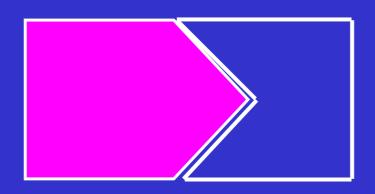
# A PLANNER'S GUIDE TO ACTION PLANNING

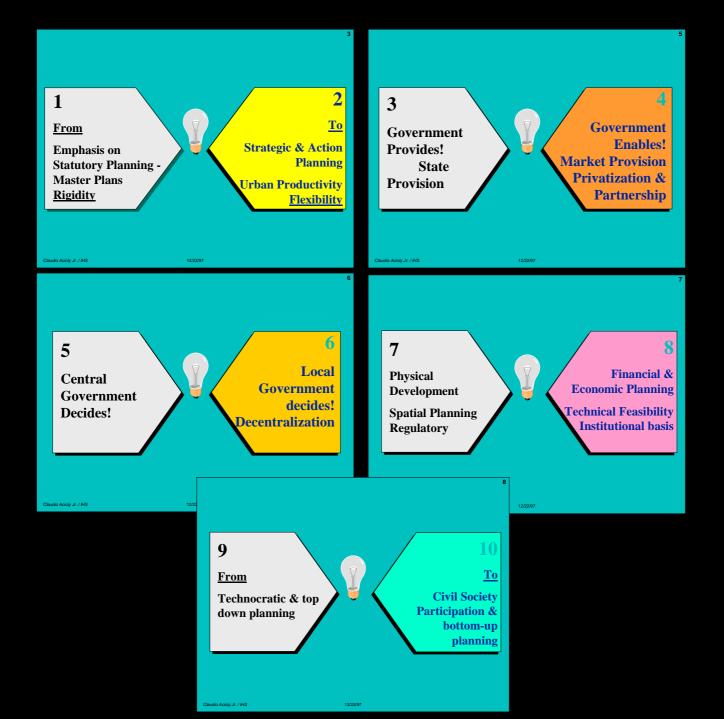


Methodology developed by the staff of the Institute for Housing and Urban Development Studies - IHS, The Netherlands. It draws from the work of Pal Baross (1991); Forbes Davidson (1989,1995); Bep Fritschi, Monique Peltenburg, Hans Teerlink, Harry Mengers, Carley Penink (1995); Claudio Acioly Jr. (1996) and others; it also draws from the work of Goethert and Hamdi (1988).

1.

# Changing the way we think and work in cities.

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



From
Emphasis on
Statutory Planning Master Plans
Rigidity

To
Strategic & Action
Planning
Urban Productivity
Flexibility

Government Government **Enables! Provides! Market Provision** State **Privatization & Provision Partnership** 

Local **Central Government** Government decides! **Decides! Decentralization** 

7

Physical Development

**Spatial Planning Regulatory** 



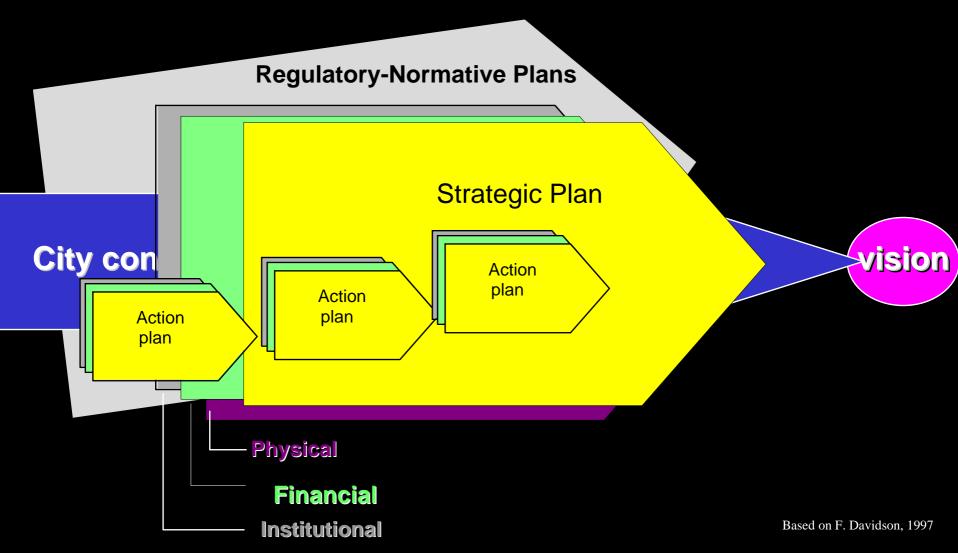
Financial & Economic Planning

Technical Feasibility
Institutional basis

From
Technocratic & top down planning

Civil Society Participation & bottom-up planning

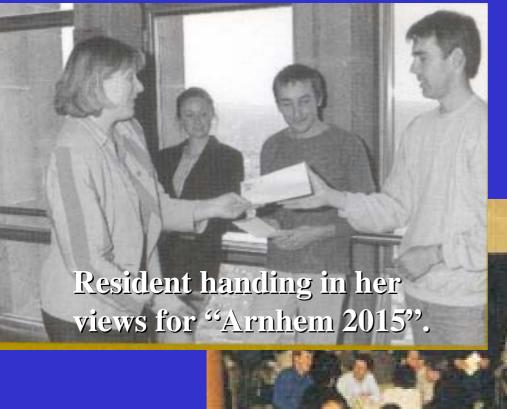
# Relationship regulatory/statutory - normative plans and city-development strategies



# Envisioning the Future of Rotterdam



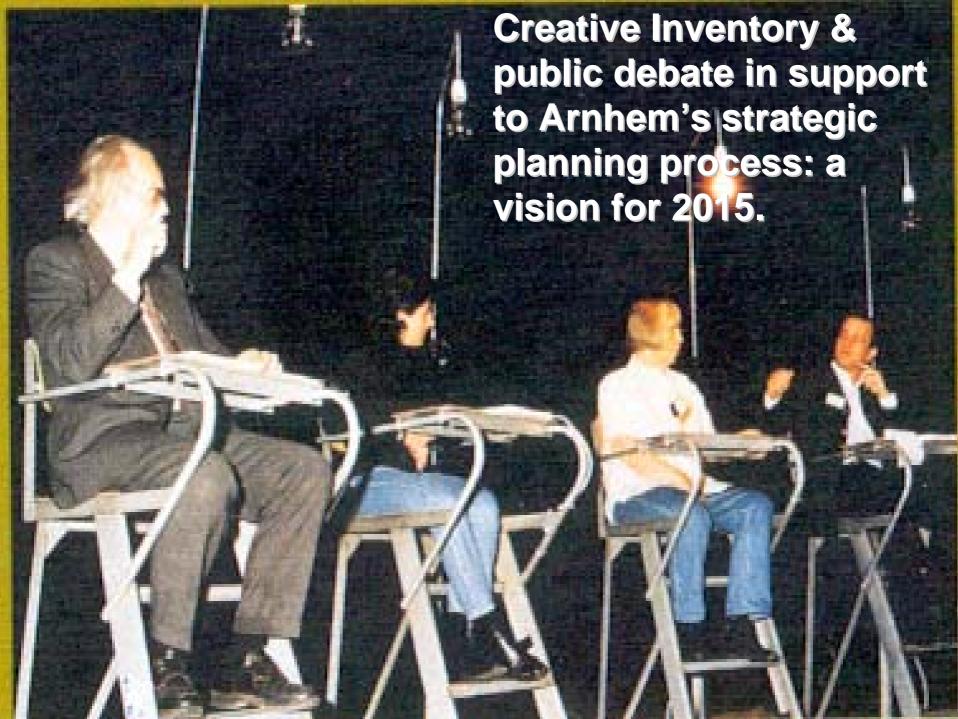




# **Creative Inventory in Arnhem's strategic planning process**









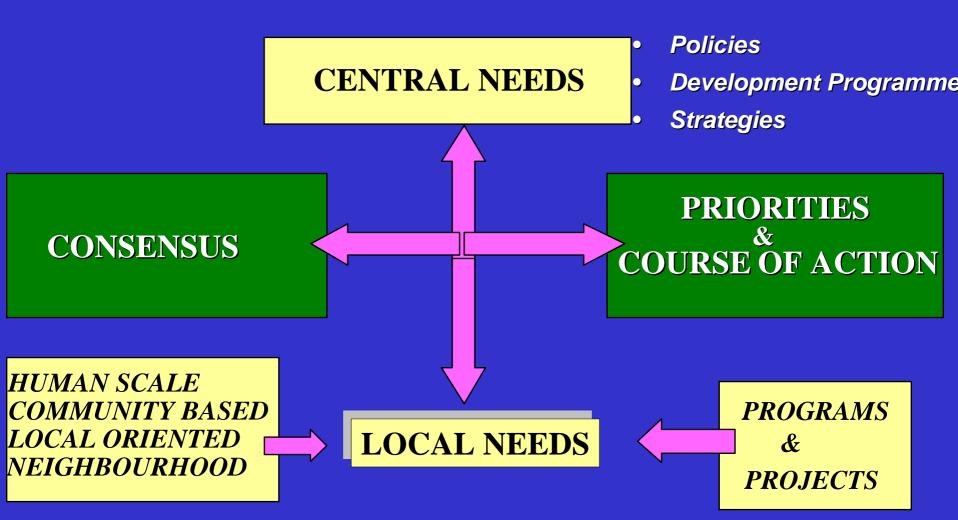
# 2.

