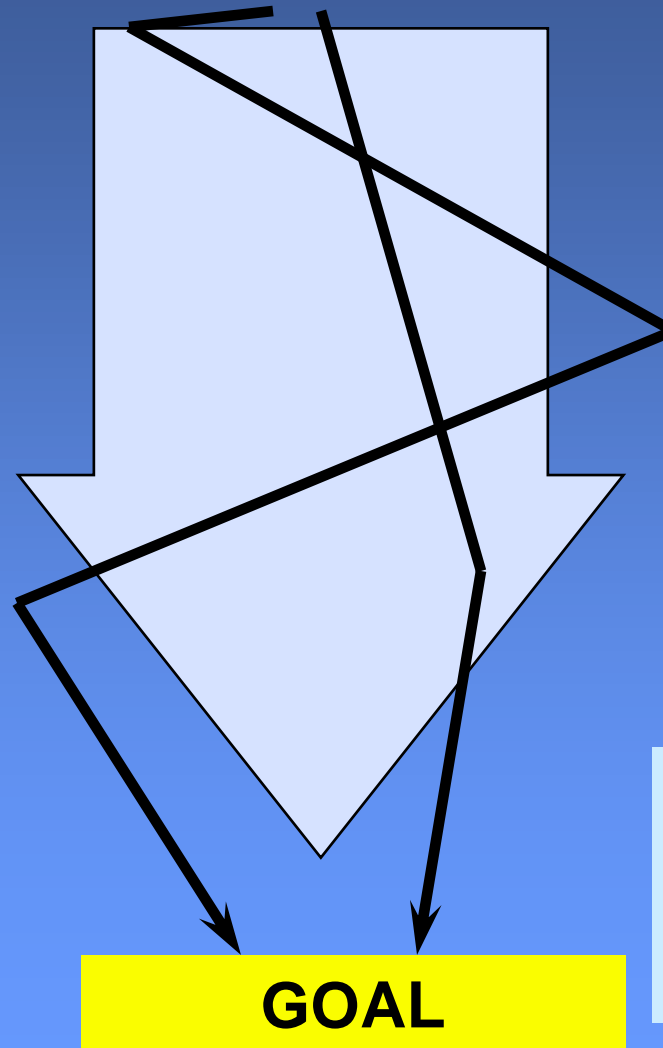
WHAT DO WE UNDERSTAND FOR STRATEGY ?

The method and way to accomplish goals and targets.

A set of tactics

A process through which planning and organizational objectives are defined.

A way to utilize the available means to achieve a determined end.

GOAL

2.

Action Planning: a bottom-up problem-solving oriented approach

Focusing on local problems.

AN APPROACH TO NEIGHBOURHOOD DEVELOPMENT PLANNING

TO BUILD LINKAGES

CENTRAL NEEDS

- *Policies*
- *Development Programme*
- *Strategies*

CONSENSUS

**PRIORITIES
&
COURSE OF ACTION**

*HUMAN SCALE
COMMUNITY BASED
LOCAL ORIENTED
NEIGHBOURHOOD*

LOCAL NEEDS

*PROGRAMS
&
PROJECTS*
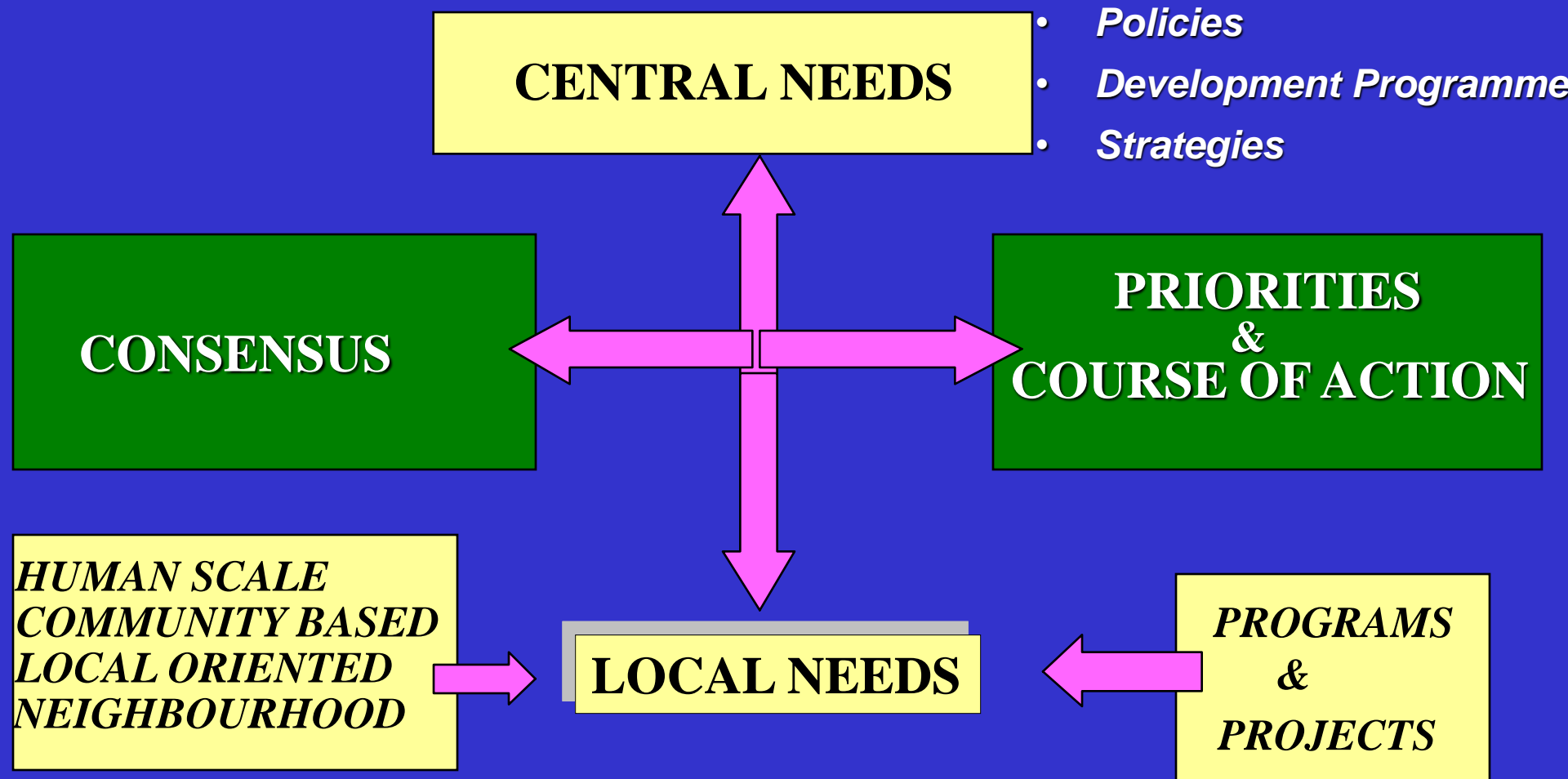
ACTION PLANNING

1. Problem

2. Legitimacy

3. Time bound

4. Resources bound

5. Learning

6. Solutions

7. Innovative

The Problem

focus

Objectives
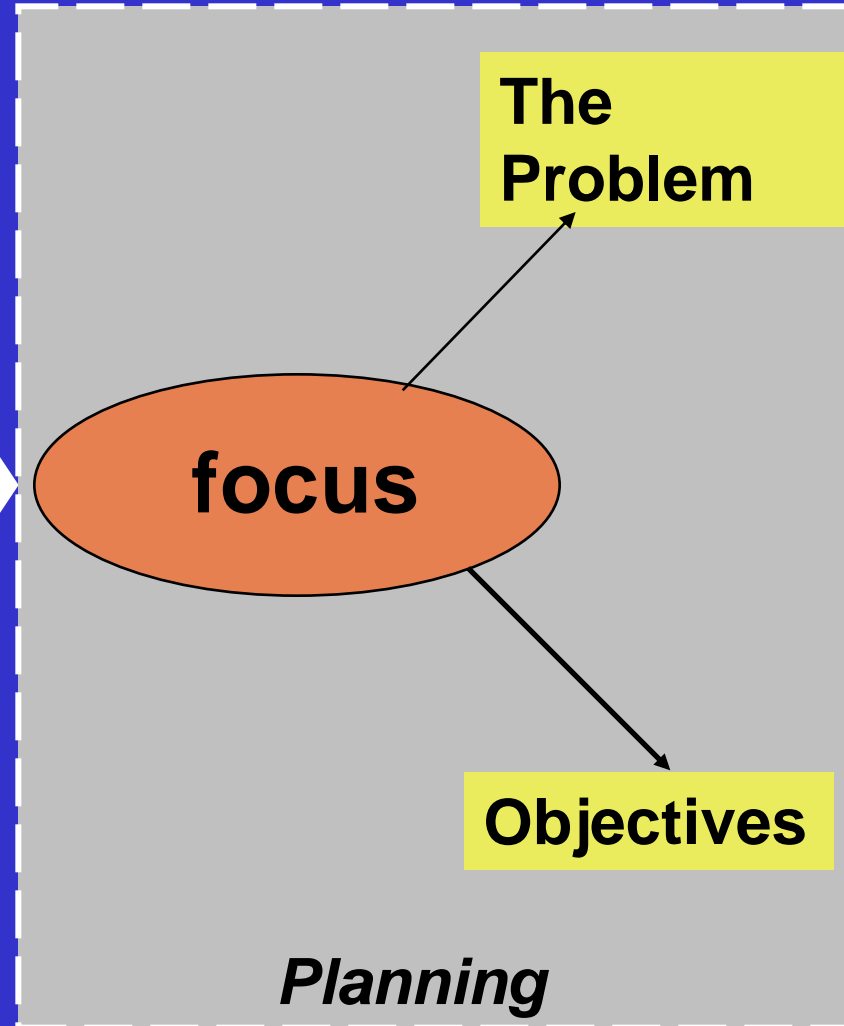
Planning

ACTION PLANNING
what is it?

1. Actions to approach the problem within limited period of **time**

2. Refers to a well defined area/site - **tangible!**

3. It is not a routine process - **innovative!**

4. Assumed by those involved - **legitimacy**

5. The problem is legitimately indentified - **who owns the problems!**

6. Refers to the existing **resources** and means in a realistic way

7. Those involved learn and **aprehend lessons** from the process itself

8. Emphasis on **people and institutions involved**

9. Selects questions and strategies in which atention is **focused**

3.

Surpassing limitations of our conventional thinking.

The way forward: from conventional-statutory-comprehensive planning to flexible and strategic planning.

CONVENTIONAL / ANALYTICAL PLANNING PROCESS
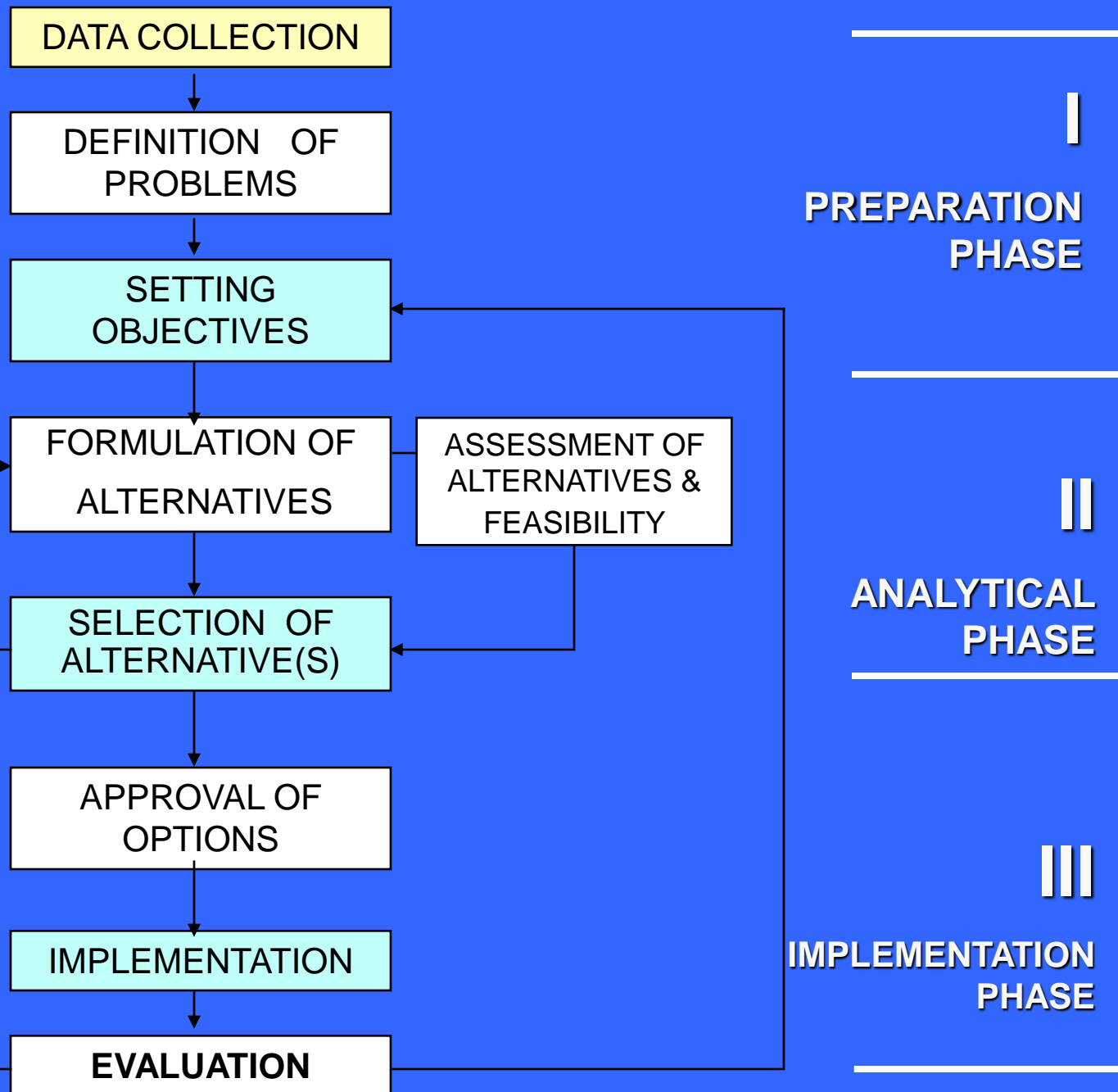
DATA COLLECTION

↓

DEFINITION OF PROBLEMS

↓

SETTING OBJECTIVES

↓

FORMULATION OF ALTERNATIVES → ASSESSMENT OF ALTERNATIVES & FEASIBILITY

↓

EVALUATION → SELECTION OF ALTERNATIVE(S)

