# District Strategic Development Planning

## Manual & Facilitator's Guide

**DRAFT**

**DO NOT DISTRIBUTE**

WHERE ARE WE NOW?

WHERE DO WE WANT TO GO?

HOW DO WE GET THERE?

HAVE WE ARRIVED?

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public participation

new information

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**Acknowledgements**

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# List of Acronyms

| | |
|---|---|
| ADC | Area Development Committee |
| CSO | Civil Society Organizations |
| DPU | District Planning Unit |
| DSDP | District Strategic Development Plan (Planning) |
| JC | Joint Council |
| LGU | Local Government Unit |
| M&E | Monitoring and Evaluation |
| MoA | Memorandum of Understanding |
| MoLG | Ministry of Local Government |
| MoP | Ministry of Planning |
| NGO | Non-Governmental Organizations |
| PRA | Participatory Rapid Appraisal |
| SFG | Sector Focus Group |
| SWOT | Strengths, Weaknesses, Opportunities, Threats |
| TCC | Technical Coordination Committee on District Planning |
| ToR | Terms of Reference |

# Preface

Over a half century of conflict and Israeli occupation has left Palestinian communities in a state of underdevelopment with a significant and increasing need for economic development and poverty reduction. To be sure, current Israeli policies isolate Palestinian communities, support the expropriation of natural resources and productive lands, create barriers to transport and trade, hinder infrastructure and service provision, exacerbate internal and external political conflicts, and greatly hinder the improvement of people's livelihoods. Although the Israeli occupation undoubtedly creates development risks that cannot adequately be planned for, it is imperative that Palestine communities nonetheless take a proactive approach to determining their futures – one that is well-informed, transparent, participatory, and grounded in the values of local people.

The improvement of participatory governance is considered to be a necessary precondition for improving the livelihoods of the Palestine's population. Recognizing this need, the Ministry of Planning and Ministry of Local Government have partnered with donors to establish new planning infrastructure focused on the regional, or District, level. This began with the establishment of the Technical Coordination Committee on District Planning (TCC), the lead regional planning organization comprised of representatives from the Ministry of Planning's Spatial Planning Directorate and the Ministry of Local Government's Physical Planning Directorate.

This was followed by the establishment of District Planning Units (DPU) for the Territory's regional districts. These DPUs are the administrative structures tasked with implementing regional planning programs within each District. They are also meant to serve as coordinating institutions, bridging the operational gaps between local authorities and the national government. Area Development Committees and numerous Sector Focus Groups provide information services and decision support to the DPUs. These stakeholder organizations represent the national government line ministries, municipal governments, village authorities, civil society organizations, academia, and the private sector. They are also meant to represent the major development sectors of the District, which will undoubtedly vary between Districts.

The integration and coordination of these institutions with public participation will become the backbone of regional planning in the Palestine. However, in order to be effective, this requires a strategic framework for planning that

moves beyond ad-hoc decision-making to bring together the interests of diverse stakeholders, integrate their values with the best data available, and create strategies that are achievable, flexible, and broadly-supported.

This manual is to serve as a guide for participatory District Strategic Development Planning in Palestine. It provides readers with a step-by-step approach for creating a District Strategic Development Plan, including the participatory planning tools to implement it. The manual is not intended to be a rigid document. It is intended to be utilized as a guiding framework that allows for the incorporation of innovations, greater participation opportunities, and more locally-applicable approaches to planning, while ensuring a level of consistency is maintained across all Districts in the Palestinian Territories. Although the process provided is a relatively simple one, ideally it should be implemented by experienced facilitators/planner with working knowledge of the District.

# Introduction

## About This Manual

This manual serves as a guide for regional planning in Palestine. Its aim is to support the establishment of regional plans for each of the Districts in Palestinian Territories. These District Strategic Development Plans (DSDP) will become the guiding strategies for regional planning in each District and will be implemented by the newly-formed regional planning body, the District Planning Unit (DPU).

As a pilot project, Jenin District was chosen as the first District to establish this regional planning infrastructure. It will also be the first District to implement the planning process outlined in this manual. Jenin's experiences with this new approach to regional planning will be documented in detail and will later be incorporated into this manual as case studies. As the process is replicated in other Districts, more case studies will be incorporated into the manual, creating a "living" document that grows with input of experiences and learning.