# Action Planning: a bottomup problem-solving oriented approach

Focusing on local problems.

# AN APPROACH TO NEIGHBOURHOOD DEVELOPMENT PLANNING

TO BUILD LINKAGES



A set of planning techniques to deal with local problems.

- Clarifies complexities of problems and their solutions thereafter
- Problem solving oriented right from the start
- Pragmatic and leads to concrete actions
- Builds legitimacy and ownership of all actors
- Focused on prioritized problems & objectives
- Participatory and mutually learning

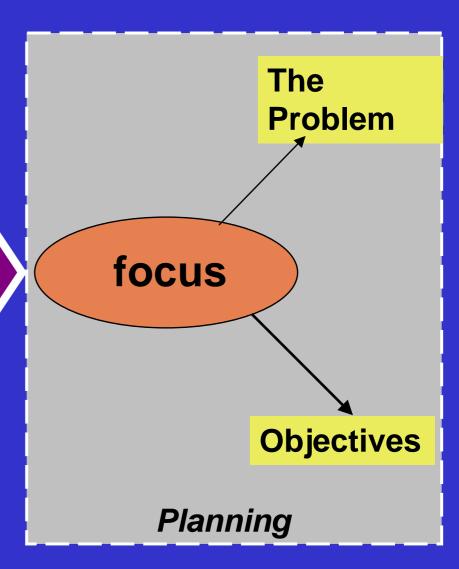
Mechanisms to discover **complexities** and nature of **local problems** to be resolved along the implementation of the planning process.

Pragmatic & oriented to concrete actions geared to **solve the problem(s).** 

PROBLEMS are identified and **prioritised** through the application of this set of techniques.

- 1. It is pragmatic and oriented to concrete actions which are geared to the solutions of the problems
- 2. PROBLEMS are identified and <u>prioritized</u> through the application of these set of techniques.
- 3. It is strategic and localized.
- 4. It is methodical and brings along an intrinsic <u>learning</u> <u>process</u>.
- 5. It is transparent and has legitimacy
- 6. It is interactive, mobilizing and participatory.
- 7. Catalyzes the efforts and <u>local resources</u> required for the solution(s) of the problem(s).

- 1. Problem
- 2. Legitimacy
- 3. Time bound
- 4. Resources bound
- 5. Learning
- 6. Solutions
- 7. Innovative



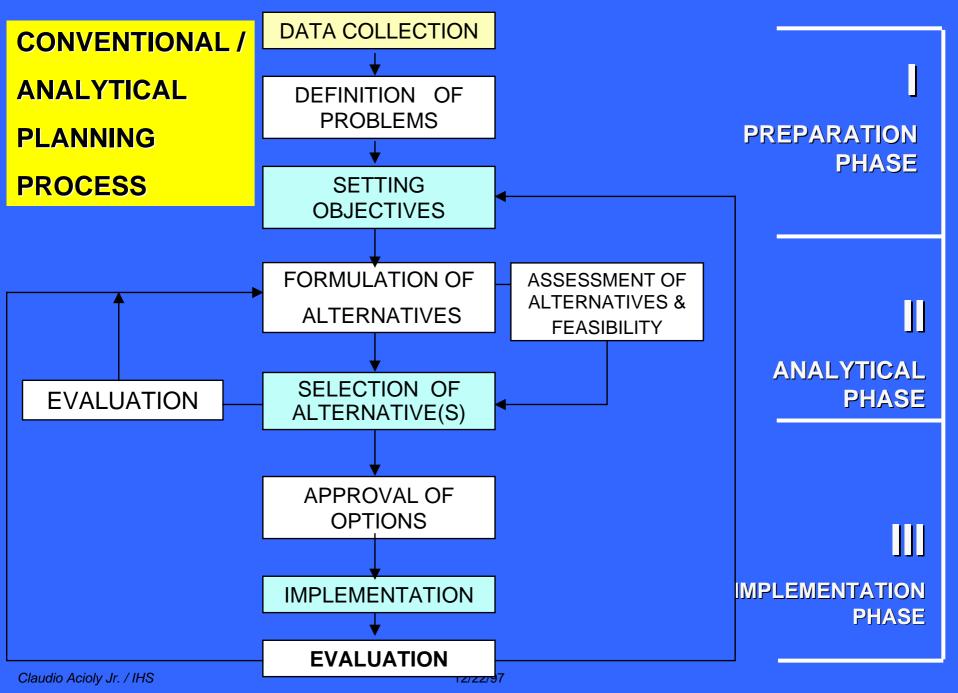
### what is it?

- 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

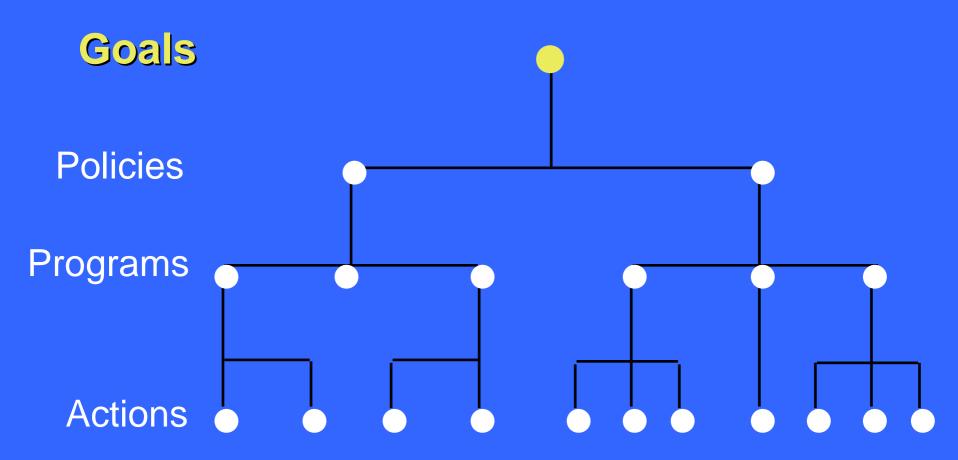
3.

# Surpassing limitations of our conventional thinking.

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



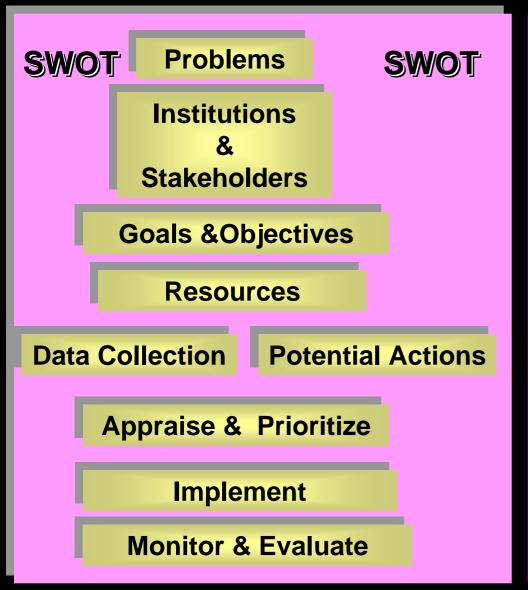
# Is our thinking so impregnated from "Rational Planning" that makes changing so difficult?