↓

APPROVAL OF OPTIONS

↓

IMPLEMENTATION

↓

EVALUATION

I

PREPARATION PHASE

II

ANALYTICAL PHASE

III

IMPLEMENTATION PHASE

Goals

Policies

Programs
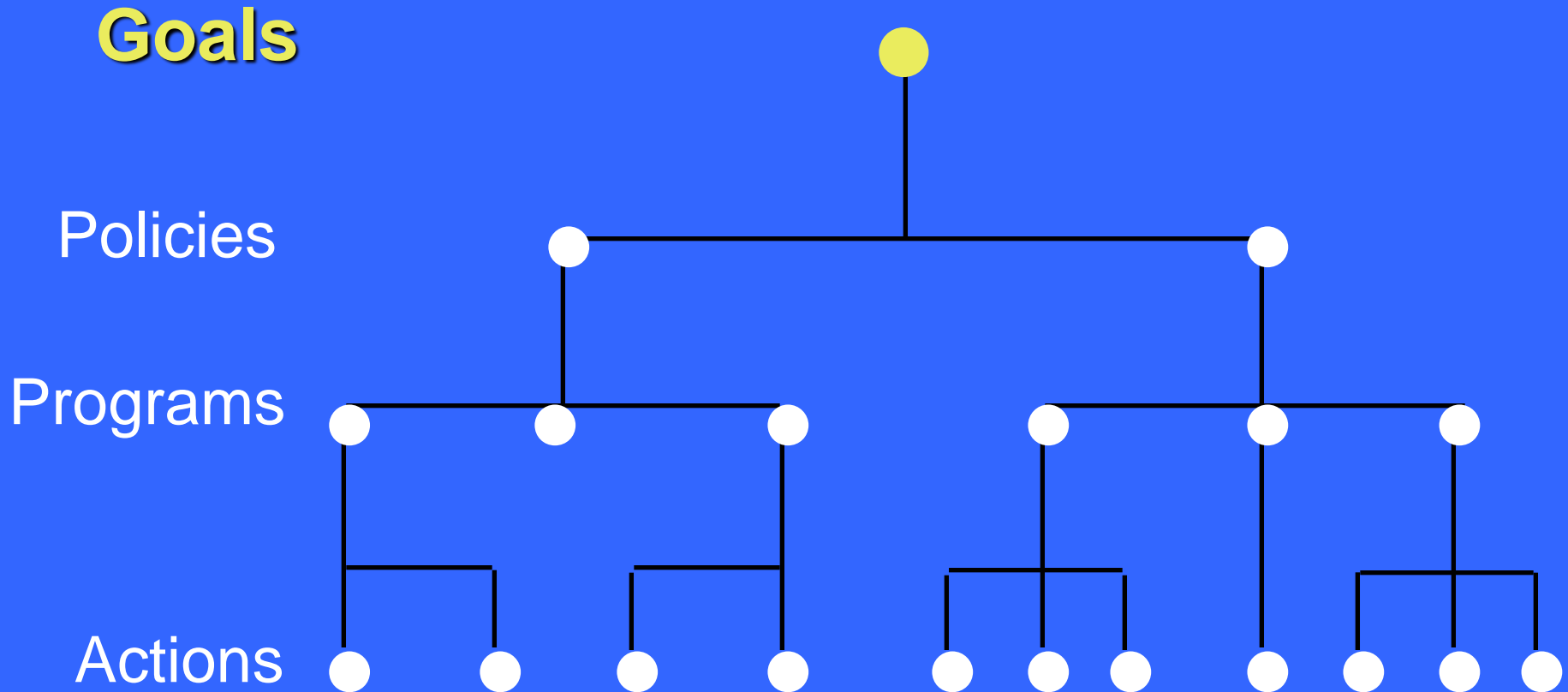
Actions

Planning Process

Action Planning   X   Conventional Planning

Action Planning

SWOT   **Problems**   SWOT

Institutions & Stakeholders

Goals & Objectives

Resources

Data Collection   **Potential Actions**

Appraise & Prioritize

Implement

Monitor & Evaluate

Conventional Planning

Data Collection

Analysis

Develop Alternatives

Appraise & Prioritise

Prepare Plan

Ideas Opportunity Problems

VISION MACHINE

STRATEGY MACHINE

PRACTICAL ACTION PLAN CREATOR

Action Plan

Business Plan
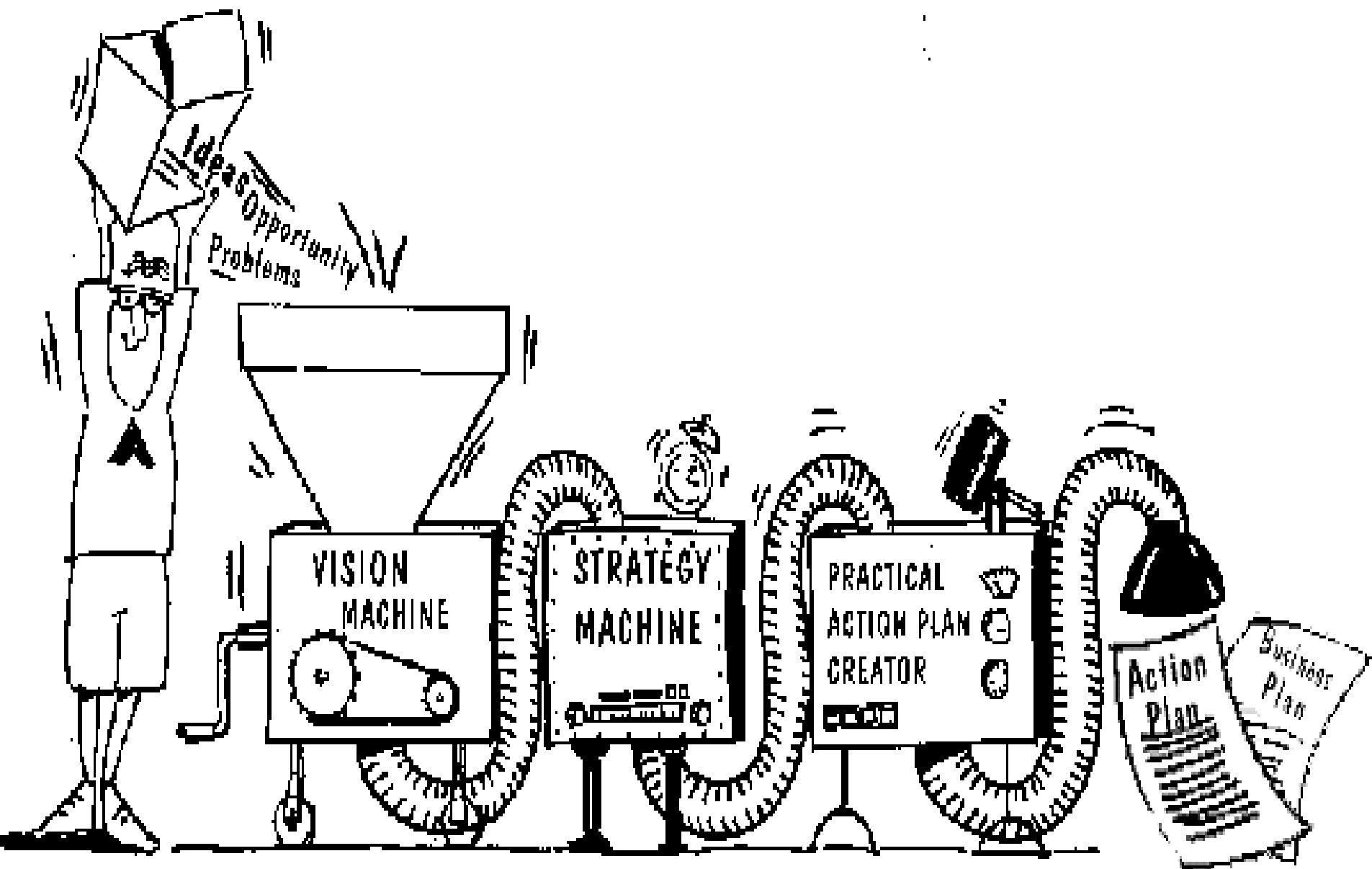
Process to develop action plan

SWOT ANALISIS

Identify problems

Set and analyse objective

Force-field analysis

Develop Options

Analyze impact/prioritize

Choose/decide

Plan action

Communicate, get support

Implement

Operate & maintain

Monitor & Evaluate

Ongoing revision

Claudio Acioly Jr. / IHS
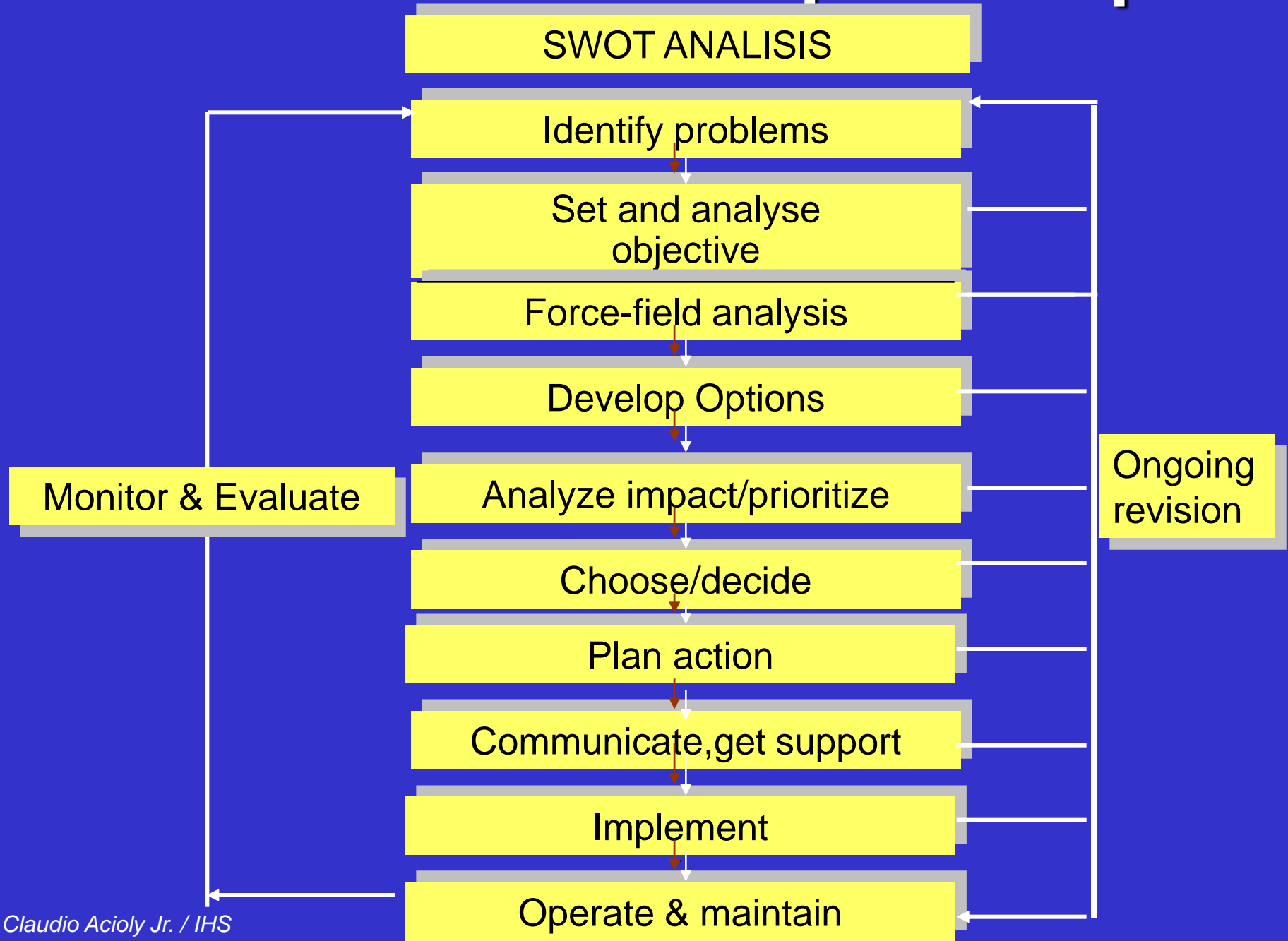
PRESCRIPTIVE ACTION

rather than

PRESCRIPTIVE PLANNING

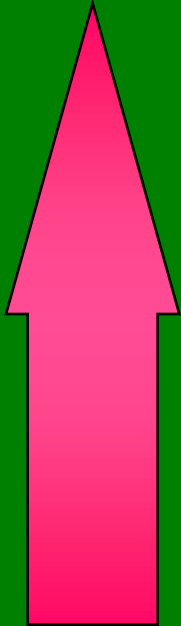AN OPERATIONAL MODEL

to support the planning and design approach
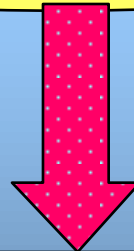
GENERATION OF ALTERNATIVES