## The Planning Methodology

The participatory District Strategic Development Planning methodology outlined in this manual was designed to facilitate the establishment of broad-based plans that meet the needs of a District's diverse stakeholders, while providing them with opportunities to actively participate in the planning process. It is based on the belief that that stakeholder participation in the planning process is the foundation for durable decision-making – a prerequisite for sustainable planning. If Palestine's regions are going to have success and resilience in the long-term, they will require transparent and democratic governance, effective public institutions, the ability to resolve conflict constructively, and an active and engaged public. This will help to give elected officials information on how to effectively spend public funds, direct private resources to support these expenditures, and give underrepresented groups a chance to receive attention in a meaningful, constructive way.

The process presented in this manual is based on the concept of strategic planning. Strategic planning is a systematic decision-making process that focuses attention on important issues and how to resolve them. It provides a general framework for action and a transparent method  to determine priorities, make wise choices and allocate scarce resources (e.g., time, money, skills) to achieve agreed to objectives. This manual organizes the strategic planning process into a series of four basic questions:

1. **Where are we now?**
2. **Where do we want to go?**
3. **How do we get there?**
4. **Have we arrived?**

Answering each these questions requires planning participants to go through a set of related steps. In total there are ten steps in the overall strategic planning process, each organized under one of the four overarching planning questions. The process is illustrated below.
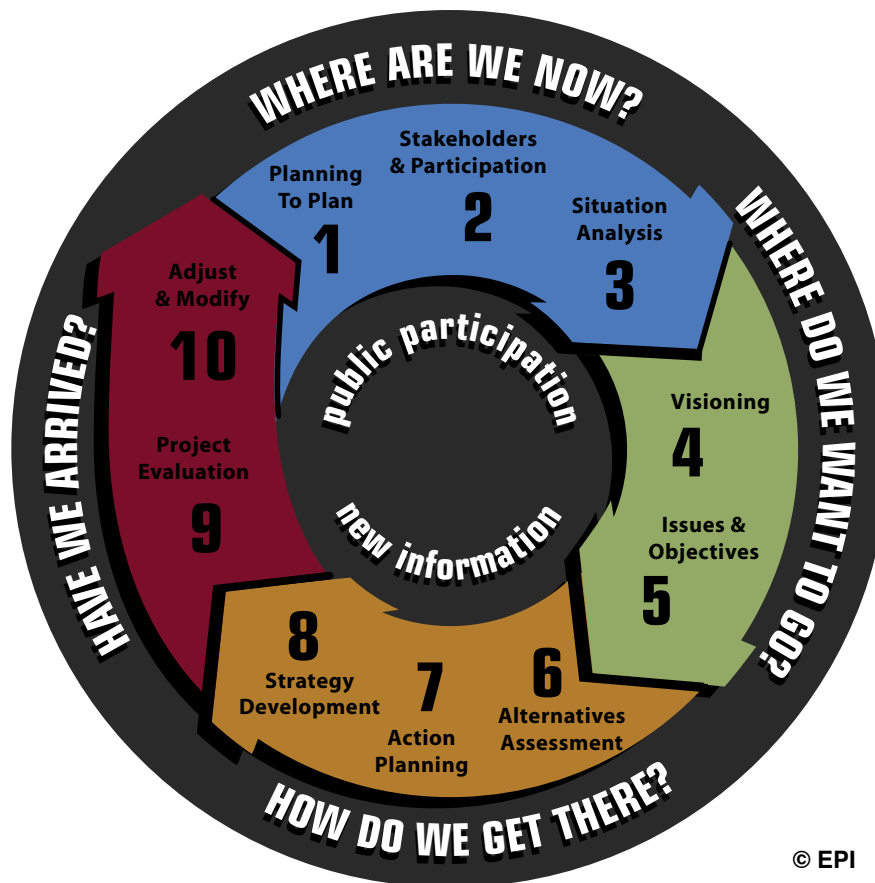


**STRATEGIC PLANNING PROCESS**

The overall strategic planning process is founded on the principle that community-based, participatory planning processes lead to more effective and efficient decision. As such, this manual includes mechanisms for broad stakeholder participation in development planning and the methodology it outlines seeks to include all sectors of society, including women, youth, the elderly, and poor - all of whom offer unique and valuable perspectives into a region's needs, values, and development priorities.