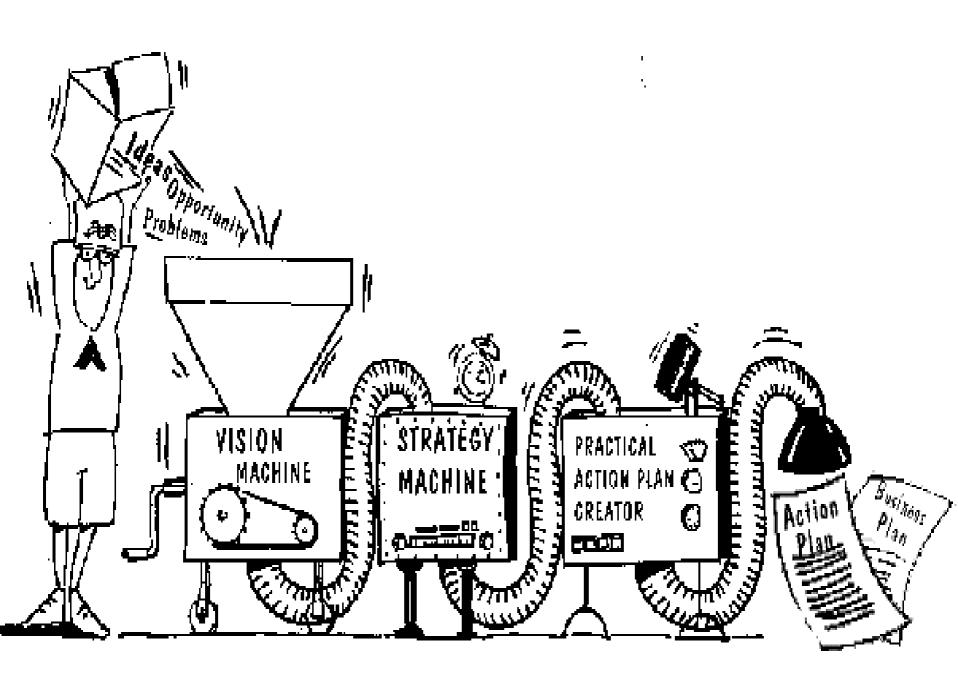
## **Planning Process**

**Action Planning** 

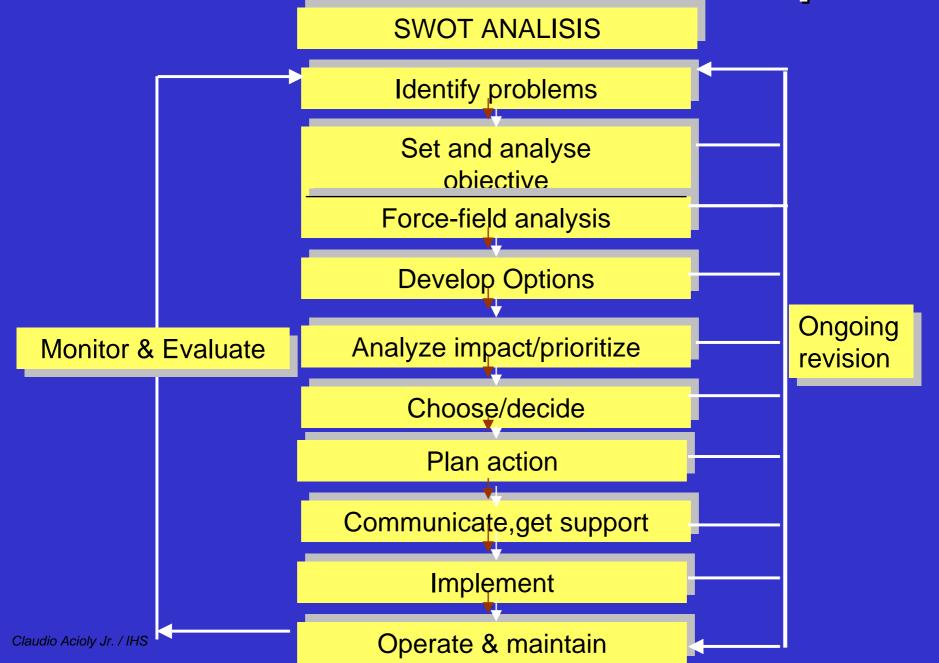
**X** Conventional Planning







### Process to develop action plan



#### 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** PROBLEM SOLVING POLICY
AND
PROGRAM LEVEL

COORDINATION MANAGEMENT

PROJECT
AND
GRASSROOTS LEVEL



4.

# Situation auditing: an institutional x-ray

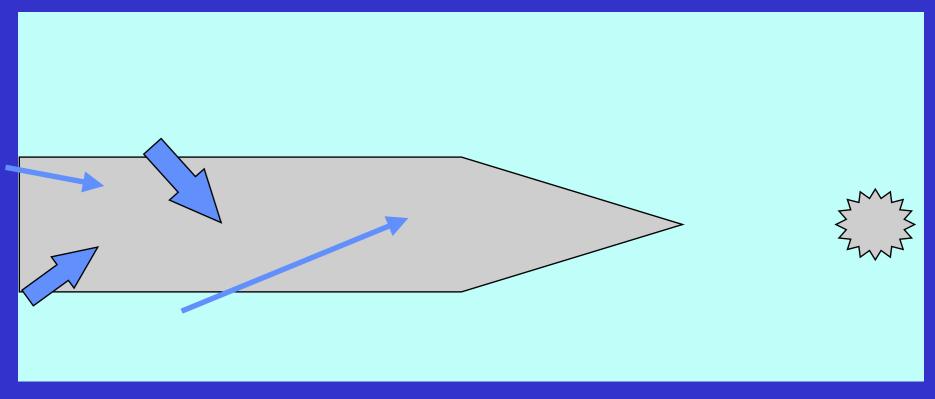
Disclosing bottlenecks, actors, opportunities and threats in the local development arena.

### **Technique 1: SWOT ANALYSIS**

### Development Scenario

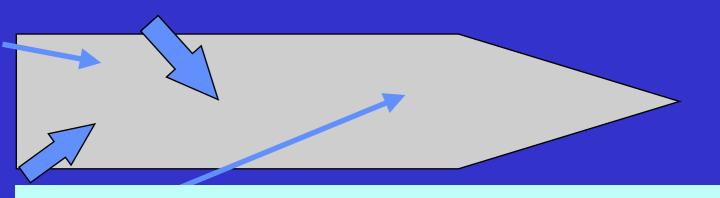
- •It helps defining the development scenario.
- •The development scenario guarantees that actions designed by a short-term plan are not implemented in isolation but interconnected with future actions planed under the guidance of a medium-term strategic plan.

#### **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.

### **Technique 1: SWOT ANALYSIS**



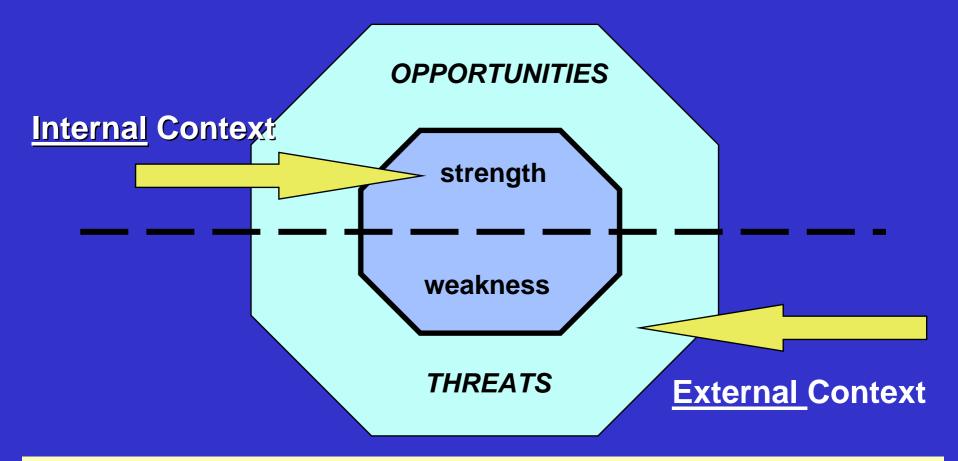


- Impact of future and present trends
- Review of main areas/questions
- Analysis of the linkages between the decision areas

### **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**



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

### LOOKING AT THE CONTEXT: a rapid appraisal









1



- Different group brainstorming
- •Individual assessment of each member of the group
- Organize the results of the discussion

2

- Presentation of each group
- Debate and Comparison
- Agreement on situation audit





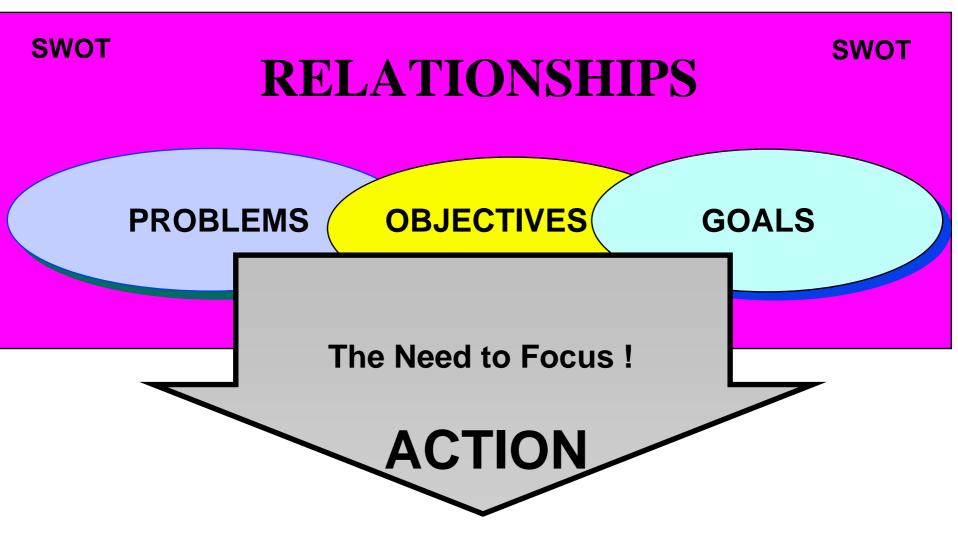


## 5.

# Unveiling the problem and its ramifications

Searching for the real causes.

**Technique 2: Problem Analysis** 



### **Technique 2: Problem Analysis**

#### **RELATIONSHIP PROBLEMS-OBJECTIVES-GOALS**

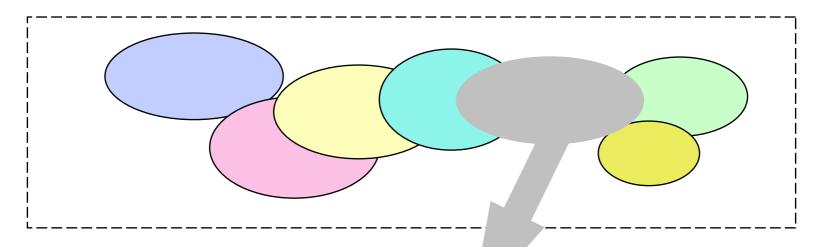
- 1. GOAL relates with the mission of the organization what it must accomplish
- 2. PROBLEMS mean something is wrong abstructing the objectives to be accomplished they are within its scope of action defined as the legitimacy of the problem area. The organization owns the problem!
- 3. Analysis of the 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!