A FRAMEWORK OF ACTION

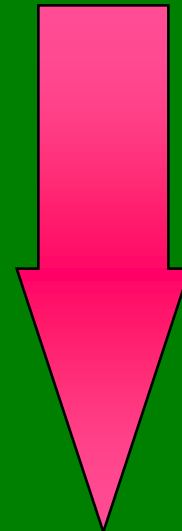**BOTTOM-UP**

**POLICY
AND
PROGRAM LEVEL**

COORDINATION
MANAGEMENT

PROBLEM SOLVING

**PROJECT
AND
GRASSROOTS LEVEL**

TOP-DOWN
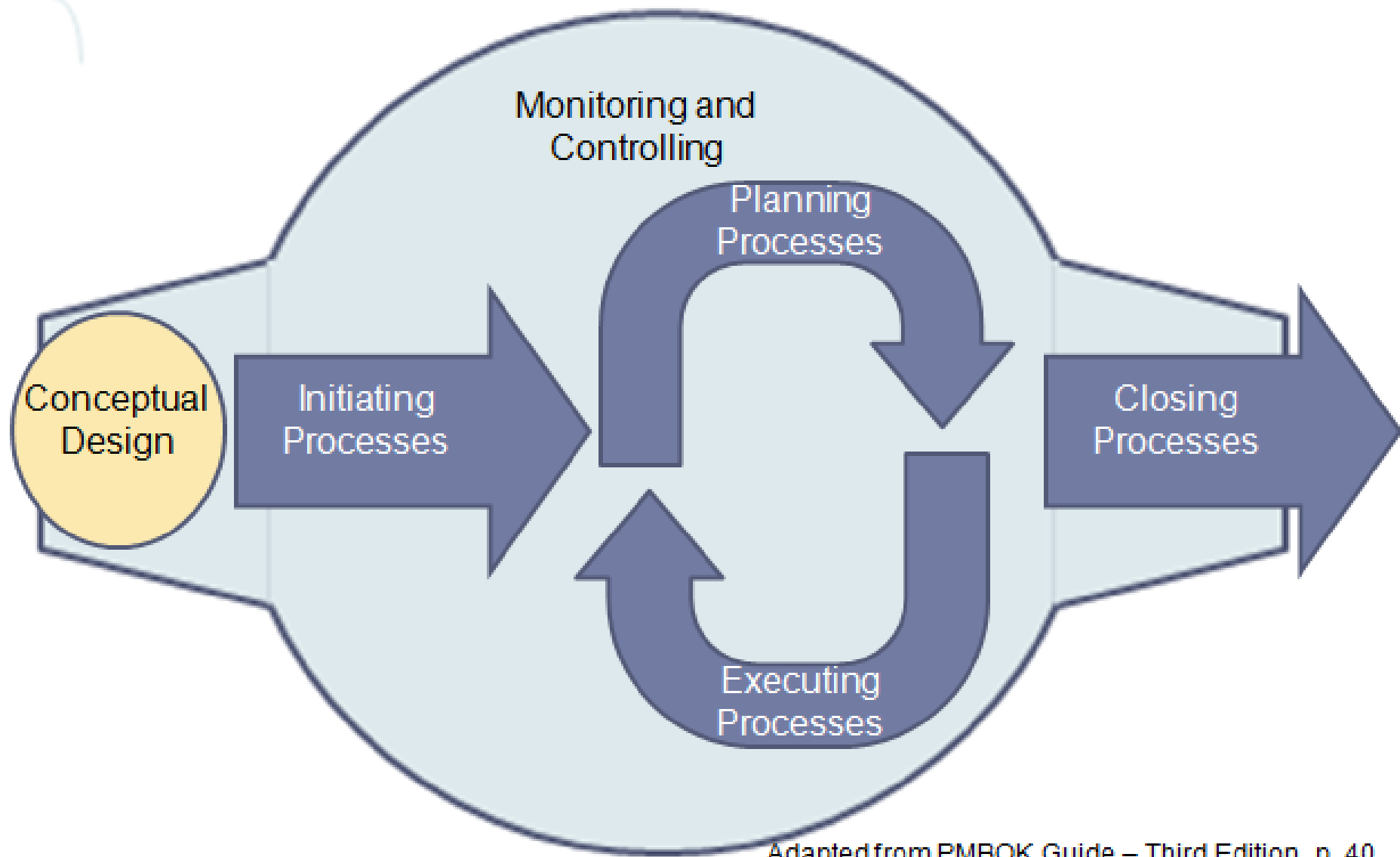
Red Cross Project Cycle

Project Design Cycle

Final Evaluation
Dissemination
Application of Lessons
Learned

Needs
Assessment
&
Stakeholder
Analysis

Problem
Analysis

Selecting
Project
Interventions

Design
Framework:
Logframe/Results Framework
Includes M&E

Proposal
Writing

Project Implementation,
Monitoring & Management
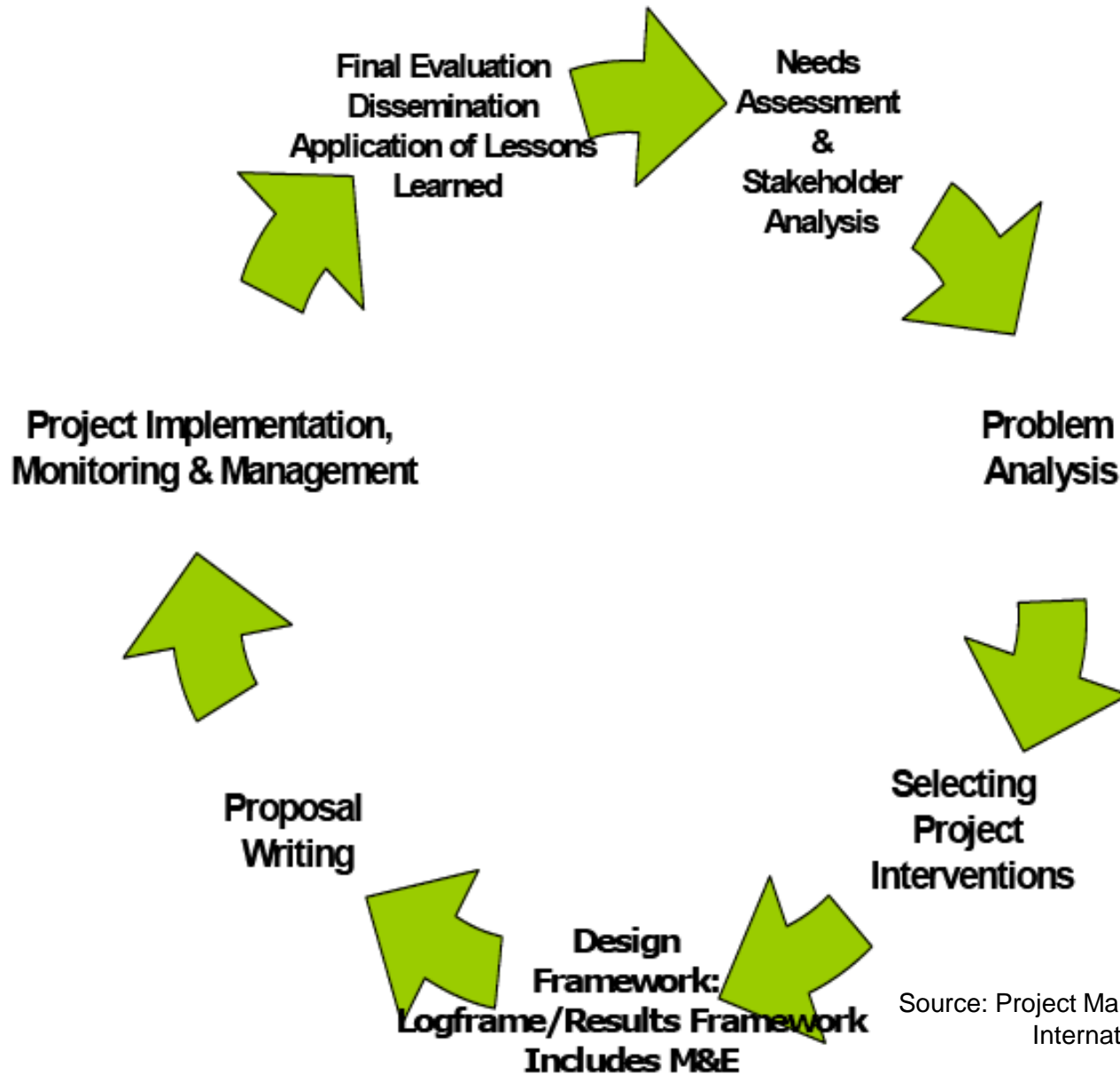
Source: Project Management Institute and the
International Institute for Learning,

Assessments versus Analysis

Assessment

Analysis

Idea for a Project
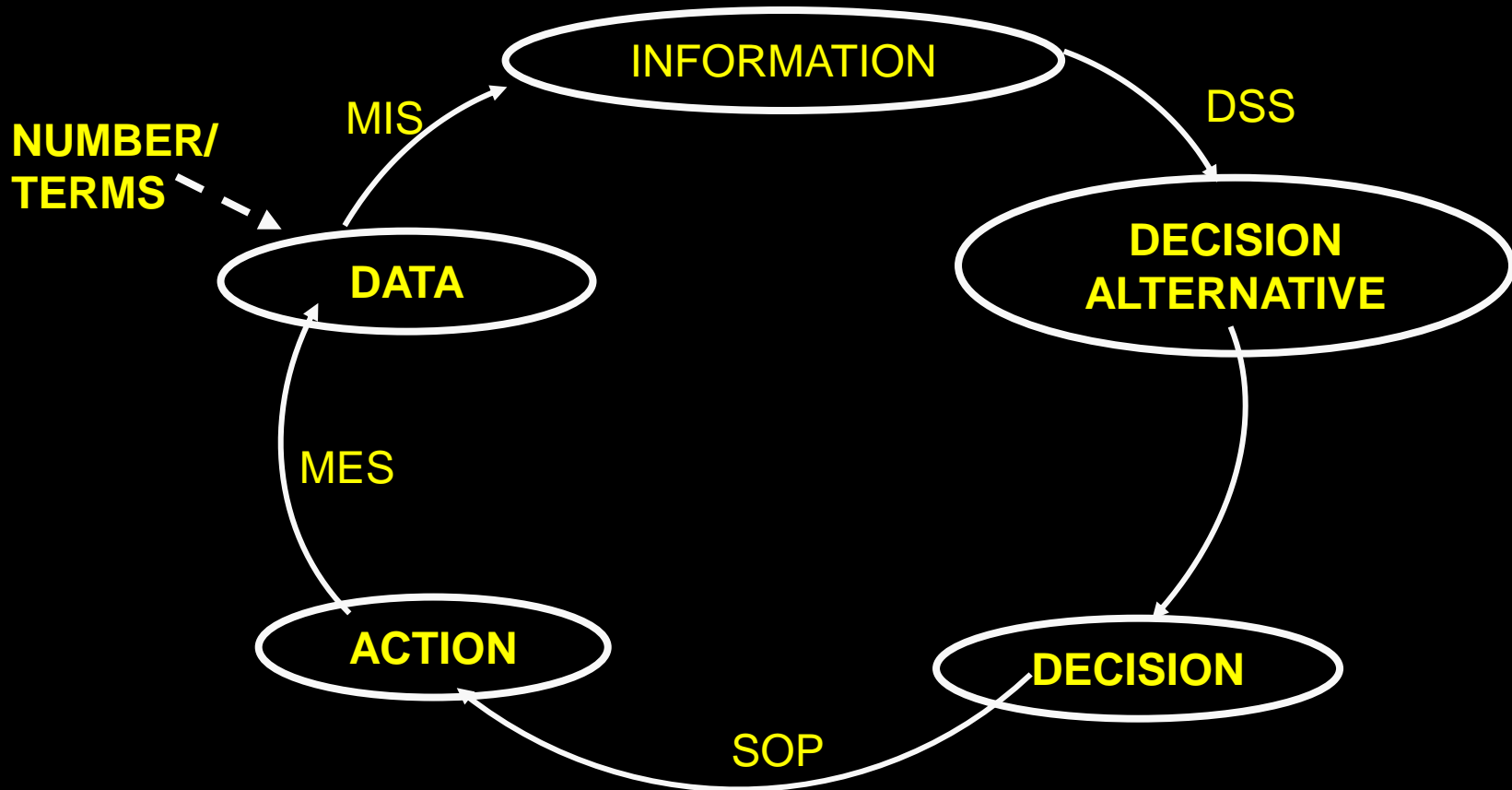
Note : MIS : Management Information System
DSS : Decision Support System
SOP : Standard Operation Procedure
MES : Monitoring and Evaluation System
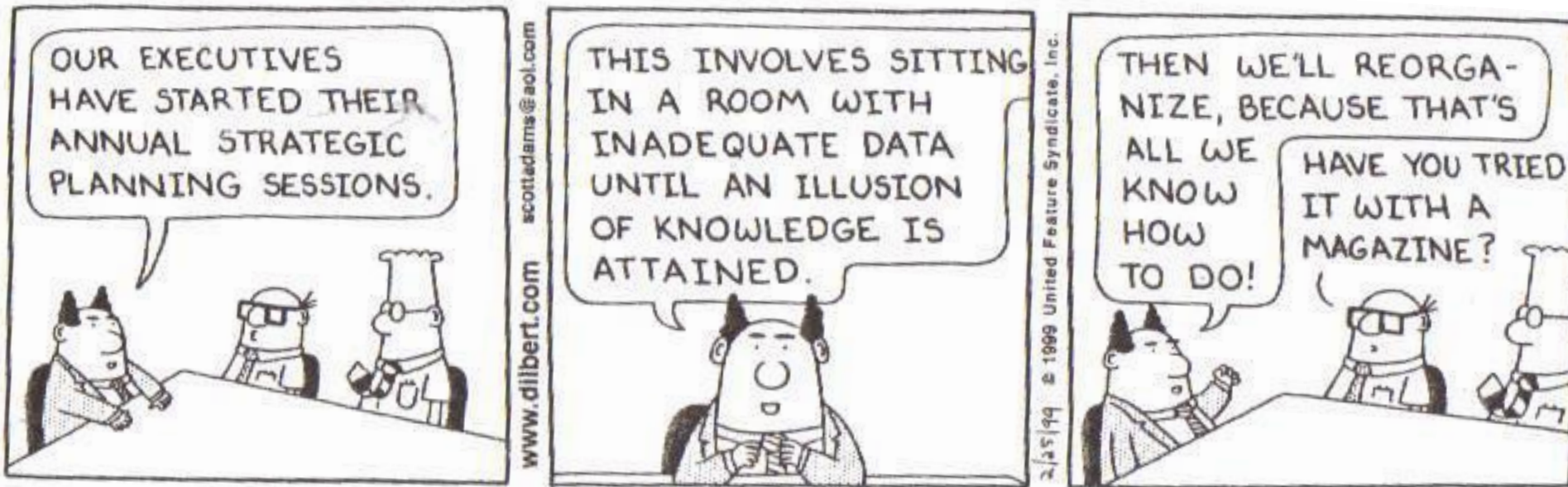
Source: Strategic Planning & Community Strategy Mapping for Public Health Systems & Agencies, Jack Moran, Public Health Foundation, Paul Epstein, Results That Matter Team

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4.

Situation auditing: an institutional x-ray

Disclosing bottlenecks, actors, opportunities and threats in the local development arena.

ACTION PLANNING

Technique 1: SWOT ANALYSIS

Development Scenario

- It helps defining the development scenario.

- The development scenario guarantees that actions designed by a short-term plan are not implemented in isolation but interconnected with future actions planed under the guidance of a medium-term strategic plan.

ACTION PLANNING

Technique 1: SWOT ANALYSIS
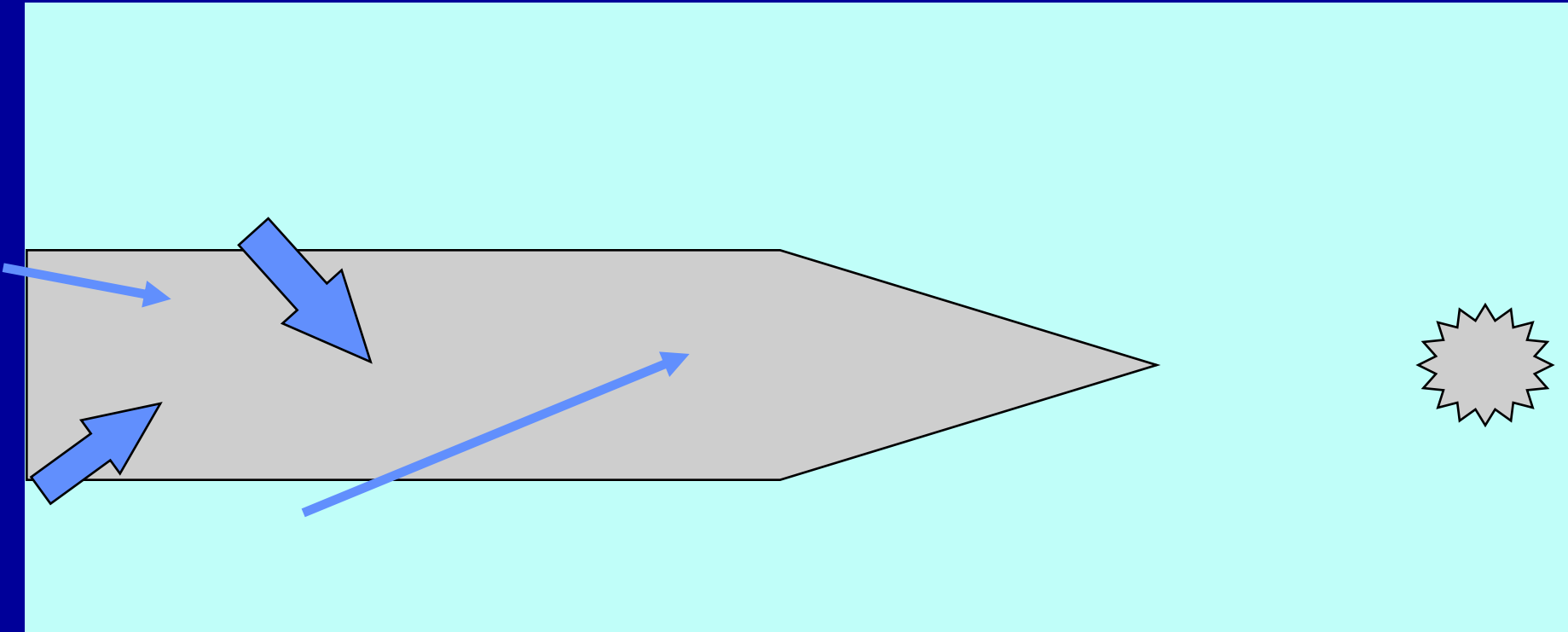
actions designed by a short-term plan are not implemented in isolation but interconnected with future actions planed under the guidance of a medium-term strategic plan.