**Participatory development planning** is a holistic process that directly and meaningfully engages stakeholders at the village, municipality, and/or district level to:

☐      Establish a vision for the community's future;

☐      Identify and choose action projects to achieve that vision;;

☐      Help ensure that projects and programs resulting from the strategic planning process are thought through, make sense, and are the best use of resources; and

☐      Help integrate and link all other plans, programs, and activities that the District's communities have produced.

Participatory Development Planning in Palestine aims to address all key regional planning areas, all of which are interrelated and interdependent, including: *public services; education; health; physical planning, transportation; infrastructure; business and entrepreneurship development; and, natural resources and environment protection.*

Participatory Development Planning also aims to include a broad range of stakeholders from the **public sector** (local, regional, national governments, education institutions), **private sector** (corporations, small business, informal sector, banks, credit unions), **labour** (trade unions, labour unions), **community and non-governmental organizations** (community leaders, neighbourhood groups, religious organizations, women's groups, poor and disadvantaged groups, environmental groups) and the **general public** (informal leaders).

Consideration of all stakeholder interests through one unified process will help to create a holistic and integrated approach that can result in broad-reaching and sustainable development. This manual seeks to do just that – incorporate stakeholder participation with opportunities for broad community engagement into a planning process that is strategic, efficient, and consensus-based.

## How to Use This Manual

This planning manual is structured into four consecutive planning modules. Each one covers one of one of the four, overarching strategic planning questions – ***Where are we now? Where do we want to go? How do we get there? Have we arrived?*** This includes information and activities on that are associated with each of the strategic planning process's four phases. Each of the 10-steps associated with a particular module is colour coded accordingly.

Within each step of the 10-step process there are a series of tasks to be completed before moving on to the next step. Each of these tasks is described in detail and many provide links to **ideas, checklists, reminders,** and other **general information**.

In some cases, a number of planning tasks are grouped together as **workshops**. These workshops are the core of stakeholder decision-making in the District Strategic Development Planning process. For each, a summary is provided that describes workshop participants, duration, and activities. In addition, numerous stages of the process suggest opportunities for broad **public participation**. As the level of community engagement and the tools used will vary according a community's context and local values, the community engagement tools are provided as references rather than prescribed activities.

Icons and colour coding are used to differentiate between various activities, suggestions, and information. They are designed to make the information in this manual more accessible while allowing for smooth transitions from one task to the next.

**Module One:**
**Where are we now?**

**Module Two:**
**Where do we want to go?**

**Module Three:**
**How do we get there?**

**Module Four:**
**Have we arrived?**

**Workshop**

**Meeting**

**Participatory planning tool**

**Deliverable**

**Idea**

**Checklist**

**Reminder**

**General Information**

The table on the following pages, **Planning Modules with Correlating Activities**, provides an overview of the manual's structure, the participatory process for *District Strategic Development Planning*.