### **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?

### **Technique 2: Problem Analysis**



A systematic method to define the problem

The Focus

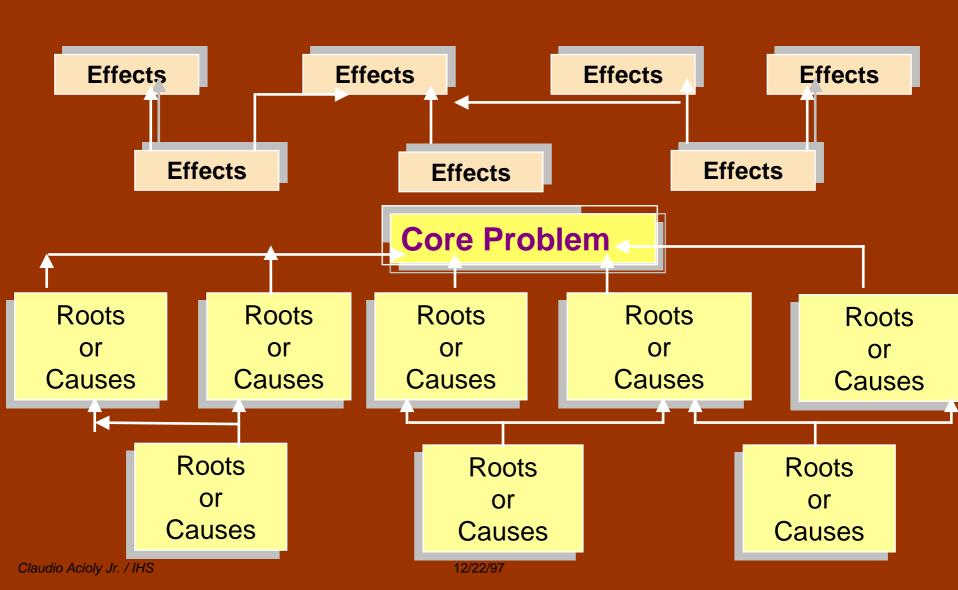
**The Complexities** 

### **Technique 2: Problem Analysis & the Problem Tree**

WHY is it a Whose WHAT is the problem? problem is problem? that? The WWWWWH questions! Is it a problem or When is it a Where is it a a **syntom** of problem? problem? the problem, or a solution?