ACTION PLANNING

Technique 1: SWOT ANALYSIS
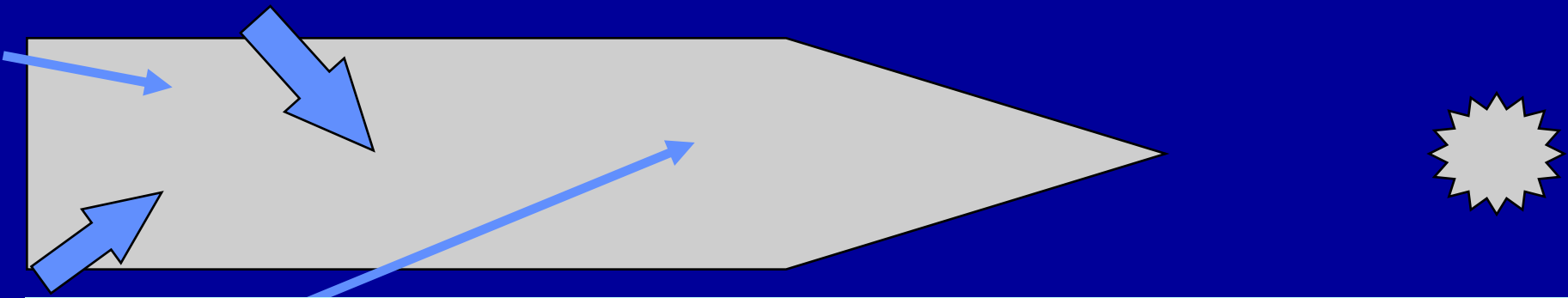
- Impact of future and present trends

- Review of main areas/questions

- Analysis of the linkages between the decision areas

ACTION PLANNING

Technique 1: SWOT ANALYSIS

•**A technique largely utilized to formulate important questions on which planning takes place**

•**Nothing sophisticated, only asking and responding to fundamental and sometimes difficult questions**

•**Awareness about the Weaknesses and Strengths of the organization**

•**Awareness about the Opportunities and Threats external do the organization but influencing it.**

Technique 1: SWOT ANALYSIS

Internal Context

OPPORTUNITIES

strength

weakness

THREATS
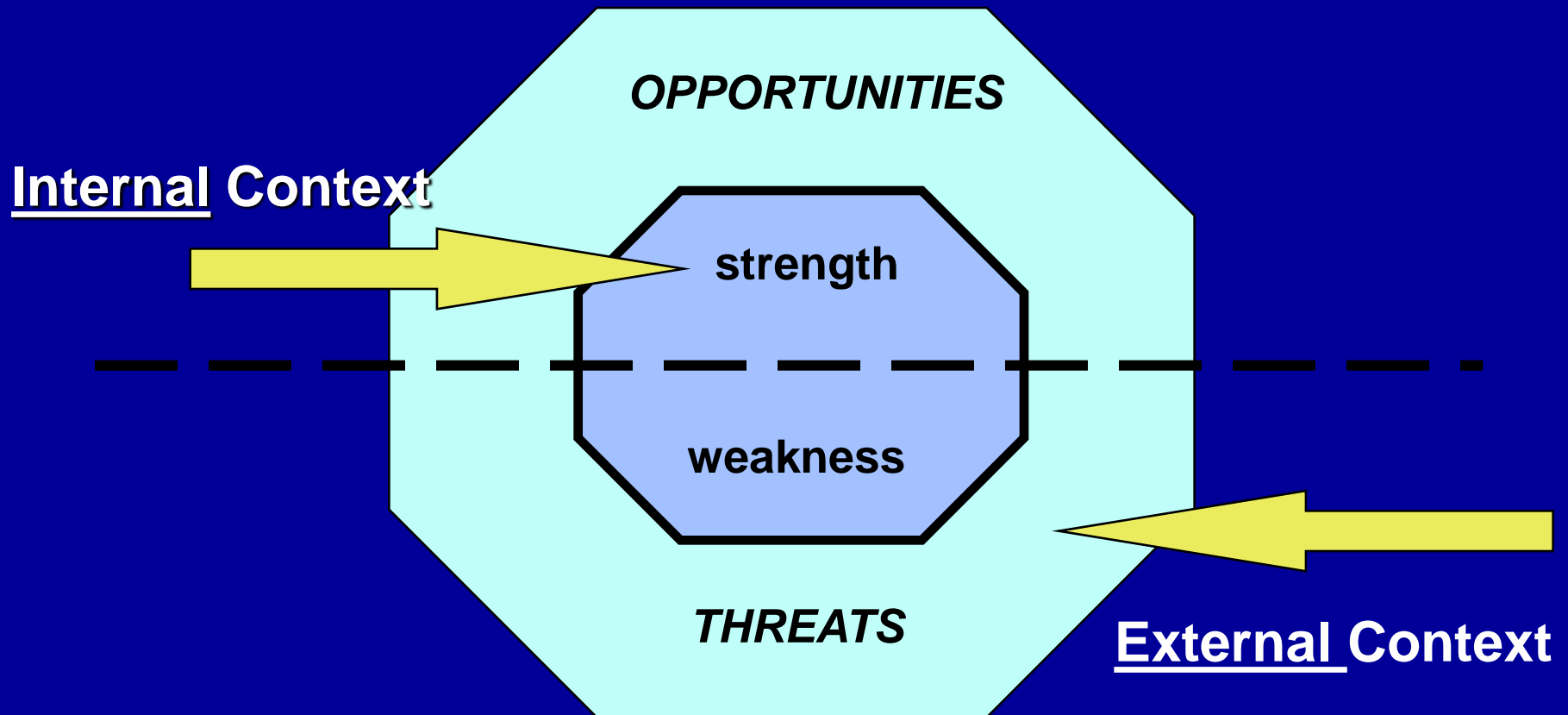
External Context

Both environments - internal and external - must be assessed as a context for planning

Stakeholders Mapping & Analysis

People, individuals, institutions, enterprise or government bodies

Relationship with Problem	Relationship with Solution

Relationship with Project

Different roles & responsibilities

Access to & control over resources

Different part in decision making

Different areas & sectors of activity

Analysis Tools

Type of Analysis	Illustrative Tool
Stakeholder Analysis	**Venn Diagrams, RASIC Charts** **Stakeholder Analysis Matrix** **SWOT Analysis, Spider Diagrams**
Problem Analysis	**Problem Trees** **Force Field Analysis** **Mapping**
Objectives Analysis	**Objective Trees**
Alternatives Analysis	**Organize and Analyze information**

What is a Stakeholder?

STAKEHOLDERS - Individuals or institutions that may – directly or indirectly, positively or negatively – affect or be affected by the project or program.

Mapping Stakeholder Relationships

Beneficiaries

Those who benefit in whatever way from the implementation of the project. Distinction may be made between target groups; final beneficiaries and indirect beneficiaries.

Stakeholders

Project Partners

Individuals or institutions that may – directly or indirectly, positively or negatively – affect or be affected by the project or program.

Those who implement the projects (who are also stakeholders, and may be a target group.)

Building a Stakeholder Venn Diagram
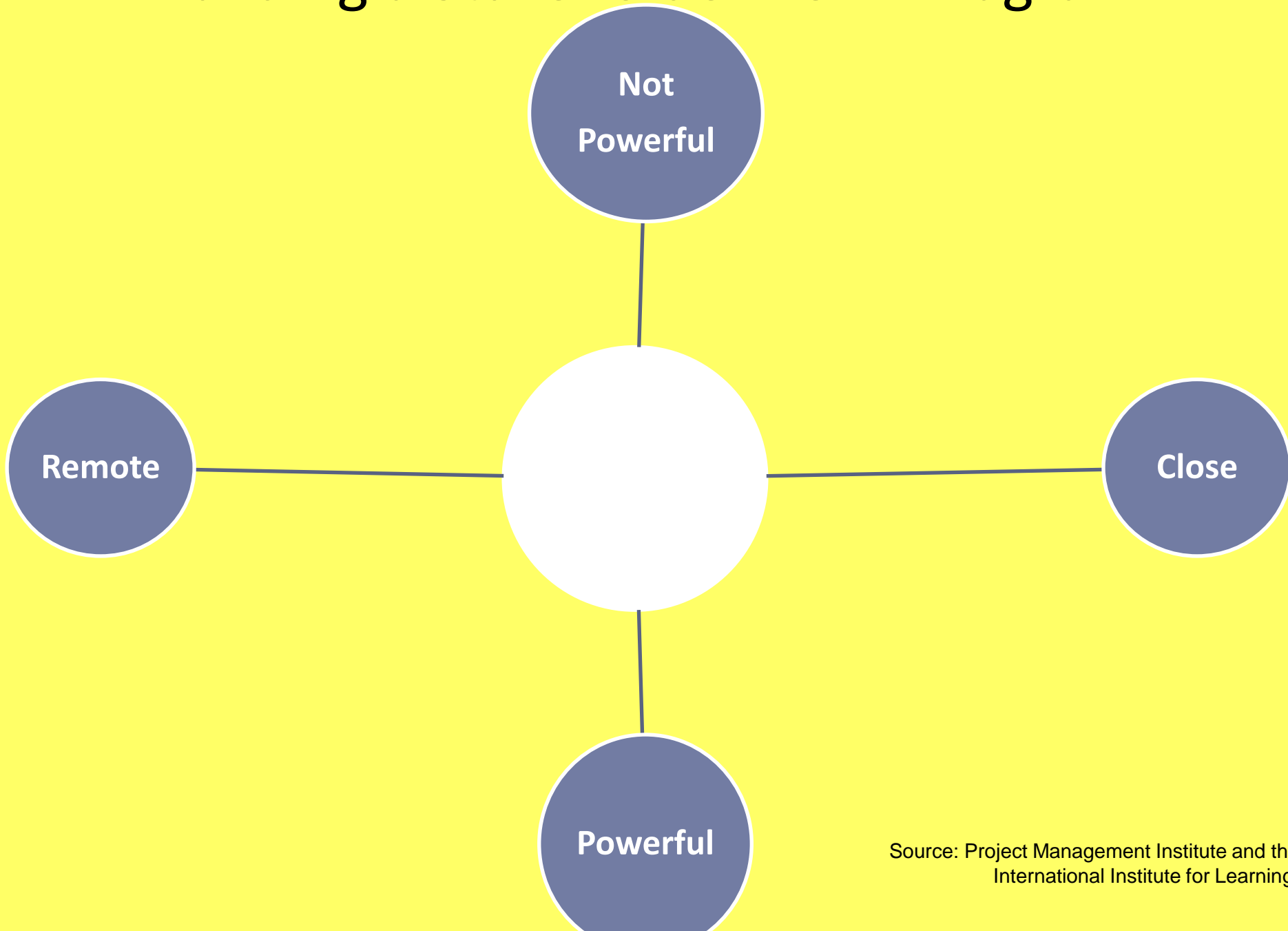
Stakeholder Analysis Matrix

Stakeholder and basic characteristics	Interests and how affected by the problem	Capacity and motivation to bring about change	Possible actions to address stakeholder interests

5.

Unveiling the problem and its ramifications

Searching for the real causes.

ACTION PLANNING

Technique 2: Problem Analysis

SWOT

SWOT

RELATIONSHIPS

PROBLEMS **OBJECTIVES** **GOALS**

The Need to Focus !

ACTION

ACTION PLANNING

Technique 2: Problem Analysis

RELATIONSHIP PROBLEMS-OBJECTIVES-GOALS

1. **GOAL** relates with the mission of the organization what it must accomplish

2. **PROBLEMS** mean something is wrong abstructing the objectives to be accomplished - they are within its scope of action - defined as the legitimacy of the problem area. The organization owns the problem!

3. Analysis of the **PROBLEM or OPPORTUNITY** must be understood as the foundation of the planning process

4. To think seriously at this stage allows the opening of lines of action potentially efficient

5. At this stage, not easy to maitain separated the potential solutions from the problem definition **BUT IT IS ESSENTIAL TO DO SO!**

ACTION PLANNING

Technique 2: SELECTION OF THE "FOCUS"

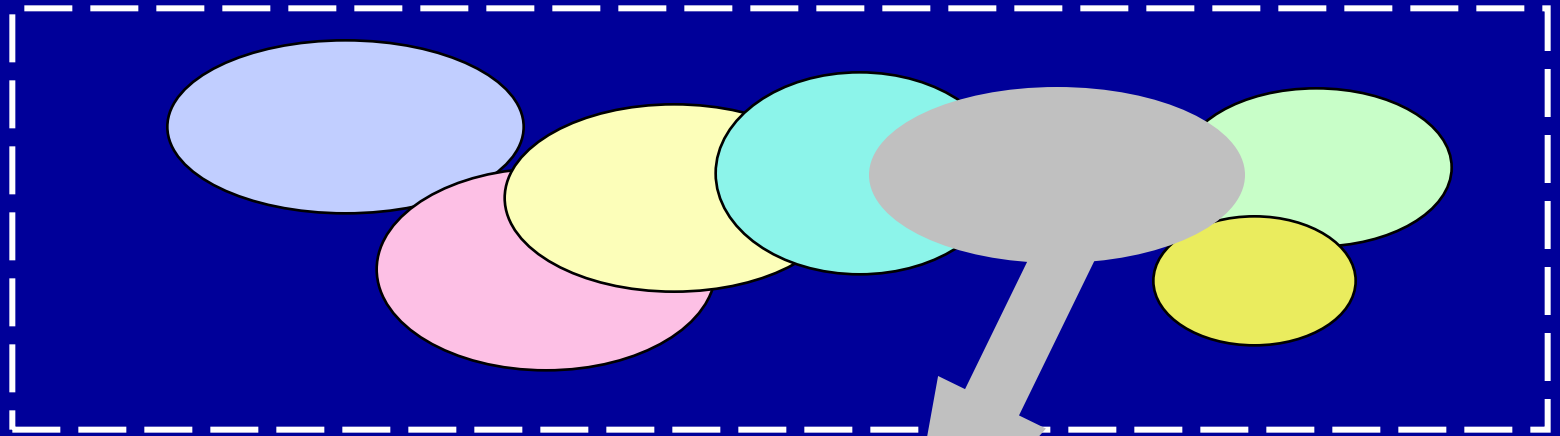- Necessity to select a PROBLEM in which to concentrate the attention - the FOCUS

- Important to limit the PROBLEMATIC AREAS with criteria

- Possible to achieve that through a participatory city consultation - the SCP approach

- A question can be a PROBLEM or an OPPORTUNITY

HOW?

ACTION PLANNING

Technique 2: Problem Analysis

A systematic method to define the problem

The Focus

The Complexities

ACTION PLANNING

Technique 2 : Problem Analysis & the Problem Tree

WHAT is the problem ? → **WHY** is it a problem? → **Whose** problem is that ?

The WWWWWH questions !

Is it a **problem** or a **syntom** of the problem, or a **solution**? ← **When** is it a problem? ← **Where** is it a problem ?
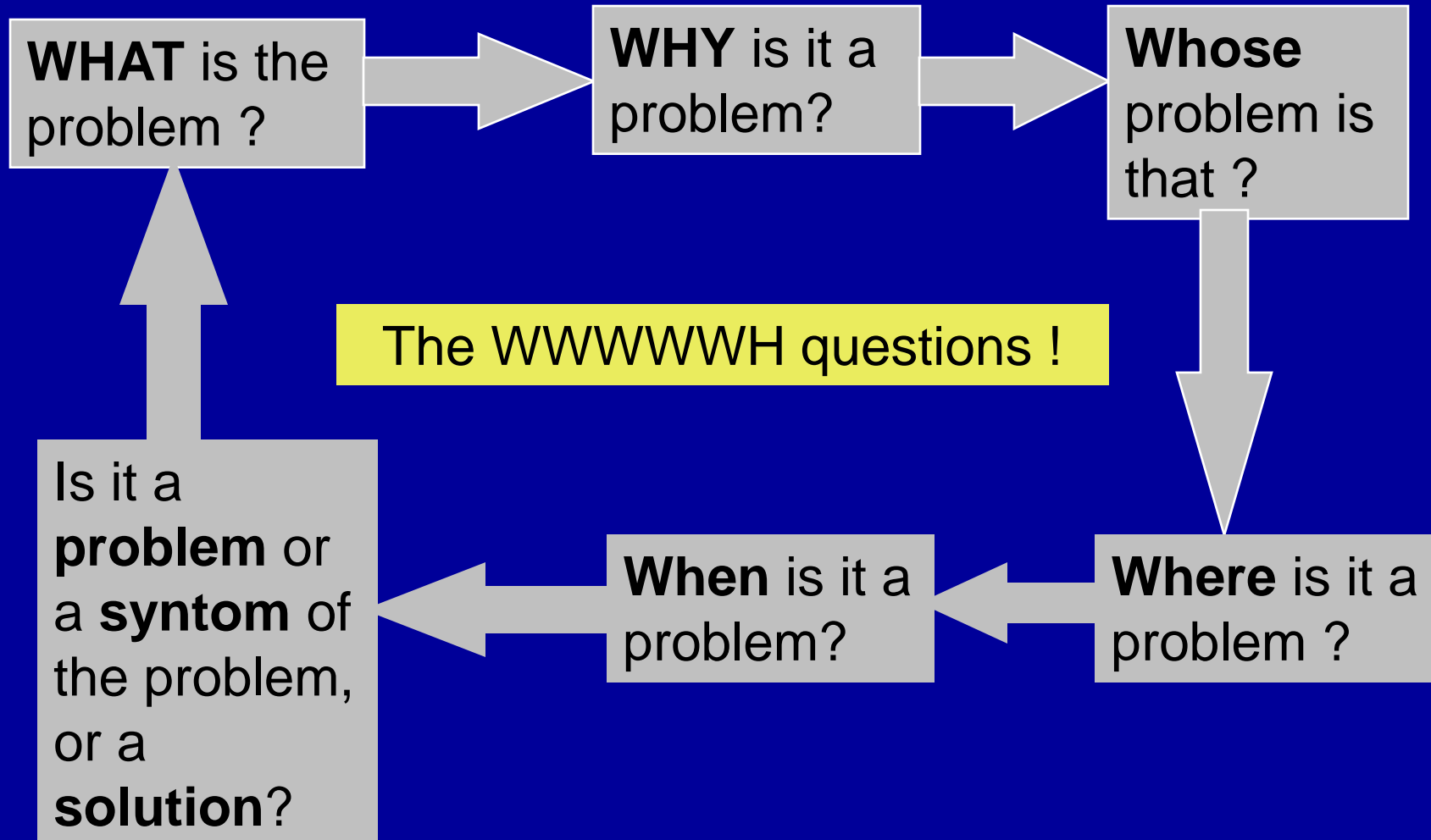
Relations between problems