| PLANNING MODULES WITH CORRELATING ACTIVITIES | | | |
|---|---|---|---|
| **Modules** | **Steps** | **Tasks** | **Tools for Participation** |
| **WHERE ARE WE NOW?** | **1. Planning to Plan** | 1.1 Form a core planning team | |
| | | 1.2 Get organized, get commitment, build trust | **Project Planning Meeting** |
| | | 1.3 Design the planning process | **Project Implementation Plan Meeting** |
| | **2. Stakeholders & Participation** | **WORKSHOP #1: STAKEHOLDER ANALYSIS** | |
| | | 2.1 Identify & assess stakeholders | #1 Stakeholder Identification<br>#2 Stakeholder Analysis Matrix |
| | | 2.2 Form Stakeholder Group | |
| | | 2.3 Organize the DSDP Stakeholder Group | #3 Stakeholder Terms of Reference |
| | | **WORKSHOP #2: PARTICIPATORY PLANNING** | |
| | | 2.4 Design and agree upon participatory planning activities | |
| | **3. Situation Analysis** | 3.1 Conduct a situation analysis for the District | **Data Review Stakeholder Meeting**<br>#4 Local Area Assessment<br>#5 Community Survey Sample<br>#6 Guidelines for Participatory Rapid Appraisal Fieldwork |
| | | 3.3 Create a draft Diagnostic Report | #7 Diagnostic Report Table of Contents |
| | | **WORKSHOP #3: ISSUES & OBJECTIVES** | |
| | | 3.4 SWOT Analysis | #8 SWOT Analysis<br>#9 Developing a Vision<br>#10 Working with Issues & Objectives<br>#11 Objectives Matrix for Facilitators<br>#12 Prioritizing Objectives |
| **WHERE DO WE WANT TO GO?** | **4. Visioning** | 4.1 Establish a Vision | |
| | **5. Issues & Objectives** | 5.1 Brainstorm and identify key issues | |
| | | 5.2 Convert issues to objectives | |
| | | 5.3 Organize objectives | |
| | | 5.4 Develop objectives performance measures | |
| | | 5.5 Prioritize objectives | |

| HOW DO WE GET THERE? | 6. Alternatives Assessment | WORKSHOP #4: ALTERNATIVES ASSESSMENT | |
| --- | --- | --- | --- |
| | | 6.1 Identify development alternatives | #13 Creating Alternatives<br>#14 Organizing Alternatives<br>#15 Evaluating Alternatives - Technical Analysis<br>#16 Evaluating Alternatives - Swing Weighting<br>#17 Evaluating Alternatives - Final Value Analysis |
| | | 6.2 Organize alternatives | |
| | | 6.3 Evaluate alternatives | |
| | | 6.3 Negotiate and agree on alternatives | |
| | 7. Action Planning | WORKSHOP #5: ACTION PLANNING | |
| | | 7.1 Action Planning | #18 Action Planning Framework<br>#19 Force Field Analysis |
| | 8. Strategy Development | 8.1 Establish Implementation Plan | |
| | | WORKSHOP #6: MONITORING | |
| | | 8.2 Establish monitoring framework | #20 Monitoring Framework |
| | | 8.3 Identify & procure implementation resources (if necessary) | #21 Proposal Writing |
| | | 8.4 Create draft strategy | #22 Strategy Documentation |
| | | WORKSHOP # 7: STRATEGY REVIEW | |
| | | 8.5 Strategy review and validation | |
| | | 8.6 Final District Strategic Development Plan | |
| HAVE WE ARRIVED? | 9. Project Evaluation | 9.1 Document the Planning Process | |
| | | 9.2 Perform Project Evaluation | Project Review Stakeholder Meeting<br>#23 Evaluation 'How To' |
| | 10. Adjust & Modify | 10.1 Recommendations, Case Studies, & Best Practices | |

## Deliverables

The following deliverables will be the required outputs of the DSDP process.

**Task 1.2** -Project Planning Meeting Brief
**Task 1.3** - Project Implementation Plan Meeting Brief
**Task 2.2** - Stakeholder Analysis Workshop Report
**Task 2.4** - Participatory Planning Workshop Report
**Task 3.3** - Draft Diagnostic Report
**Task 5.5** - Issues & Objectives Workshop Report
**Task 6.3** - Alternatives Assessment Workshop Report
**Task 7.1** - Action Planning Workshop Report
**Task 8.1** - Draft Implementation Plan
**Task 8.2** - Monitoring Workshop Report
**Task 8.4** - Draft District Strategic Development Plan
**Task 8.5** - Strategy Review Workshop Report
**Task 8.6** - Final District Strategic Development Plan
**Task 9.2** - Project Evaluation Report

# MODULE 1
# WHERE ARE WE NOW?

# Step 1: Planning to Plan



**Task:**
  1.1 Form core planning team
  1.2 Get organized, get commitment, and build trust
  1.3 Design the planning process

**Participants:**
  Technical Coordination Committee
  District Planning Unit

## Task 1.1 - Form a core planning team

Without commitment from other stakeholders, well-coordinated organization and respected leadership a strategic planning process can stall before it starts. It is critical to establish a core group to spearhead the process before the actual planning work begins. This core team will be the leaders of the District Strategic Development Planning process.