### Relations between problems

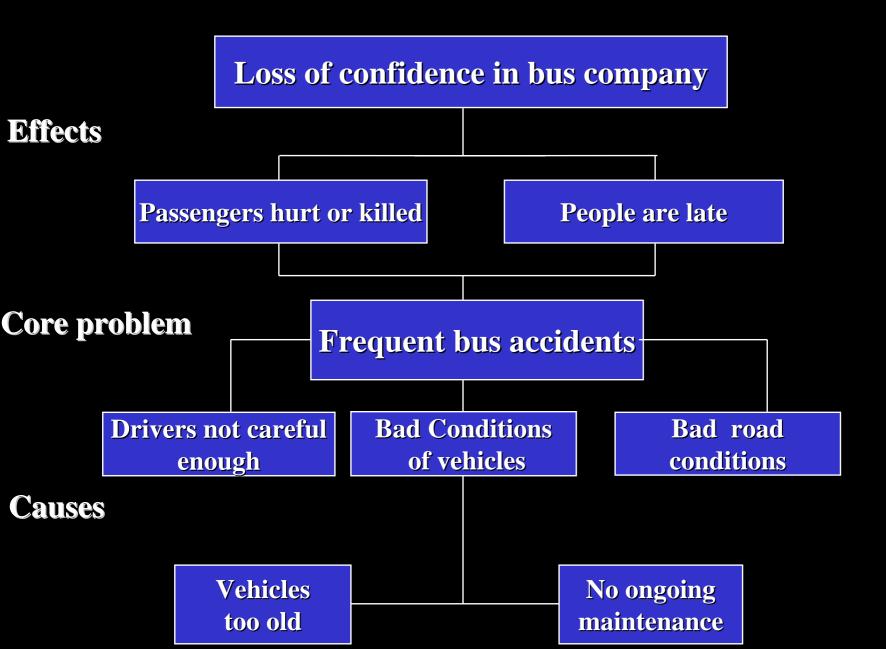
#### **The Problem Tree**

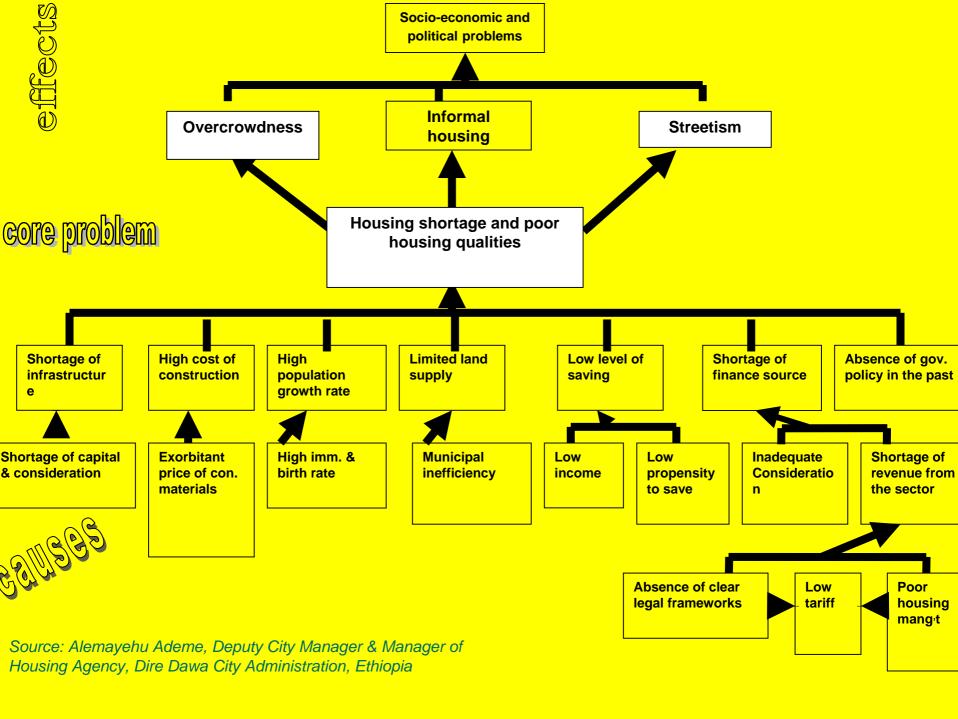


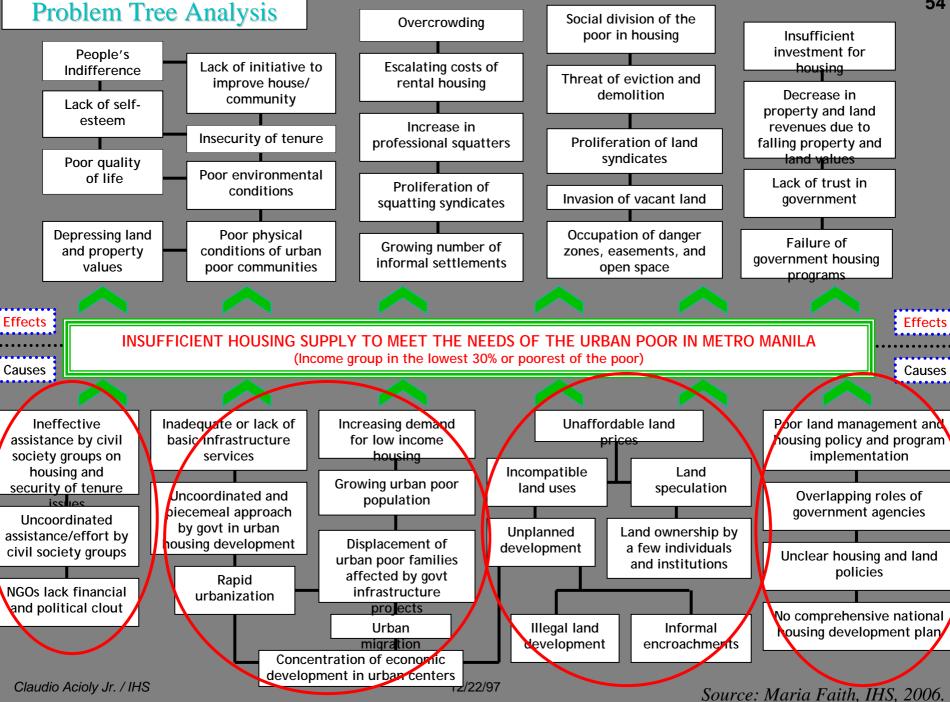
### **Examples:**

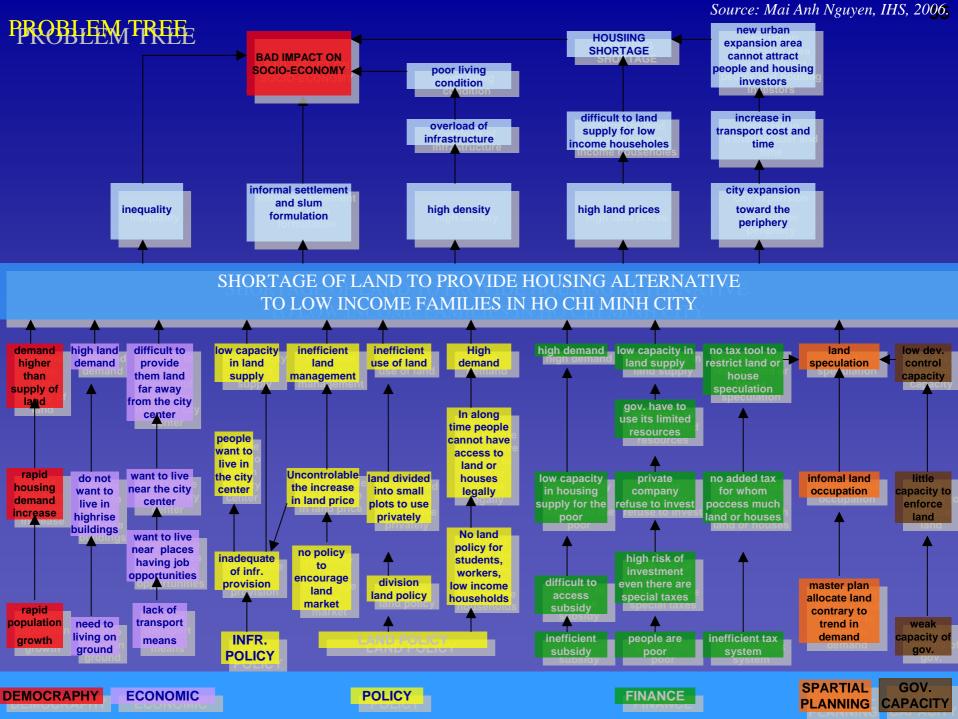
### **Problem Tree Analysis**

### The BUS Example

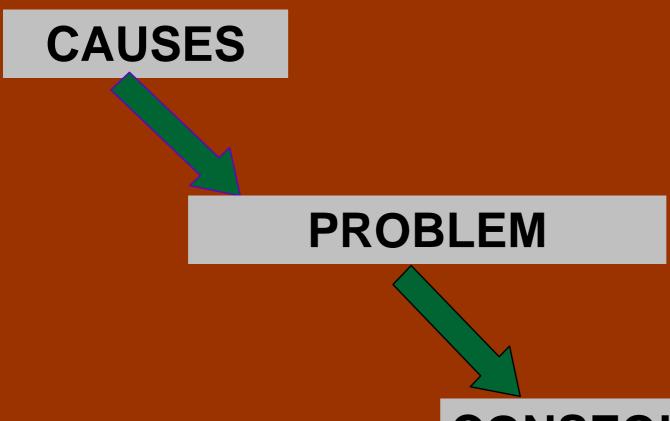








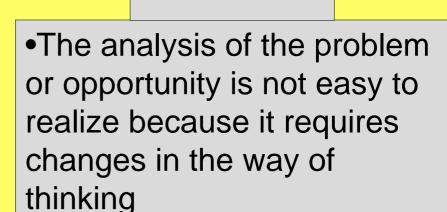
**Technique: Analysis of the Problem Tree** 



**CONSEQUENCES** 

### **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



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

### **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.

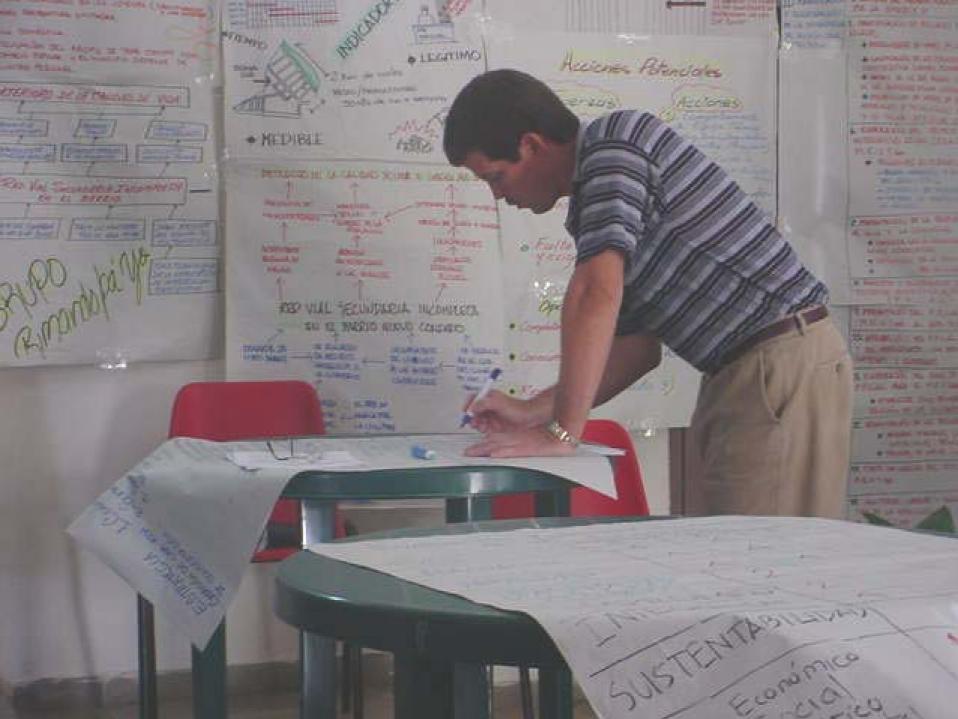
### Ejemplo:

Santa Clara, Cuba

**Barrio Condado** 





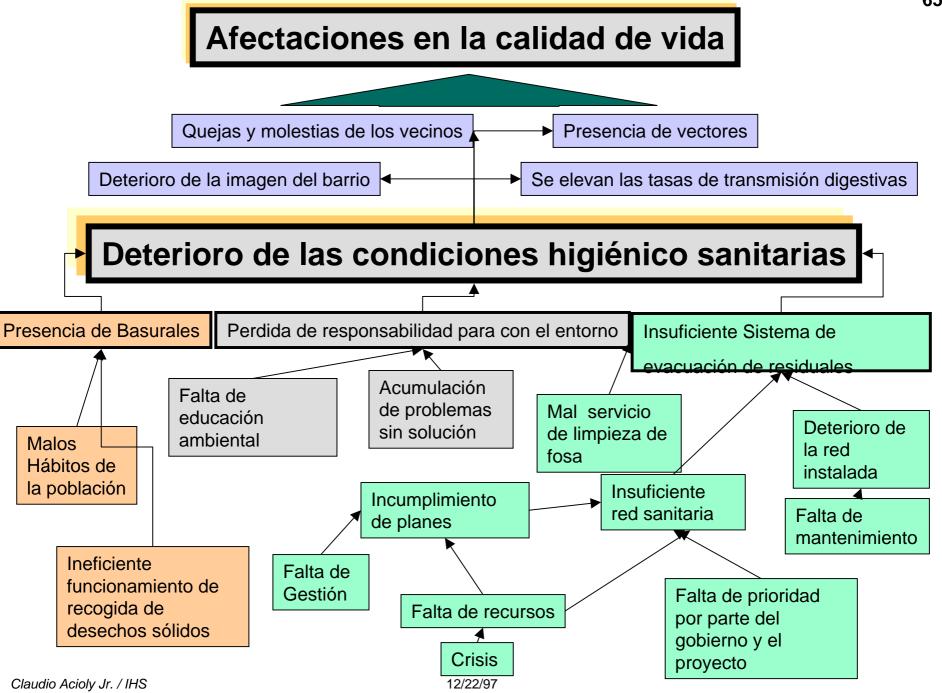






### **Integrantes:**

- 1 Dunia Pérez Ruiz
- 2 Abel Gil Concepción
- 3 Rodolfo Angel Monguía García
- 4 Israel Martínez Rodríguez
- 5 Luis Alberto Fonticiella Padrón



### **Problema:**

Deterioro de las condiciones higiénico sanitaria en la circunscripción 34

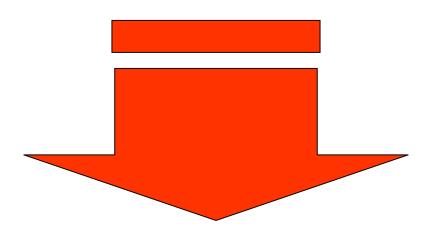
### **Objetivo:**

Lograr la Evacuación adecuada de los residuales en 20 manzanas de la circunscripción 34 en un período de 2 años.





### OBJETIVO



Incrementar al 80% de las personas del grupo vulnerable adultos de la tercera edad a las actividades del Proyecto en un período no mayor de un año

# Barrio "Nuevo Condado", Santa Clara PLANIFICACION DE ACCION

CURSO: "HERRAMIENTAS DE PLANEAMIENTO PARTICIPATIVO, REHABILITACION URBANA Y VIVIENDA SOSTENIBLE".