The Problem Tree

Effects   **Effects**   **Effects**   **Effects**

Effects   **Effects**   **Effects**

Core Problem

Roots or Causes   Roots or Causes   Roots or Causes   Roots or Causes   Roots or Causes

Roots or Causes   Roots or Causes   Roots or Causes
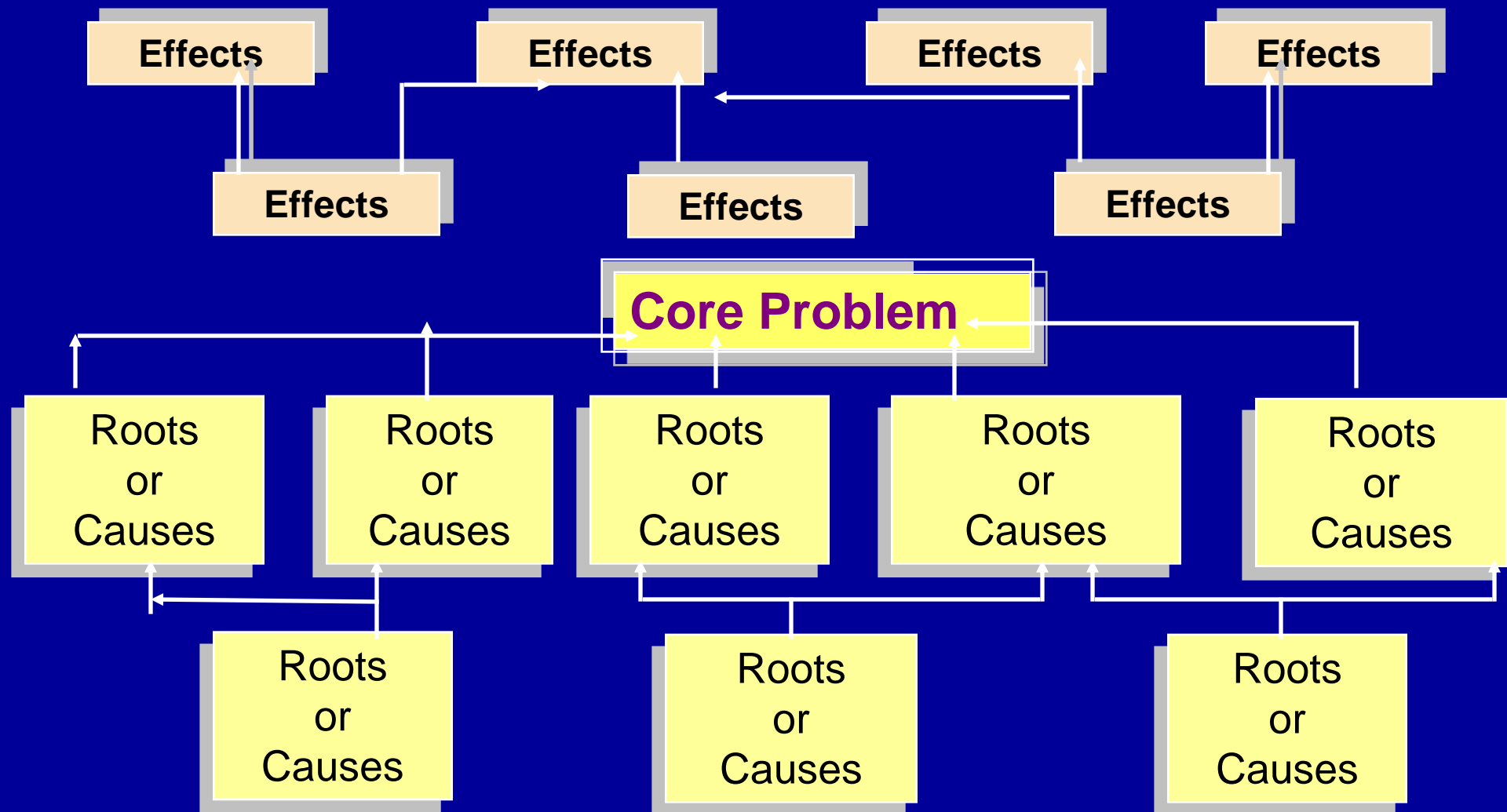
Examples:

Problem Tree Analysis

Ethiopia, Philippines, Vietnam

The BUS Example

Effects

Loss of confidence in bus company

| Passengers hurt or killed | | People are late |

Core problem

Frequent bus accidents

| Drivers not careful enough | Bad Conditions of vehicles | Bad road conditions |

Causes

| Vehicles too old | | No ongoing maintenance |

ACTION PLANNING

Technique: Analysis of the Problem Tree
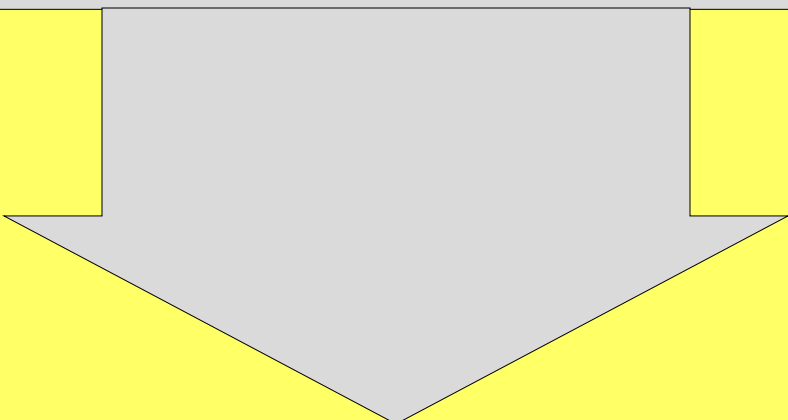
CONSEQUENCES

effects
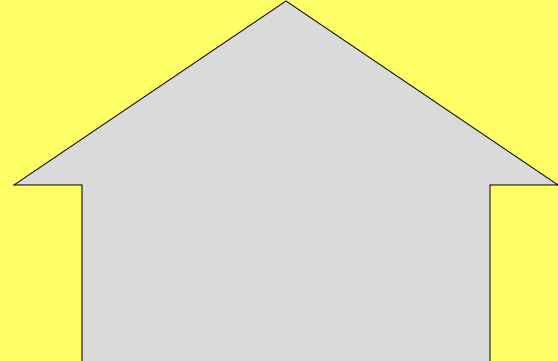
PROBLEM

causes

CAUSES

ACTION PLANNING
Technique 2: Analysis of the Problem Tree

- A good analysis of the problem(s) establishes the basis for an efficient planning

- It is worth spending time in the analysis of the problem(s) since it usually leads to creative and innovative actions

- The analysis of the problem or opportunity is not easy to realize because it requires changes in the way of thinking

- Do not throw up solutions, they will be develop further on during the process

ACTION PLANNING

Technique 2: Analysis of the Problem Tree
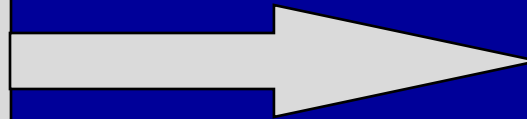
•Difficulties to DEFINE what is really THE problem and thereafter THE objectives, and later to discover what is the crux of the matter !

•What causes this and what are the effects originated from this?

Individually, note the problems in separated sheets and organize them in a logic sequence.

Discuss with the members of the team.
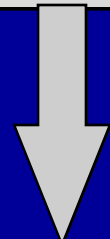
Plenary session to debate the results of the teams - similarities and differences.

Why to spend time on Defining THE problem & Set THE objective?

1. Experience shows that project failure is associated with poorly defined problems it wants to resolve

2. Unclear and poorly defined objective is a guarantee for difficulties in project implementation

3. Unclear objective adversely affect project success

SUMMARY in preparing the project:

1 Problem Identification

2 Formulation of the Strategies to deal with the Problem

3 ree with the options, and choose the plans of actions!

4 Planing the Implementation
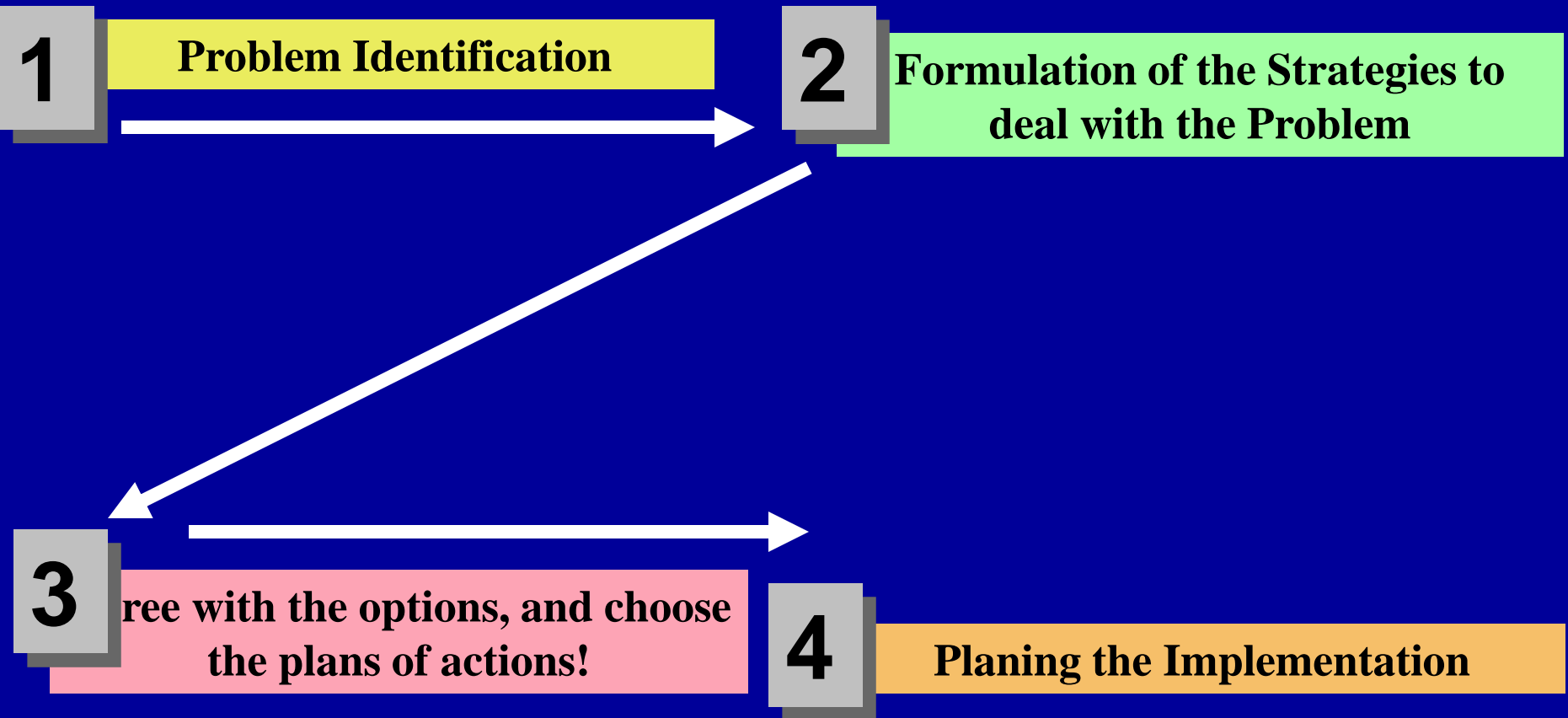
5.

Formulating the feasible target

Searching for a tangible and measurable objective.

ACTION PLANNING

Technique 3: Defining the Objective(s)

| Problem Identification | → | Output is the defined OBJECTIVE | → | Force Field Analysis to test the OBJECTIVE(s) |

SMART criteria

A way to develop clear objectives which will help to develop effective lines of action
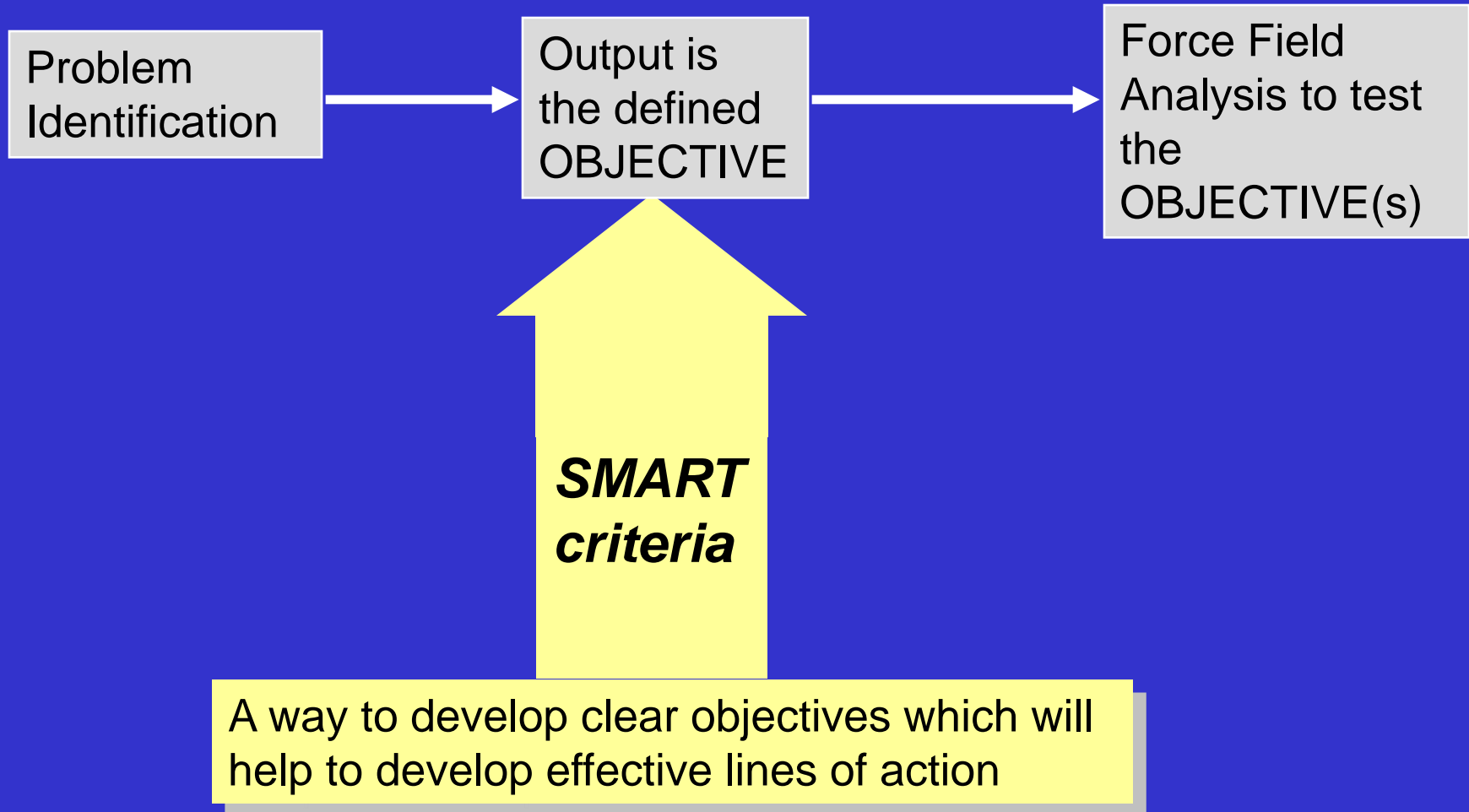
Steps for Action plan

It is better to have a smaller number of clear but achievable objectives than a large number that are not followed through.