The core planning team in each District will be composed of representatives from:

### (1)    Technical Coordination Committee on District Planning
The Technical Coordination Committee (TCC) is the lead organization in developing regional planning infrastructure in Palestine. It is comprised of staff from the Ministry of Planning and Ministry of Local Government. The TCC role is to design and supervise the implementation of the District planning process.

### (2)    District Planning Unit
A District Planning Unit (DPU) is a regional planning institution that coordinates and manages development planning activities at the District level. The DPU is the lead organization for managing and implementing the development planning process.



**District Development Planning Core Team**

3

## (3)    Additional support

Although not always necessary, the core team may require additional planning support to carry out the participatory strategic planning process. In many cases an experienced facilitator can improve the efficiency of the process.

If it is determined that additional help is needed, the DPU/TCC planning team should work together to establish a Terms of Reference (ToR) to garner proposals from applicant organizations. This ToR should consider the applicant's (1) ability to facilitate the participatory strategic planning methodology, (2) experience in participatory planning at the local and regional levels, and (3) knowledge of and/or experience in the District.

### ESTABLISHING TERMS OF REFERENCE
**What to Look For**

**(1)  Ability**
Request a detailed action plan from each applicant that provides information on specific tasks, schedules, and budget needs to operationalize the planning methodology. Provide applicants with Terms of Reference accompanied by this manual.

**(2)  Experience**
Request a list of projects and activities previously undertaken that highlights the applicant's experience in strategic planning, stakeholder participation/ decision support, and local/regional development planning.

**(3)  Local knowledge**
Consider applicants with experience in or significant knowledge of the District. A greater local knowledge of the area will help the planning team to have a better understanding of dynamics, networks, and relationships within and among the communities.

### The importance of the process leader or facilitator

It is important to recognize that the process of Participatory Strategic Development Planning requires agreement and cooperation among a wide range of stakeholders who might profoundly disagree on a number of key issues. If a structured group decision process is attempted under circumstances of hostility and disrespect the results can be alienation and confusion leading to a sub-optimal process at best, failure at worst. The role of the facilitator is critical in these processes. Their purpose is to create an environment for constructive and cooperative interaction and to maximize productivity of group work and participation. Because much of the success or failure of a District development planning process is dependent on the skills of the individual(s) managing or facilitating the process, sufficient resources should be put towards training someone or finding the most skilled and appropriate person to undertake this responsibility.

## Task 1.2 - Get organized, get commitment, and build trust

**Project Planning Meeting**

Once the core planning team has been established, it is important that each of the team members has a clear understanding of his/her roles and commitments, as well as those of the other members. During the initial planning meetings, the core team members should take additional time to share past experiences and lessons learned, understand time commitments and potential schedule conflicts, and raise questions/concerns about the project. Like a good process, a strong planning team is one that is up front and honest, open and transparent, and built on relationships of trust.

During this task the core team should also discuss who the local champion of the process might be. The 'champion' is someone who believes in and is committed to the process. Typically this person is a respected and influential community member and has the ability to enhance mobilization and momentum at key phases of the project. The champion is often a community leader, but could come from any sector of society (politics, business, academia, religious community, etc.

### BUILDING A STRONG CORE TEAM

(1)  Get to know one another
Share past experiences. Discuss lessons learned from previous activities.
Identify the strengths of individual members of the core team. Consider organizing a team-building exercise in an informal setting. You will be working together for a while so it is important that you get to know one another.

(2)  Get commitment
Discuss time commitments and potential schedule conflicts. It is important that the team is aware of times when members will be unavailable to schedule accordingly and to ensure that roles are allocated appropriately.

(3)  Discuss the project
A participatory process is only as strong as those who facilitate it. Discuss the project and the planning area, but be proactive and focus on how to tap into community strengths and resources. It is important to stay positive and look for innovations and opportunities for success.

**Who is the champion?  How is one identified?**

A champion is often a community leader who believes in and supports the District planning process. This person can help to:

- **maintain momentum** for the project
- **mobilize stakeholders** for participation
- **validate the planning process** for the broader community
- **ensure resources are available** to the planning team
- drive the initiative at the **political level**

Finding a champion is not always an easy task. A champion cannot be assigned or created. This person must have a vested interest and personal commitment to the process to ensure that is moves forward. If am obvious champion does not immediately stand out, the core team can consider introducing the project and its goals to some of the District's political and community leaders.