Mujeres desocupadas por lejanía de las opciones de trabajo

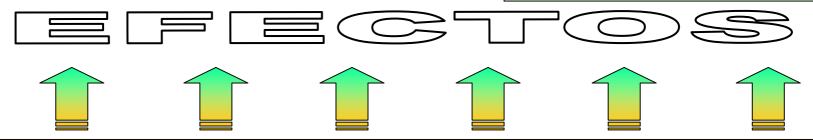
Red de servicios deficientes

Descontento de la población por el déficit de servicios

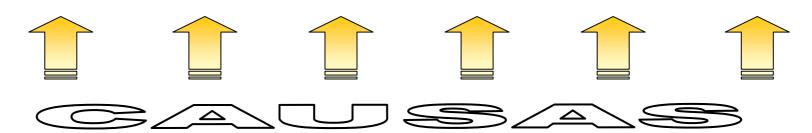
Pocas opciones de empleo atractivas y necesarias

Aumento de actividades ilegales

Desarrollo de iniciativas económicas, físicas y sociales de la población formal e informal



FALTA DE CORRESPONDENCIA ENTRE LOS SERVICIOS Y OFERTAS DE EMPLEO EN EL BARRIO Y LA NECESIDAD DE SERVICIOS Y POSIBILIDAD DE EMPLEO



Falta de iniciativas y prioridades de las instituciones involucradas

Falta de motivación de la población hacia las opciones de trabajo

Marco legal prohibitivo

Poca visión del proyecto sobre el tema Poco aprovechamiento de las potencialidades naturales y del barrio

petición local

Poco apoyo del gobierno a la

economía local por falta de

12/22/97

### **OBJETIVO:**

### INCREMENTAR LA OFERTA DE LOS SERVICIOS A LA POBLACION PARA EL MEJORAMIENTO DEL BIENESTAR EN EL BARRIO EN UN TERMINO DE DOS AÑOS.

- · Marco legal.
- Poca iniciativa del gobierno a utilizar las potencialidades del barrio.
- Insuficiente aseguramiento de los recursos materiales.
- Deficiencia en la planificación de las acciones de servicios a escala municipal.

#### **DESFAVORABLES**

### FAVORABLES

- Necesidad real de servicios en el barrio
- Potencial humano disponible capacitado y condiciones físicas naturales favorables
- Existencia del Grupo de Trabajo Comunitario

#### **Objetivo:**

Mejorar la red vial secundaria de la zona 268, Cr. 34 a través de alternativas locales y la participación de la comunidad en el termino de 1½ año.





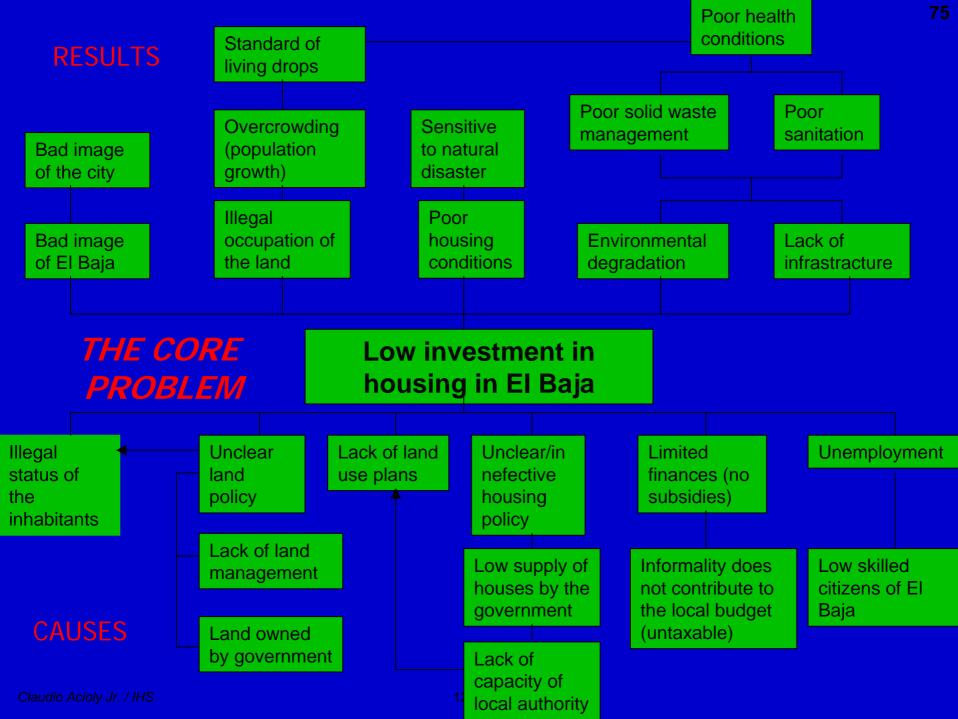






### Example:

### Baja, Irena Group



#### One year objective

#### First version

Increased investments (by 15%) in improvement of housing conditions by/or with the support of the private sector through public private community participation within a year in El Baja.

#### Revised version

Increased investment by improvement of 200 low cost houses within a year in El Baja.

#### Three month objective

#### First version

Established contacts with five major private sector investors from the construction industry and financial institutions in Simia within three months.

#### Revised version

Established contracts with five major private sector investors from the construction industry and financial institutions in Simia within three months.

**5**.

## Formulating the feasible target

Searching for a tangible and measurable objective.

#### **Technique 3: Defining the Objective(s)**

Force Field Output is **Problem** Analysis to test the defined Identification the **OBJECTIVE** OBJECTIVE(s) **SMART** criteria

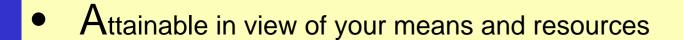
> A way to develop clear objectives which will help to develop effective lines of action



#### **Technique 3: Defining the Objective(s)**

#### **SMART** criteria

- Specific in place
- Measurable in performance / output terms



- Realistic in view of existing obstacles and chance of success
- Time feasible to achieve concrete results within the development framework



#### **Technique 3: Defining the Objective(s)**



#### **SMART** objective

- Sustainable
- Manageable
- Action oriented
- Replicable
- Technically feasible

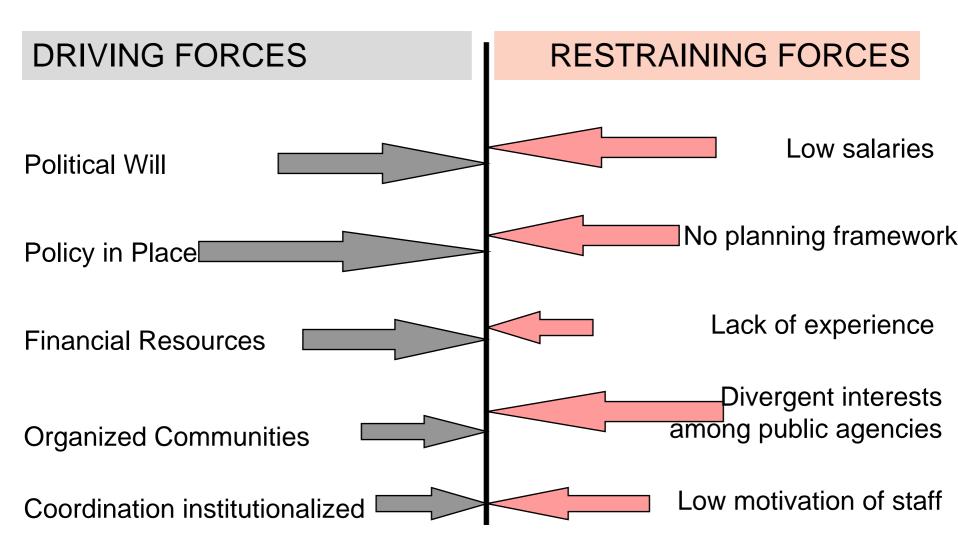


## 6.

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

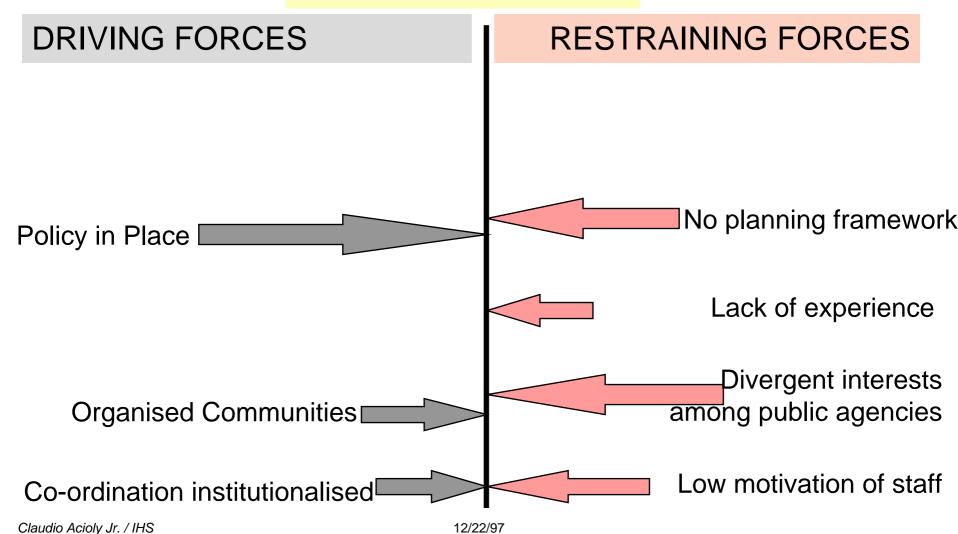
Understanding existing forces in the local development scenario.