ACTION PLANNING

Technique 3: Defining the Objective(s)

SMART criteria

- **S**pecific in place

- **M**easurable in performance / output terms

- **A**ttainable in view of your means and resources

- **R**ealistic in view of existing obstacles and chance of success

- **T**ime feasible to achieve concrete results within the development framework
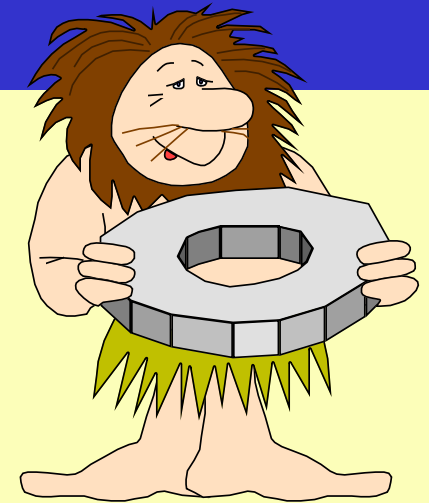
ACTION PLANNING

Technique 3: Defining the Objective(s)
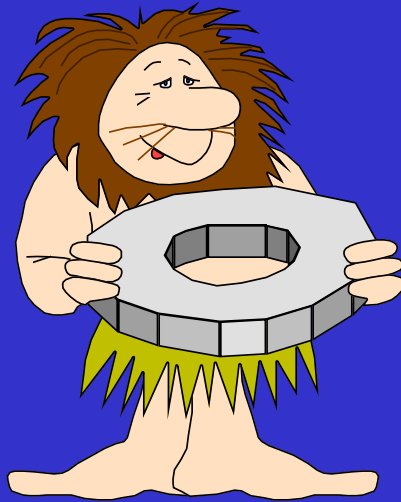
SMART objective

- **S**ustainable

- **M**anageable

- **A**ction oriented

- **R**eplicable

- **T**echnically feasible

How To Begin:

Focusing on the Future

Define the Current Horizon – where are we now?

	Preserve	Achieve	Avoid
Current Plan	Core Competencies	Success Factors	Mistakes Pitfalls
Next Year's Plan	• What do we carry over? • What do we leave behind? • What lessons did we learn? • What new approaches should we try? • Should we try for incremental or transformational change?		

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Strategic Plans Can Be Important Parts of Performance Management Systems

The **Plan-Do-Check-Act** (PDCA) model of QI can also be the basis for an organization's performance management system, as in the City of Austin's approach to "Managing for Results"

Source: Jack Moran, Paul Epstein, *www.RTMteam.net*

Power of Strategic Alignment from Balanced Scorecards, Primarily from Strategy Maps

Strategy Maps and BSC to improve the Alignment and Execution of Strategies

No Strategic Alignment

Execution Gap

High Level Goals

Health Dept

Other Public Agencies

Hospitals

Nonprofits

Public Health Outcomes

Schools

Community Groups

Faith Communities

Families & Individuals

Is this your organization?

6.

Analysing the various forces & phenomena that may strengthen or block my actions

Understanding existing forces in the local development scenario.

ACTION PLANNING

Technique 4: Force Field Analysis

DRIVING FORCES	RESTRAINING FORCES

Political Will → ← Low salaries

Policy in Place → ← No planning framework

Financial Resources → ← Lack of experience

Organized Communities → ← Divergent interests among public agencies

Coordination institutionalized → ← Low motivation of staff
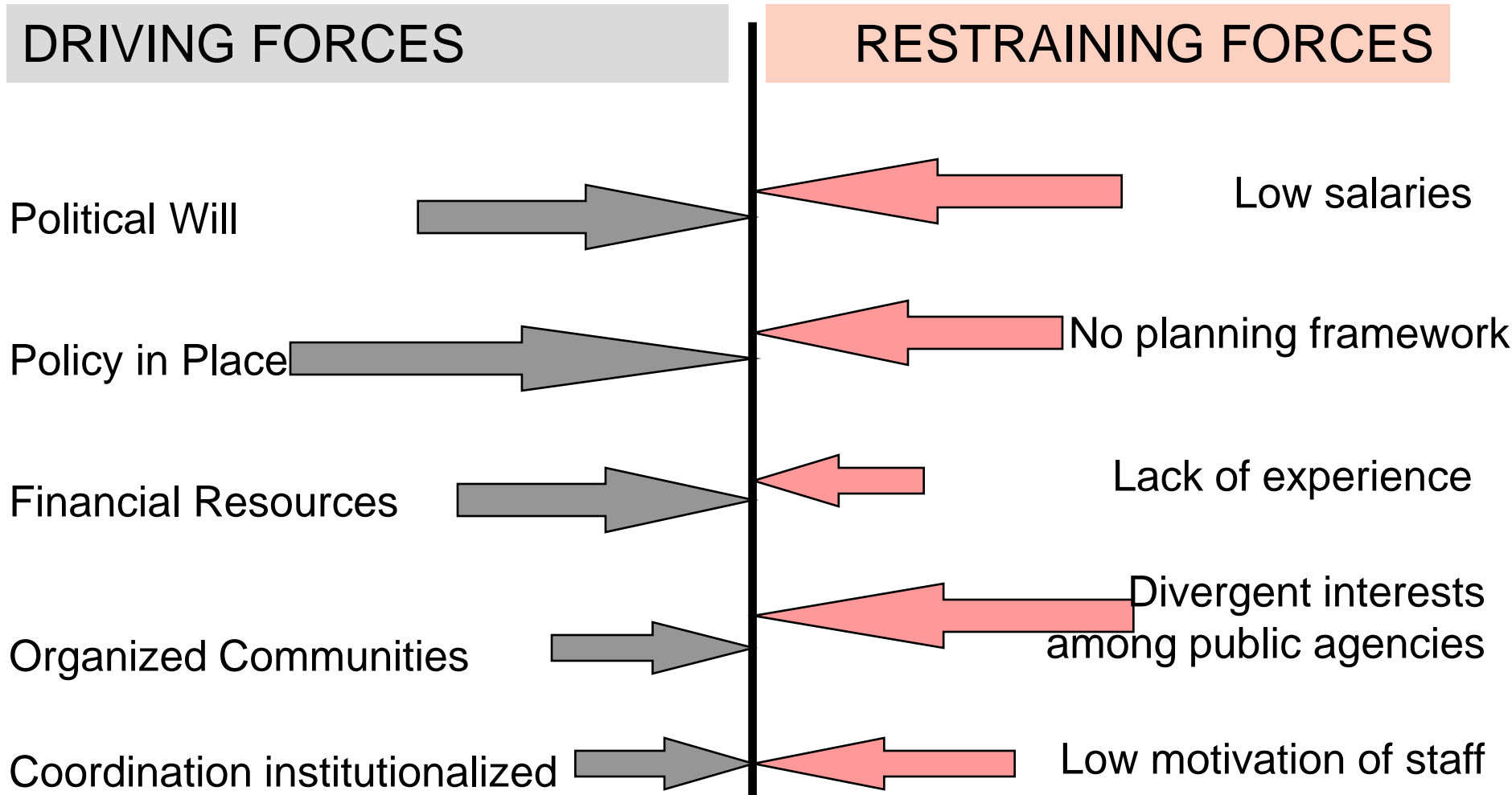
ACTION PLANNING

Technique 4: Force Field Analysis

FILTERING THE FORCES

DRIVING FORCES	RESTRAINING FORCES

Policy in Place ➜ | ⬅ No planning framework

⬅ Lack of experience

Organised Communities ➜ | ⬅ Divergent interests among public agencies

Co-ordination institutionalised ➜ | ⬅ Low motivation of staff
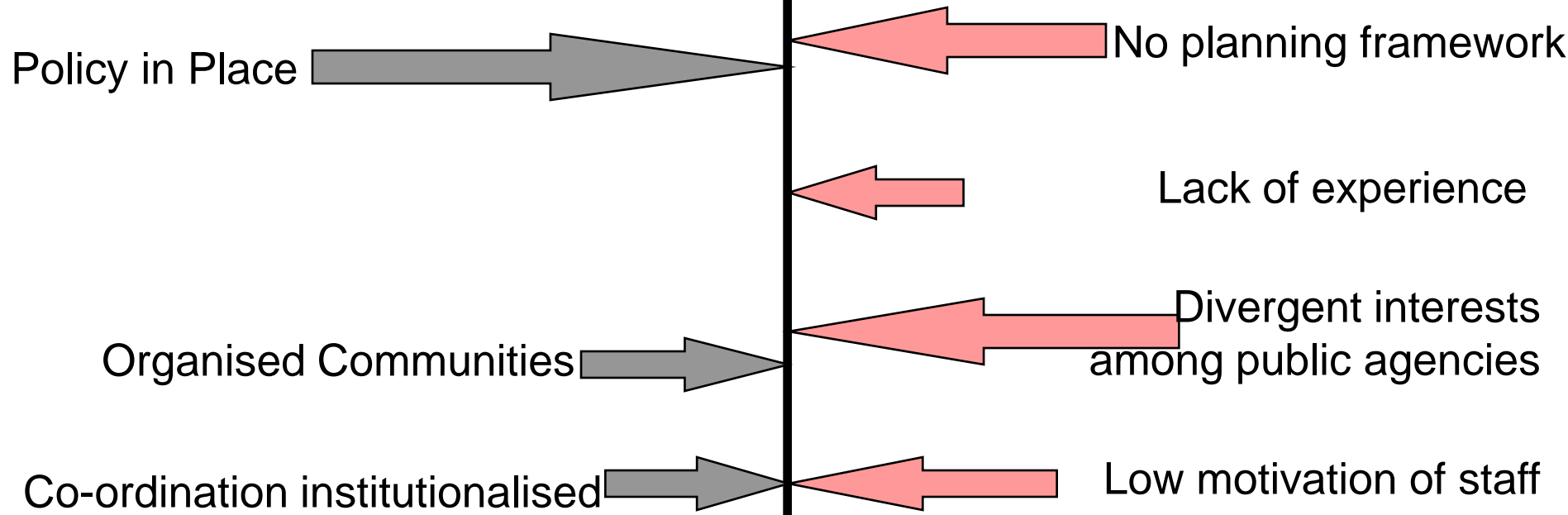
Setting Implementation Priorities
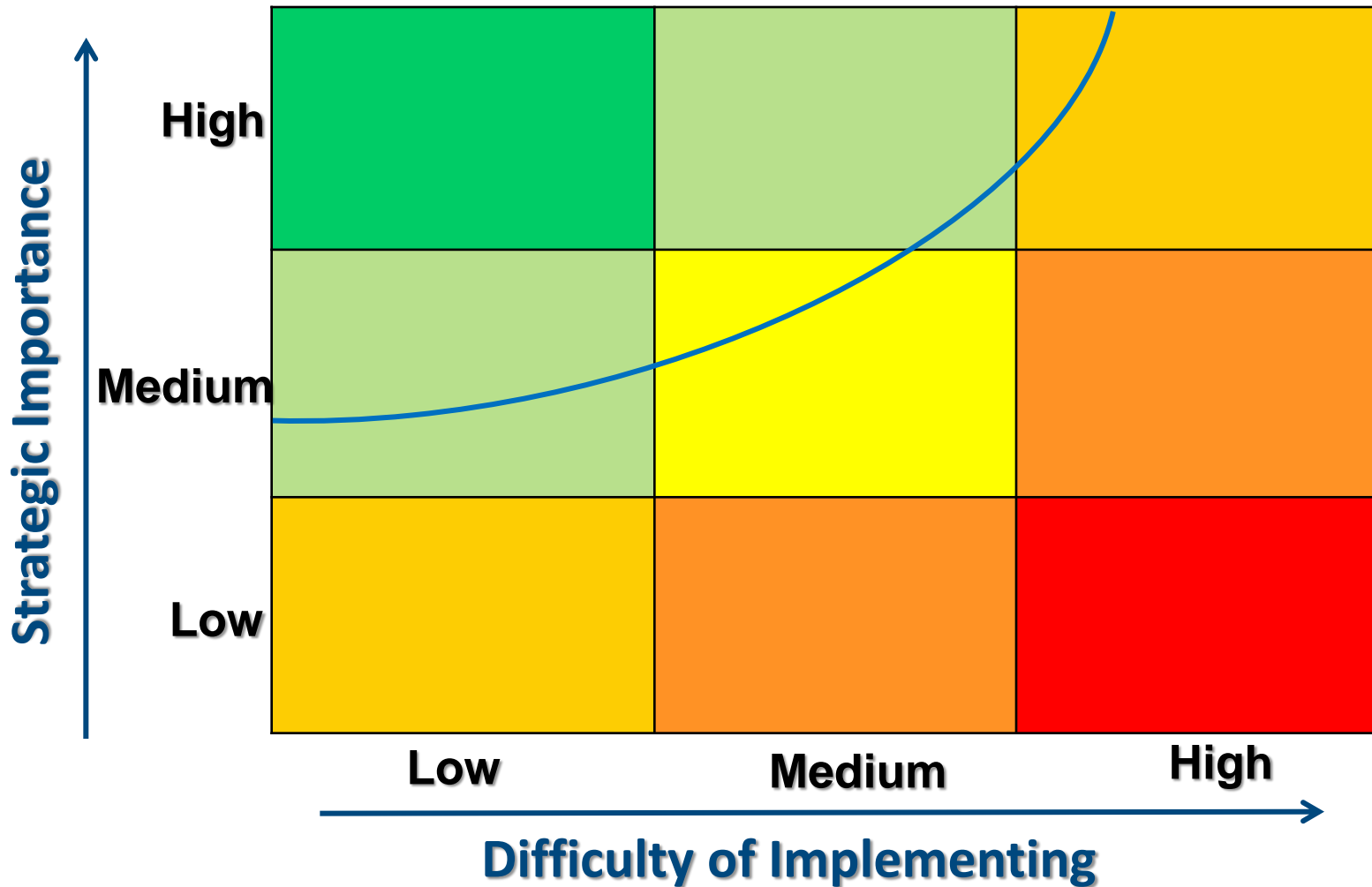
Analytical Phase

Design Phase

1. Situation Analysis
2. Stakeholders Analysis
3. Participant Analysis
4. Problem Analysis
5. Objectives Analysis
6. Alternative Analysis
7. Strategy Analysis

1. Defining the project elements
2. Defining Tasks & Activities
3. Defining Responsibilities
4. Defining Costs
5. Assessing external factors - risks
6. Developing indicators

↓

Results

↓

Results

ACTION PLANNING

Technique 4: Activity Oriented Planning

PROBLEM

OBJECTIVE

SWOT

The project

FORCES → POTENTIAL ACTIONS → TASKS & ACTIVITIES

STRATEGIC OPTIONS ← RESPONSIBILITY ← TIME ← MEANS

Design of the Strategy
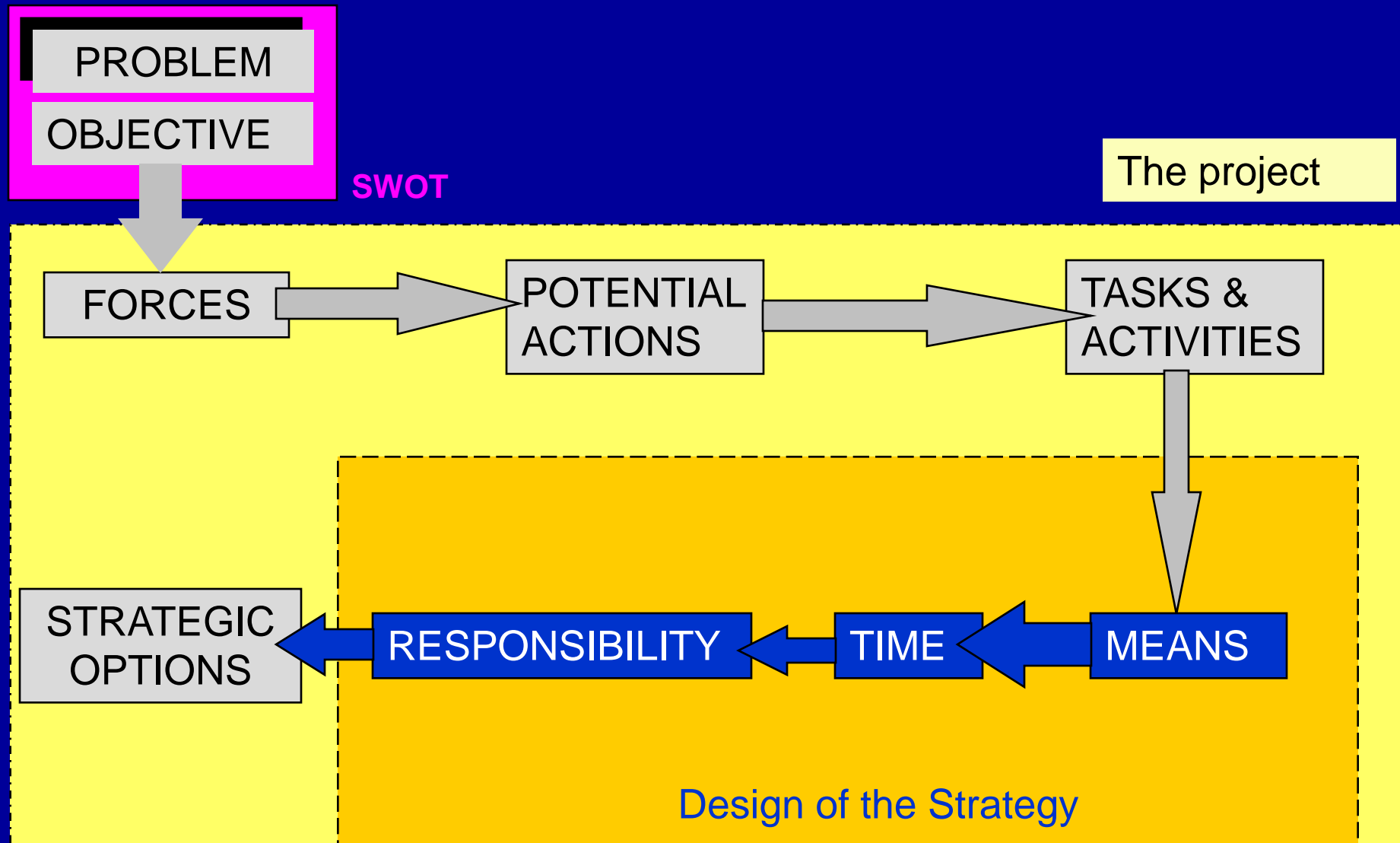
Stakeholders Participation & Consultations