★ **Deliverable - Project Planning Meeting Brief**

# Task 1.3 - Design the planning process

It is important for the core team to be clear about the planning scope, process and expected results before getting started. Referring to the methodology outlined in this manual, develop a detailed project implementation plan for carrying out a Participatory Strategic Development Planning in your District.

**(1)  Review the *Participatory District Development Strategic Planning Methodology* in detail**

Ensure that each member of the core team is familiar with the Participatory District Development Strategic Planning Methodology. Working as a team, determine if there are any significant conflicts or threats to implementing the planning methodology in your District. Ask the core team these questions and make agreed-upon changes if necessary:

☐    Are all the steps appropriate in the context of your District?
☐    Do opportunities exist for broader community participation?
☐    How can the process be streamlined?
☐    What should be changed to make the planning process more locally applicable?

### (2)    Establish Project Implementation Plan

**Project Implementation Plan Meeting**

For each step of the strategic planning methodology, establish a Project Implementation Plan with specific roles and responsibilities for completing each of the 10 planning tasks.  By creating a Project Implementation Plan, the core team will be better prepared to carry out the process, address constraints as they arise, and monitor progress and resource allocations through every step of the planning process. To the greatest extent possible, the Project Implementation Plan should include all the details for carrying out each of the 10-steps of the strategic planning methodology – including dates, deadlines, budget allocations, staff roles, etc. This can be organized in a task matrix, as illustrated on the following page.

When developing the implementation plans it is important to be aware of the additional time and resources required for civil society, private sector, local and national government stakeholder participation in the planning process. The Project Implementation Plan should contain, at minimum, the following:

- ☐ **Milestones** – What are the outputs of the planning process and when must they be completed?

- ☐ **Tasks** – What specific tasks and activities will be undertaken to achieve the milestones/deliverables?

- ☐ **Time Frame** – When will tasks be initiated and when are they projected to be complete?

- ☐ **Budget** – How much money is available for each task?

- ☐ **Roles** – Who will be responsible for completing each task? Who will support the activities?

- ☐ **Alterations to the process** – What changes have been made to the Strategic Planning Methodology?

- ☐ **Documentation** – Who will be documenting the process and its results?

- ☐ **Potential conflicts and opportunities** – What potential conflicts could arise that would hinder the planning process? What could support this process?

**Example of Project Implementation Plan Task Matrix**

| MILESTONE: Establish Stakeholder Group | | | | | |
|---|---|---|---|---|---|
| Task | Responsibility | Time Frame | Required Resources | Alterations to the Methodology | Documentation |
| Stakeholder Analysis Workshop | Core Planning Team | Oct 10-13 | $3000 (room, food, materials, etc) | Experts from local university invited to workshop | Notes (DPU) Reporting on process (TCC) |
| Notes: Potential participation from University professors. Dependant upon cost. | | | | | |

★ **Deliverable - Project Implementation Plan Meeting Brief**

**REVIEW CHECKLIST**
**Task One: Getting Started**

✔ Is there organization and leadership to support the participatory planning process and prepare the plan?
✔ Is there commitment to complete and implement the plan?
✔ Has a core team been formed?
✔ Is there a champion of the process?
✔ Is outside expertise required? If so, has it been retained?
✔ Are resources secured (funding, time, human resources)?
✔ Have opportunities and constraints to the planning process been identified and addressed?
✔ Has a locally applicable process been established?
✔ Has a good problem question been formulated?