#### **Technique 4: Force Field Analysis**



#### **Technique 4: Force Field Analysis**

FILTERING THE FORCES

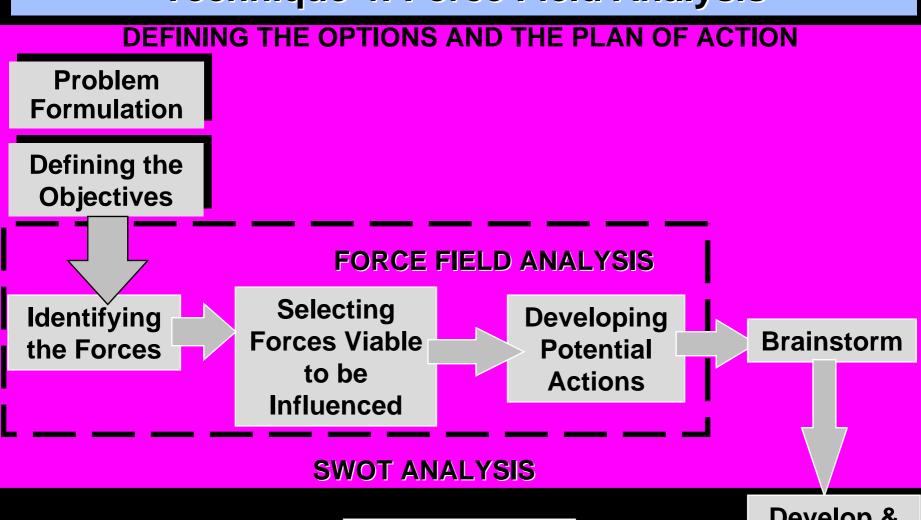








#### **Technique 4: Force Field Analysis**



Develop Tasks & Duration

Develop & Test
Strategies

#### **Technique 4: Force Field Analysis**

DEFINING THE OPTIONS AND THE PLAN OF ACTION

HOW?

Each member of the team develops his/her own ideas

Record the ideas in an organized force field analysis sheet

Discuss within the team and develop a team idea

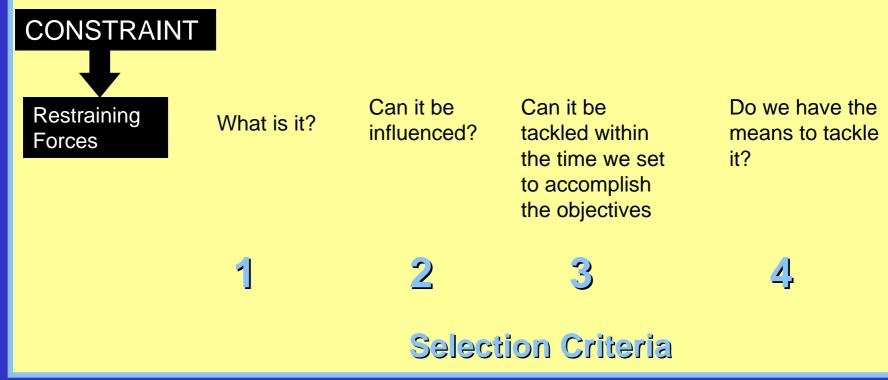
Plenary session will reveal all teams' ideas and proposals

Common Objective

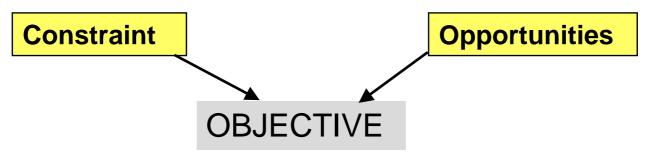
#### **Technique 4: Force Field Analysis**

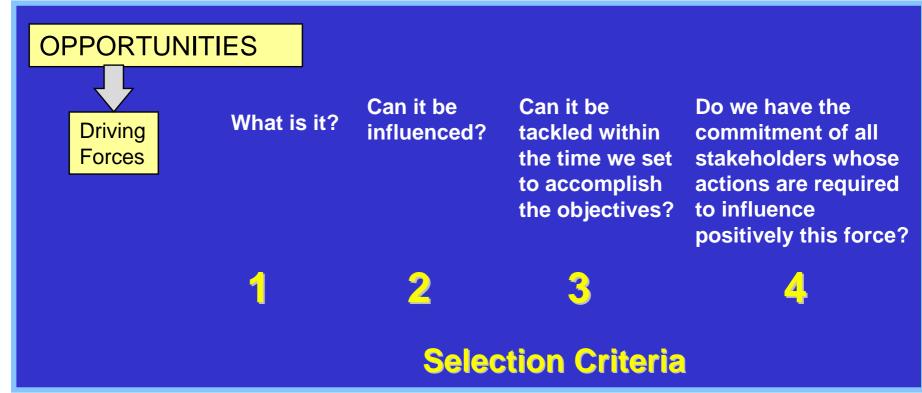
Constraint Opportunities

OBJECTIVE

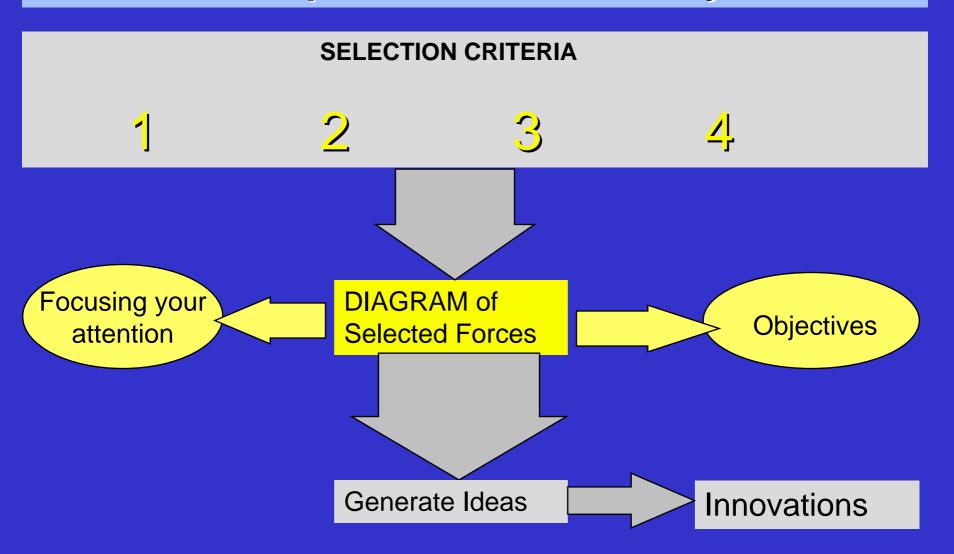


#### **Technique 4: Force Field Analysis**





#### **Technique 4: Force Field Analysis**





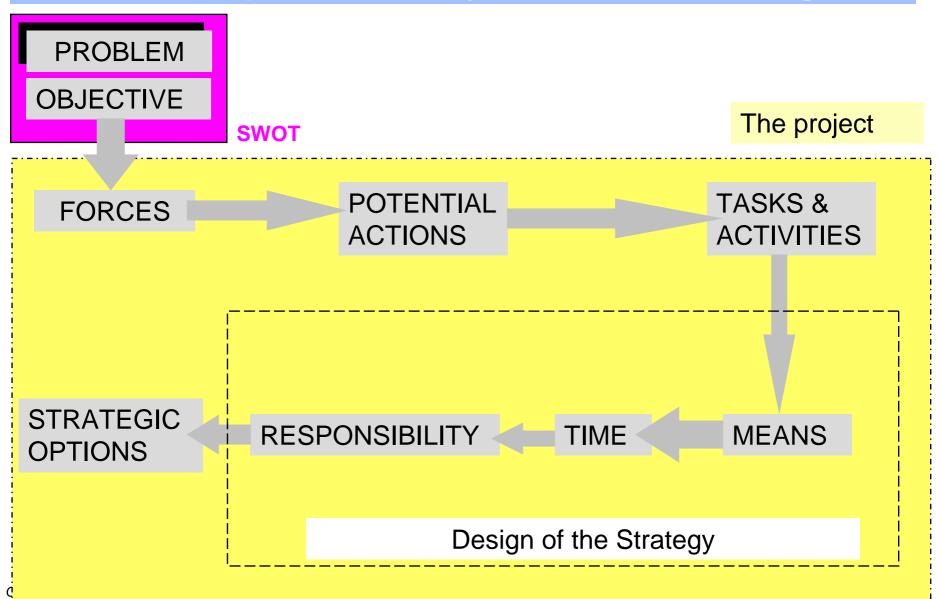


7.

## Preparing a project package: strategies, time, resources, responsibilities

Searching for the best strategy

#### **Technique 4: Activity Oriented Planning**



#### **SUMMARY:**

#### **Problem Identification**

What is the problem?