Objective Oriented Project Planning Process - OOPP

Activity Oriented Project Planning Process - AOPP

Project Logframe

PCM

Process Oriented

Product Oriented

- Learning

- Defining course of action

- Linking problems, objectives and strategies

- Strategising

- Project Document

- Budget

- Time & Output

Prepare Activity Schedule

List the main activities

Break activities down into manageable tasks

Determine activity sequence /dependencies

Estimate the start-up, duration and completion

Identify process indicators or milestones

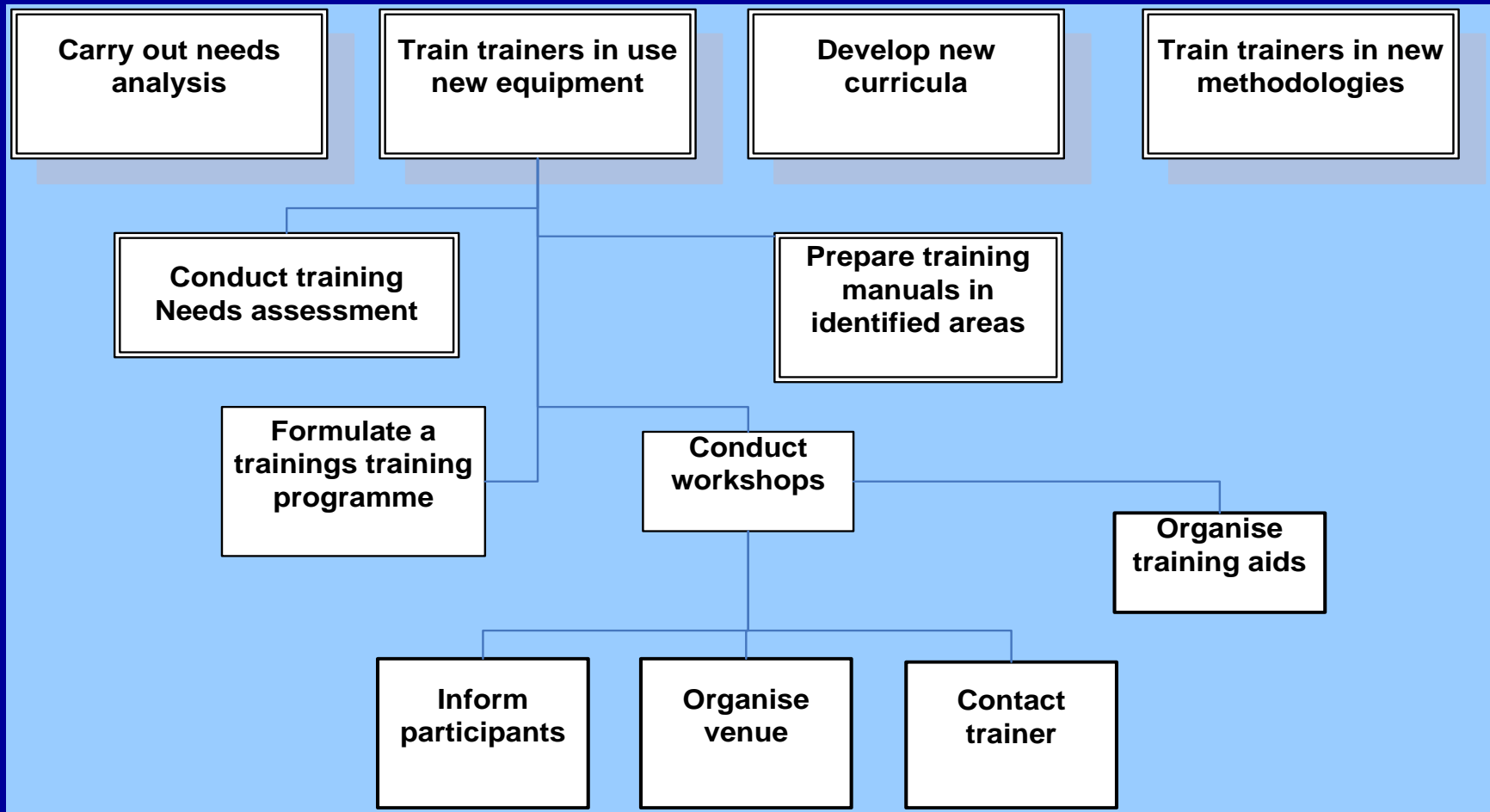Define expertise required to undertake activities

Allocate tasks among the project team

Based on Ian Sommerville (2004) "Project Management", Software Engineering,

Example -work breakdown activities


```
┌─────────────────┐  ┌─────────────────┐  ┌─────────────────┐  ┌─────────────────┐
│ Carry out needs │  │ Train trainers  │  │ Develop new     │  │ Train trainers  │
│ analysis        │  │ in use new      │  │ curricula       │  │ in new          │
│                 │  │ equipment       │  │                 │  │ methodologies   │
└─────────────────┘  └─────────────────┘  └─────────────────┘  └─────────────────┘
```

- Conduct training Needs assessment
- Prepare training manuals in identified areas
- Formulate a trainings training programme
- Conduct workshops
- Organise training aids
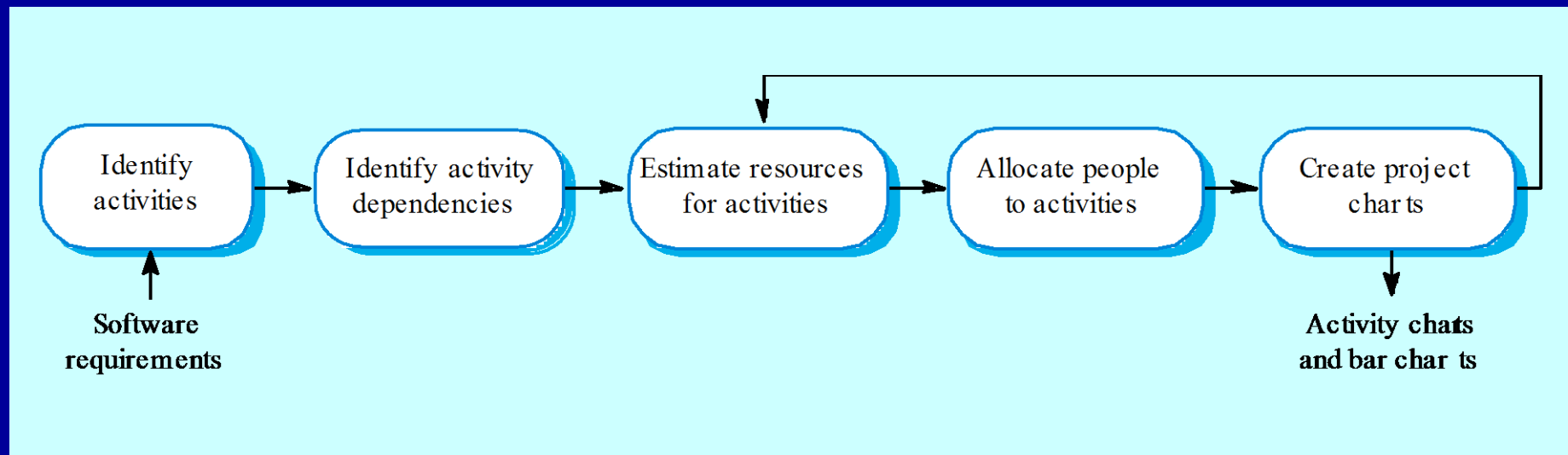- Inform participants
- Organise venue
- Contact trainer

Based on Ian Sommerville (2004) "Project Management", Software Engineering,

Specifying the inputs

Checklist for Preparing a Cost Schedule

List means required to undertake each activity

Put means into cost categories

Specify units, quantity and unit costs

Specify funding source

Allocate cost codes

Schedule costs

Estimate recurrent costs

Prepare cost summary tables

The Project Scheduling Process

Identify activities

Identify activity dependencies

Estimate resources for activities

Allocate people to activities

Create project charts

Software requirements

Activity charts and bar charts

Based on Ian Sommerville (2004) "Project Management", Software Engineering,

Scheduling Problems

l   Estimating the difficulty of problems and hence the cost of developing a solution is hard.

l   Productivity is not proportional to the number of people working on a task.

l   Adding people to a late project makes it later because of communication overheads.

l   The unexpected always happens. Always allow contingency in planning.

Based on Ian Sommerville (2004) "Project Management", Software Engineering,

Bar charts and activity networks

l Graphical notations used to illustrate the project schedule.

l Show project breakdown into tasks. Tasks should not be too small. They should take about a week or two.

l Activity charts show task dependencies and the the critical path.

l Bar charts show schedule against calendar time.

Based on Ian Sommerville (2004) "Project Management", Software Engineering,

Gantt Charts

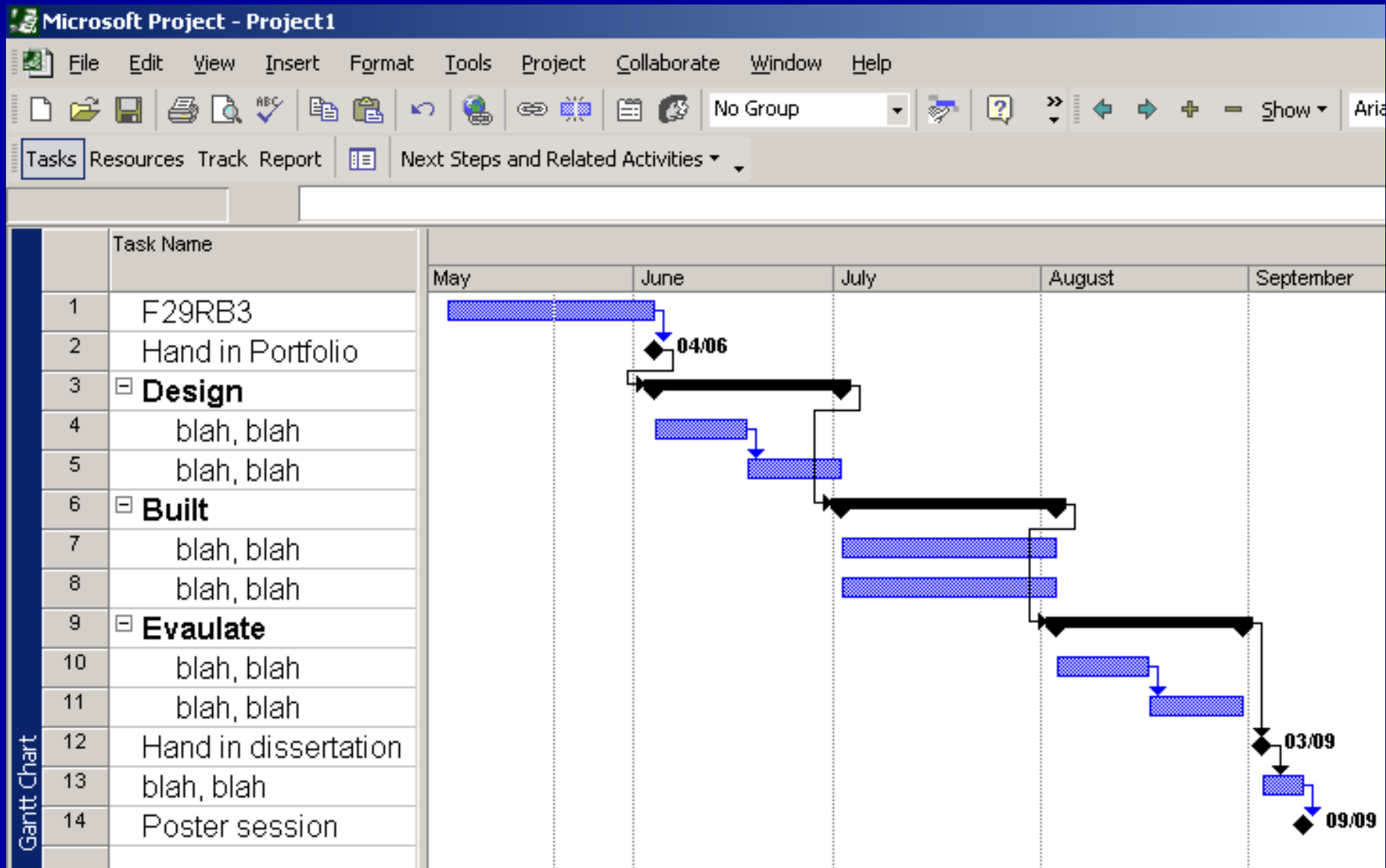Named after Henry Gantt.

Around since 1st World War.

Commonest graphical representation of plans.

Can show critical path.

But not great at showing precedence.

Easy for novices to construct and interpret.

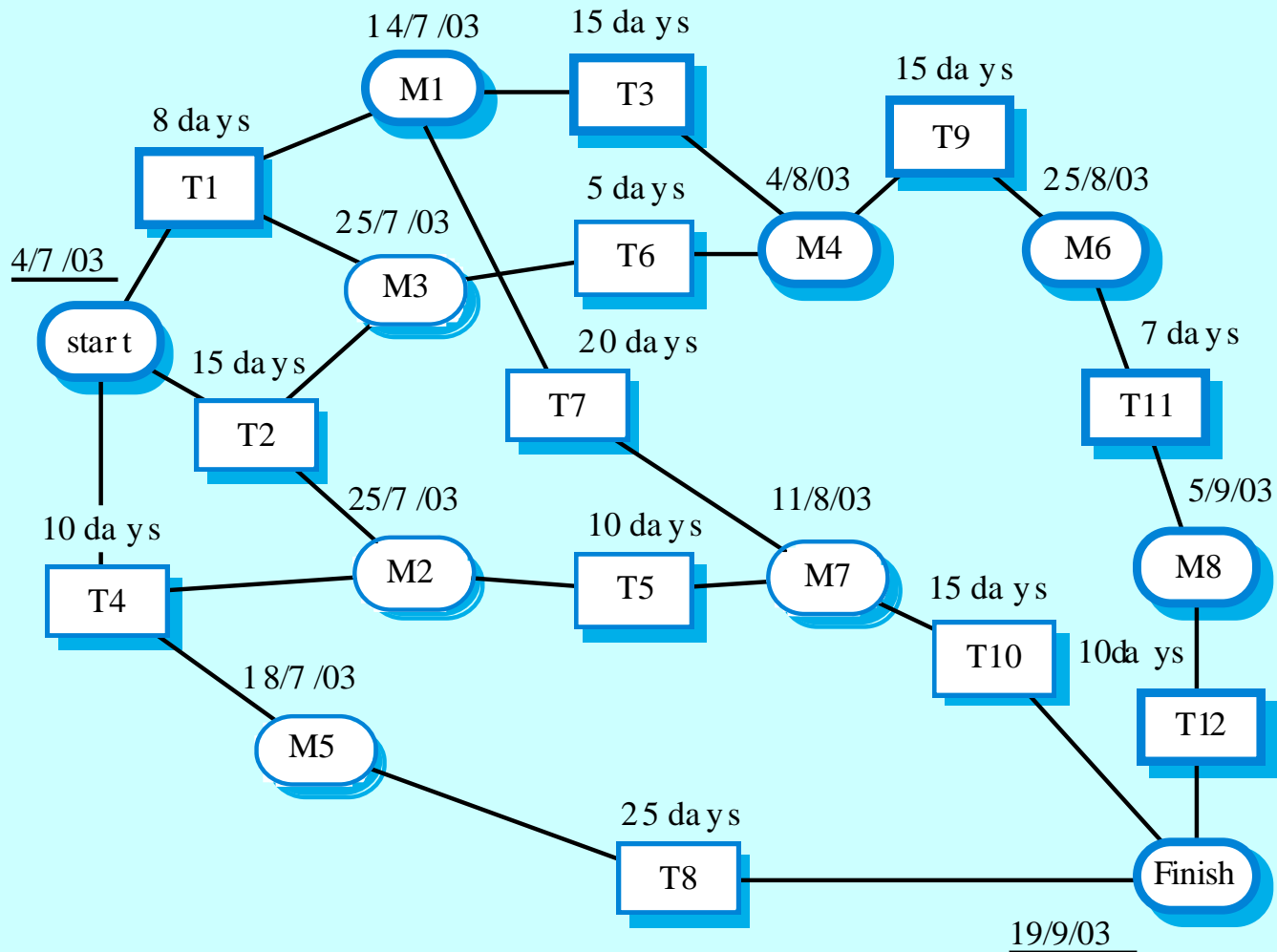Other charts/views are available in MS-Project.

Task Durations & Dependencies

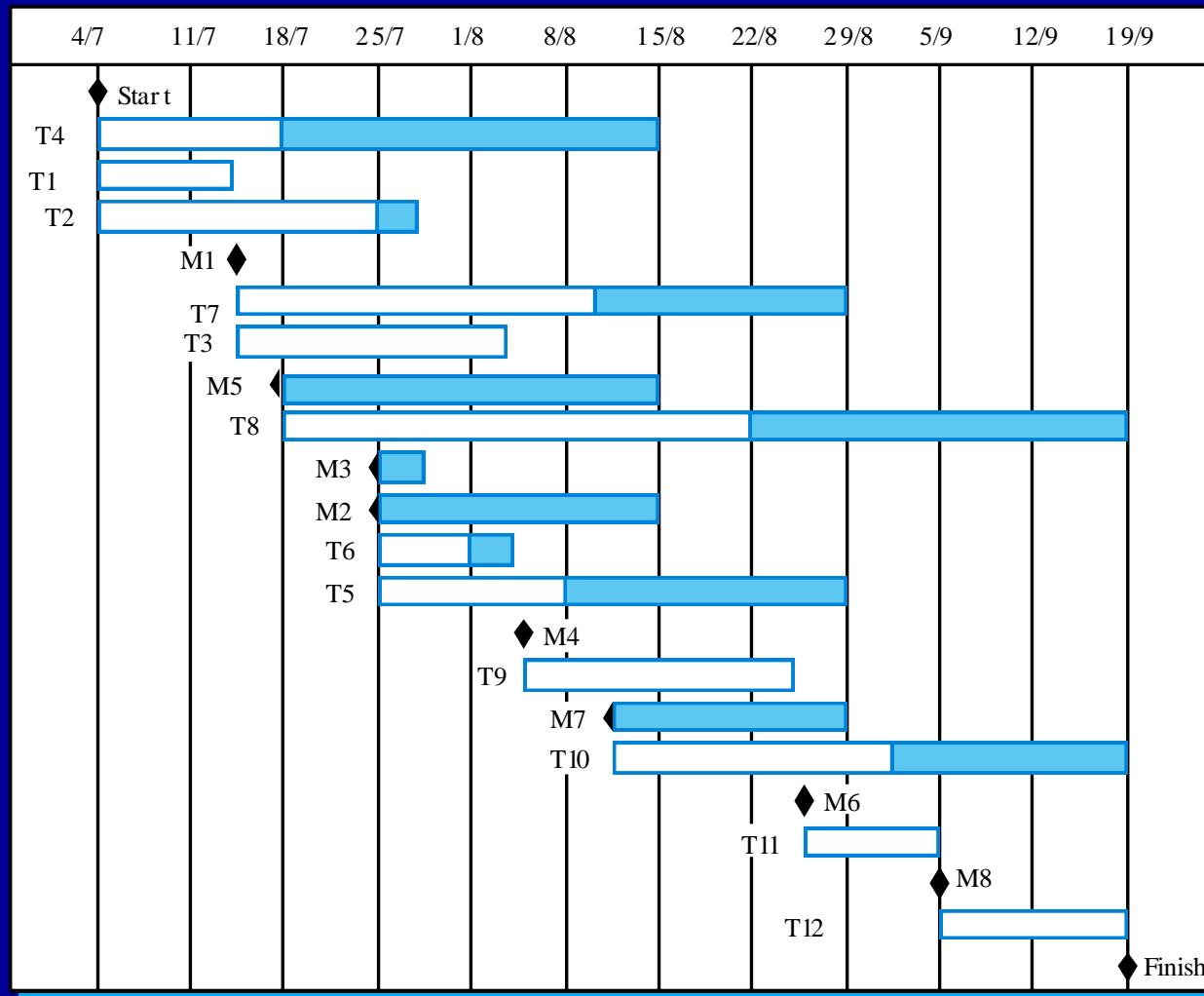| Activity	Duration (days)	Dependencies
T1	8	
T2	15	
T3	15	T1 (M1)
T4	10	
T5	10	T2, T4 (M2)
T6	5	T1, T2 (M3)
T7	20	T1 (M1)
T8	25	T4 (M5)
T9	15	T3, T6 (M4)
T10	15	T5, T7 (M7)
T11	7	T9 (M6)
T12	10	T11 (M8)

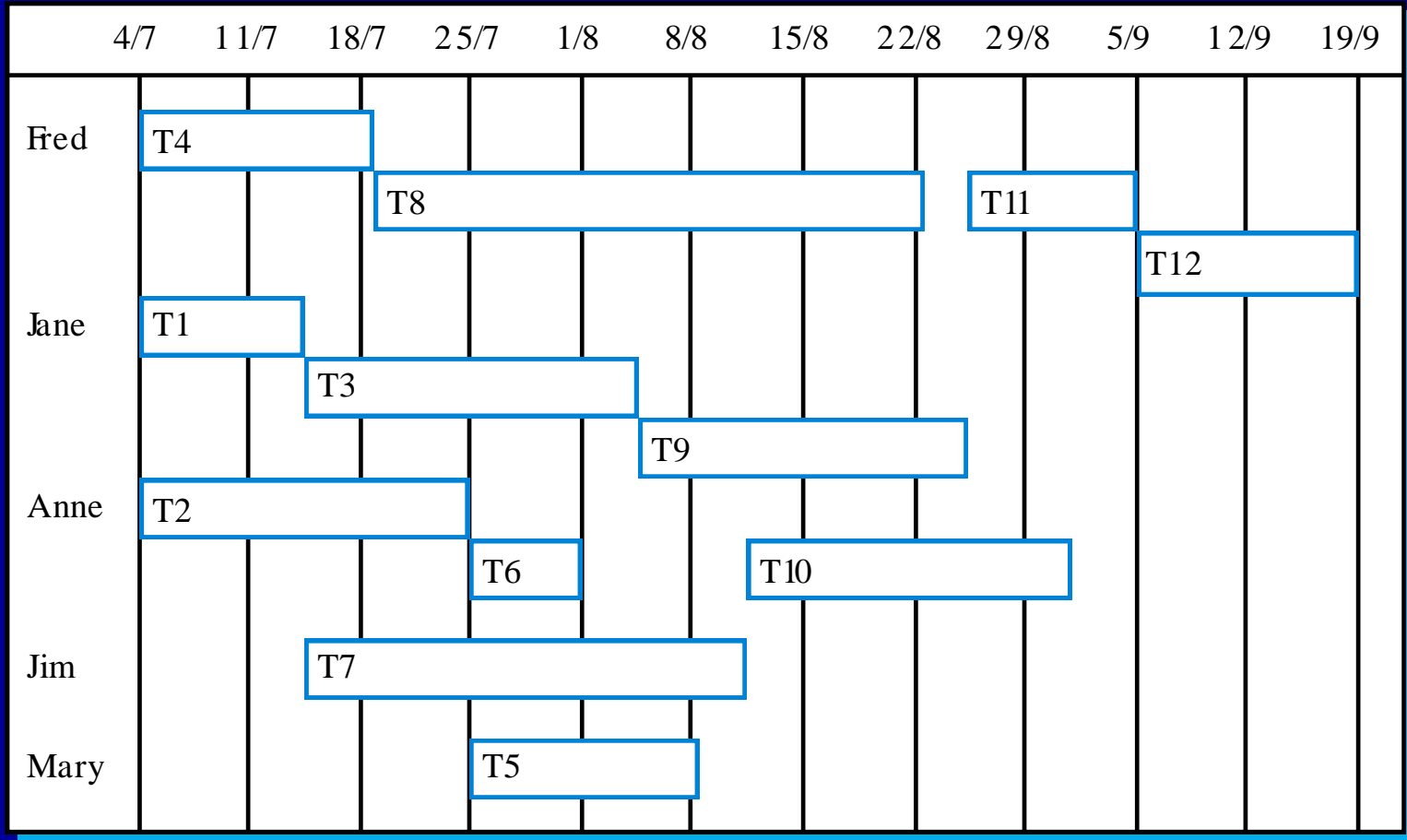*Based on Ian Sommerville (2004) "Project Management", Software Engineering,*

Activity network

Activity timeline

Based on Ian Sommerville (2004) "Project Management", Software Engineering,

12/22/97

Staff allocation

	4/7	11/7	18/7	25/7	1/8	8/8	15/8	22/8	29/8	5/9	12/9	19/9

Fred: T4, T8, T11, T12

Jane: T1, T3, T9

Anne: T2, T6, T10

Jim: T7

Mary: T5

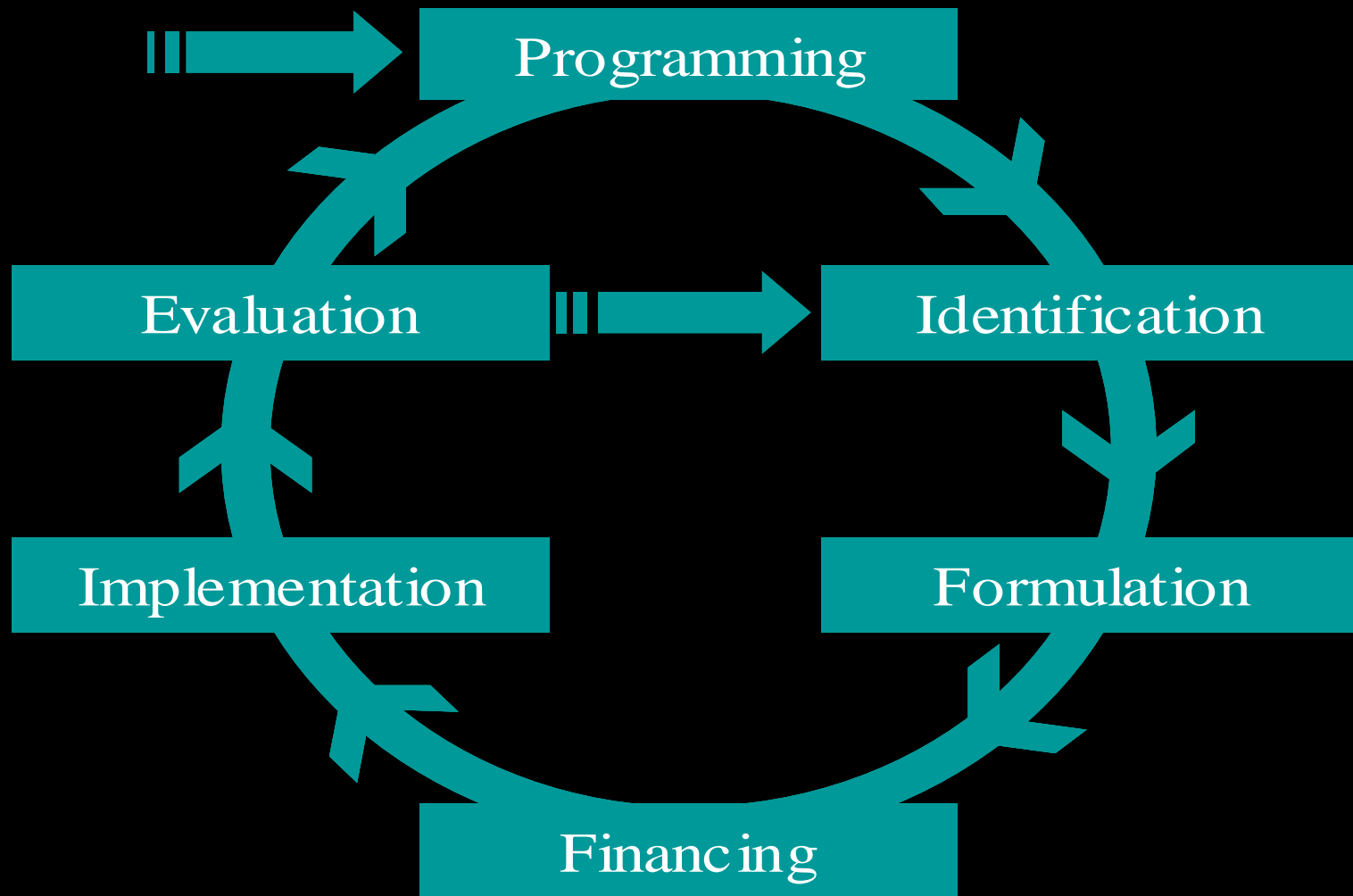*Based on Ian Sommerville (2004) "Project Management", Software Engineering,*

8.

Preparing a project package with PCM-Project Cycle Management Methods & Techniques

Searching for a sound project proposal doc

Project Cycle - 6 Phases

Programming

Identification

Evaluation

Formulation

Implementation

Financing

Project Cycle Management-PCM

The Logframe Matrix

	Project Description	**Verifiable indicators**	**Sources of verification**	**Assumptions**
Overall objective				
Project purpose				
Results				
Activities		means	costs	

Note: As each part of the matrix is formulated, the logic of other parts should be tested and refined/revised, as required. An 'iterative' process.

Pre-conditions

Project Planning Matrix

Why	the longer term benefits for beneficiaries and society, explaining why the project is important.	Overall Goal
What	the immediate benefit for the beneficiaries, explaining why the project is needed by them	Project Purpose
What	the services that will be delivered to the beneficiaries by the project	Results
How	the project intends to achieve the results by the project	Activities
What	external factors are important for achievement of the of the objectives	Assumptions
How	achievement of objectives can be measured	Objectively verifiable indicators
Where	it is possible to find the data necessary for evaluating the project	Means/sources of verification
What	the project costs	Specification of inputs and costs

Activity and Resource Schedules

Logframe

Results-based Activity Schedule

Results-based Resource Schedule
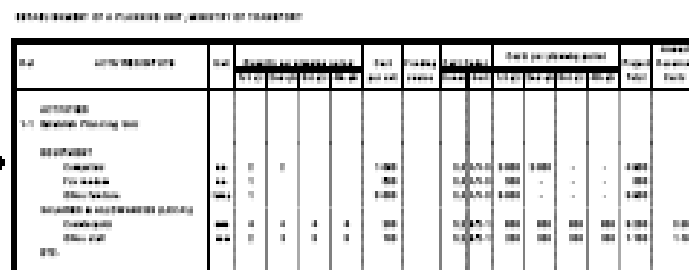
Project fiche/outline (1)

1. Project name, location, duration
2. Rationale (stating needs)
3. Organisation's priorities, funder's priorities
4. Target group
5. General aim
6. Concrete/specific objectives
7. Methodology/strategy
8. Plan of activities

Project fiche/outline (2)

9. Main outcomes
10. Expected results
11. Added value of the project
12. Evaluation criteria, technique
13. Sustainability, multiplicatory effects
14. Resources: financial (budget), material (budget), human (team and partners)
15. Publicity
16. Information about the organisation (contact

THE END