What is functioning well and what is not functioning well? Whose problem is that?

#### Agree with the options, and choose the plans of actions!

What to do?

How to get it done?

Who will be in charge?

How is it done, for whom and with which goal?

12/22/

#### Formulation of the Strategies to deal with the Problem

What can we accomplish to reach in another better situation?

Which are the ways possible to deal with the problem? How do we move from here onwards?

#### **Planing the Implementation**

Which are the essential steps to initiate the process?

With what means and within what period of time?

Which are the actions and who is responsible? How do I measure it?

Claudio Acioly Jr. / IHS

#### <u>1.</u>

## Identification of the Problems and situation auditing: assessing the context and its local conditions

- What are we looking for?
- Problems, why do they exist and for whom they exist?
- List of priorities through a game of roles and interaction!
- Consensus about the problems.
- Critical questions.
- Understanding conflicting questions
- Checklist.

#### 2.

#### **Define Strategies**

- Check list!
- Priorities per teams/working groups
- Urgent needs, short-term and long-term necessities
- List of actions

#### <u>3.</u>

#### Consensus about the Program of Actions

- Desirable actions
- Alternative course of actions
- Relationship costs-benefits
- Decisions: options technically viable but payable, desirable but financially viable.

8.

## Oude Noorden Distric Rotterdam

Searching for the best strategy for neighbourhood development







#### CONTEXT: a selected Favela in Rio





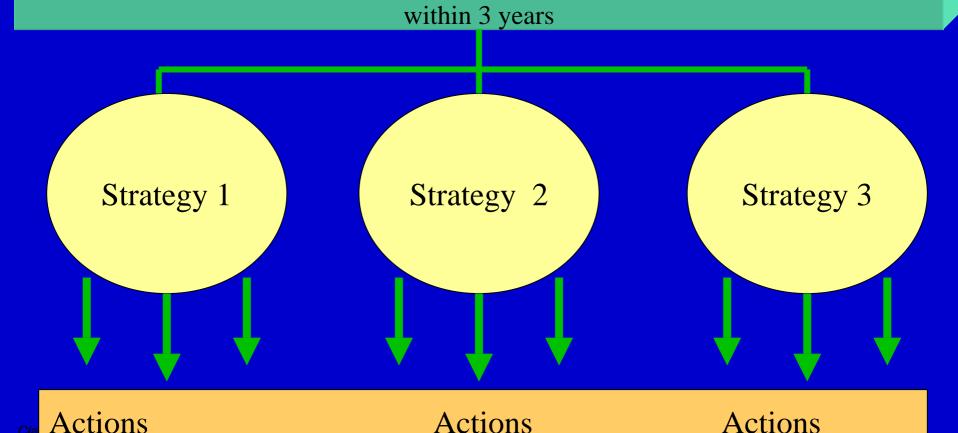
## OBJECTIVE OF THE PLAN OF ACTION

To assure the comprehensive urbanisation of the favelas Morro do Cruz, França Júnior e Buraco Quente favouring the active participation of the inhabitants – from projet conception to final delivery and management of the benefits accomplished with the plan and accepting the economic sustainability and viability of the locality within 3 years.



To assure the comprehensive urbanisation of the favelas

Morro do Cruz, França Júnior e Buraco Quente favouring the
active participation of the inhabitants – from projet conception to final delivery
and management of the benefits accomplished with the plan and
accepting the economic sustainability and viability of the locality





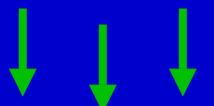


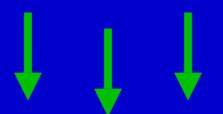
#### **OBJETIVE**

Enlargement of
the mechanisms of
communication and
decision making power of
the residents from
inception phase until
final delivery of
the program.

Mobilisation and capacity building of all community actors geared to establish public-private community partnerships to foment local economic oportunities.

Implementation of urbanisation (public works) as a vehicle to promote social cultural processes.





| | |

Actions

Actions

Actions

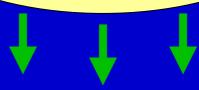
Claudio Acioly Jr. / IIIS

12/22/9



Estrategy 1

Enlargement of the mechanisms of communication and decision making power of the residents from inception phase until the final delivery of the program.



- 1. Elaboration of a policy document on participation
- 2. Preentation of the policy document of the city mayor, secretariat, local representatives
- 3. Institutional decision to legitimise the channel of participation
- 4. Elaborate and implement a working plan
- 5. Operationalise the channel of participation thematic council
- 6. Capacity-building of residents in projects of sanitary and environmental education

Estratégia 2

Mobilisation and capacity building of all community actors geared to establish public-private community partnerships to foment local economic oportunities.

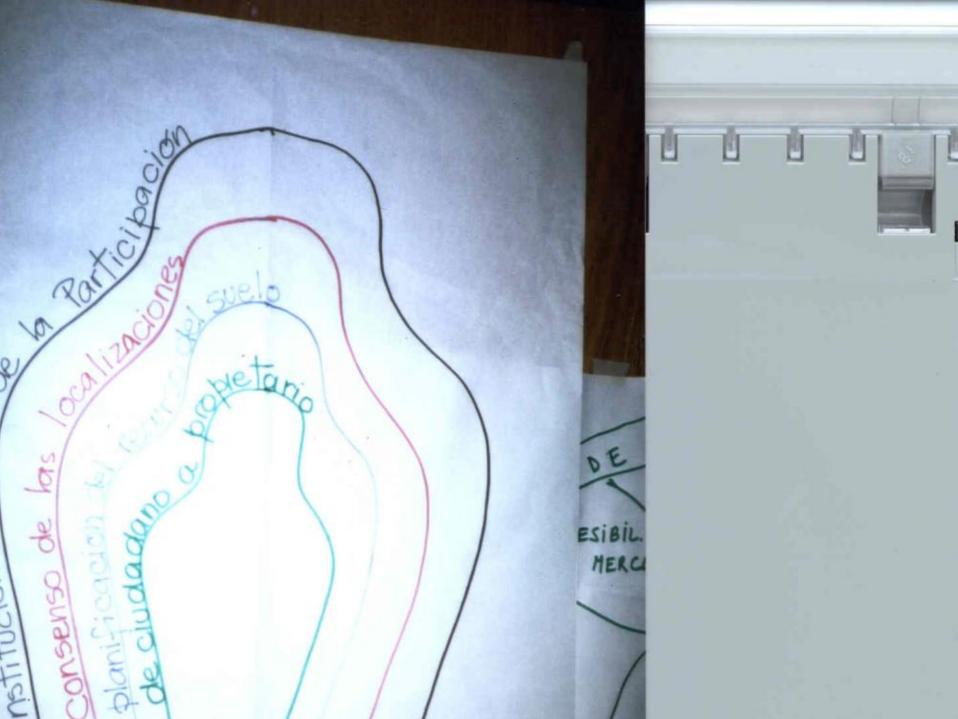
- 1. Levantamento dos atores privados locais/ entorno potenciais parceiros
- 2. Criação de conselhos temáticos e comunitários
- 3. Definição de instrumentos de parceria
- 4. Definição de uma agenda de trabalho
- 5. Organização de eventos de mobilização comunitária
- 6. Motivar relações de vizinhança com entorno
- 7. Organização de cursos de capacitação profissional elementar e intermediaria/estágios
- 8. Encaminhamento da comunidade para cursos/estágios/postos de trabalho
- 9. Captação de pequenos créditos

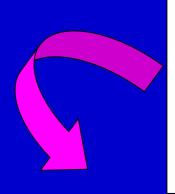


Estratégia 3

Implementation of urbanisation (public works) as a vehicle to promote social cultural processes.

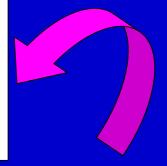
- 1. Formação e institucionalização de uma equipe de gestão facilitada com existência predeterminada: 3 anos (PPP, multidisciplinar-sectorial inter-institucional)
- 2. Integrar/ articular o projeto vencedor com o plano de ação
- 3. Requalificação dos espaços destinados a produção/economia local
- 4. Compatibilizar redes existentes com a rede futura
- 5. Estabelecer um centro de referencia para implantação de programas sócio-culturais na área do reservatório da CEDAE
- 6. Criar sistema de manutenção, gestão e monitoramento local da rede implantada
- 7. Inclusão dos projetos no Plano Anual de Trabalho dos órgãos municipais
- 8. Criar mecanismos de apropriação das melhorias/ benfeitorias implantadas
- 9. Implantação de linhas de ônibus transporte público integrado





# Perspectiva Recursos

Orçamento/mês %
Captação de recursos R\$



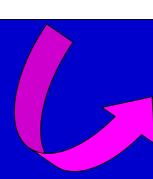
### Perspectiva Moradores

Solicitações/respostas % Lixo retirado T Depredação equip. implant.%

Objetivo Estratégia 1 Estratégia 2 Estratégia 3

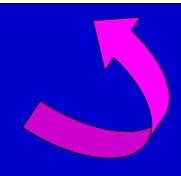
#### Perspectiva Processo

Tarefas executadas/mês N° Reuniões oferecidas/mês N° Doenças p/ causas hídricas N°



# Perspectiva Aprendizagem

Idéias novas/mês N°
Erros e acertos/mês N°



# THE END