# Step 2:
# Stakeholders & Participation

**Tasks:**
    2.1   Identify and assess stakeholders
    2.2   Form a stakeholder group
    2.3   Organize the DSDP stakeholder group
    2.4   Design and agree on participatory planning activities

**Workshops:**
    Stakeholder Identification & Analysis
    Participatory Planning

**Planning Tools:**
    #1   Stakeholder Identification
    #2   Stakeholder Analysis Matrix
    #3   Stakeholder Terms of Reference

**Participants:**
    Core Team
    Stakeholder Group

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**WORKSHOP #1**
**Stakeholder Identification & Analysis**

| PARTICIPANTS |
| --- |
| Core Team  (TCC, DPU, facilitators) |

| DURATION |
| --- |
| 1 Day |

| ACTIVITIES |
| --- |
| Task 1: Identify & assess stakeholders |
| Task 2: Synthesize Stakeholder Group |

## Task 2.1 - Identify and assess stakeholders

The core team will participate in a 1 day Stakeholder Identification & Analysis Workshop to compile an inventory of relevant stakeholders in the District and to assess their potential contribution to the District development planning process. Two strategic planning tools have been established to support the facilitation of this workshop.

**Planning Tool #1: Stakeholder Identification**
Stakeholder Identification can be completed in a two-hour brainstorming activity using the worksheet provided in this manual as a reference. The list of stakeholders should be broad and diverse, but should include line ministries, Local Government Units, Joint Councils, Area Development Committees, Sector Focus Groups, national and local civil society organizations (CSOs), the private

sector and other influential groups and people in the District. The list does not have to be elaborate, but should identify all groups and/or individuals relevant to the development of the region.

**QUESTIONS TO CONSIDER**

✔ Have all relevant stakeholders been identified?
For each group, consider:
- their stake in the issues (e.g., the urban poor);
- their formal position (e.g., government authority);
- their control over relevant resources (e.g., money, expertise), and;
- their power to promote, hinder or block implementation (e.g., activist groups, lobby groups).
✔ What can they bring to the process (skills, knowledge, experience)?
✔ Is there a representative sample of sectors, institutions, and local area groups?
✔ Are traditionally under-represented groups involved, such as women's groups and informal economy groups?
✔ Who has the skills, interest, political will, credibility and/or commitment to do the work that must be done? Have they been invited to participate?
✔ Have parties who will likely need to be involved in implementation of any actions been invited?
✔ How will ideas be communicated to local areas and how will feedback be handled?

**Planning Tool #2: Stakeholder Analysis Matrix**
Stakeholder Analysis seeks to assess stakeholders' potential interests, contributions, and value to the planning process. This builds from the list of stakeholders identified in Planning Tool #1. This exercise requires two hours and should be completed during the same workshop as the previous.

## Task 2.2 - Form Stakeholder Group

Building off the results of the stakeholder identification and analysis exercises, determine who should be invited to participate in the planning process as active stakeholder group members. This is a very important task to consider as the stakeholder group will act as the primary analysts and decision-makers in the District planning process. Establishing a broadly-representative stakehold-

er group will help to provide greater legitimacy for the project in the community, help generate broader community awareness and profile for the project, and provide a good range of critical thinking skills. A broad-based stakeholder group will also help make sure a full range of issues are considered, help ensure that the interests of the wider community are accounted for, and allow for the establishment of a more broad-based strategy.

In most Districts, many of the stakeholders identified in the previous activities can be accounted for through representation from the Area Development Committee (ADC) and Sector Focus Groups (SFGs). Together these groups account for the District's local and village governments, national ministries, local line ministries, civil society organizations, and experts from the major development sectors. The ADC represents local governments, Joint Councils, and civil society stakeholders engaged in regional development planning within the District. The SFGs represent sector line ministries, CSOs and experts in other development sectors. Although the SFGs differ slightly from District to District, they generally account for the sectors illustrated here.



**Sector Focus Groups**

The District Strategic Development Planning Stakeholder Group should be comprised of (at minimum):

☐    representatives from the core team (TCC, DPU)
☐    the ADC
☐    each of the SFGs
☐    other identified key stakeholders not accounted for by these groups.

When determining the DSDP Stakeholder Group it is important to be inclusive so that no major interests in the District are left out. However, stakeholder groups that are too large are less manageable and therefore less practical for active participation and good decision analysis. It is recommended that the DSDP Stakeholder Group have 20-30 participants. Groups larger than this can be accommodated. However, this requires significantly more time, resources, and facilitation support than often available. The following diagram outlines the standard representative organizations in the DSDP Stakeholder Group.

**Deliverable - Stakeholder Analysis Workshop Report**
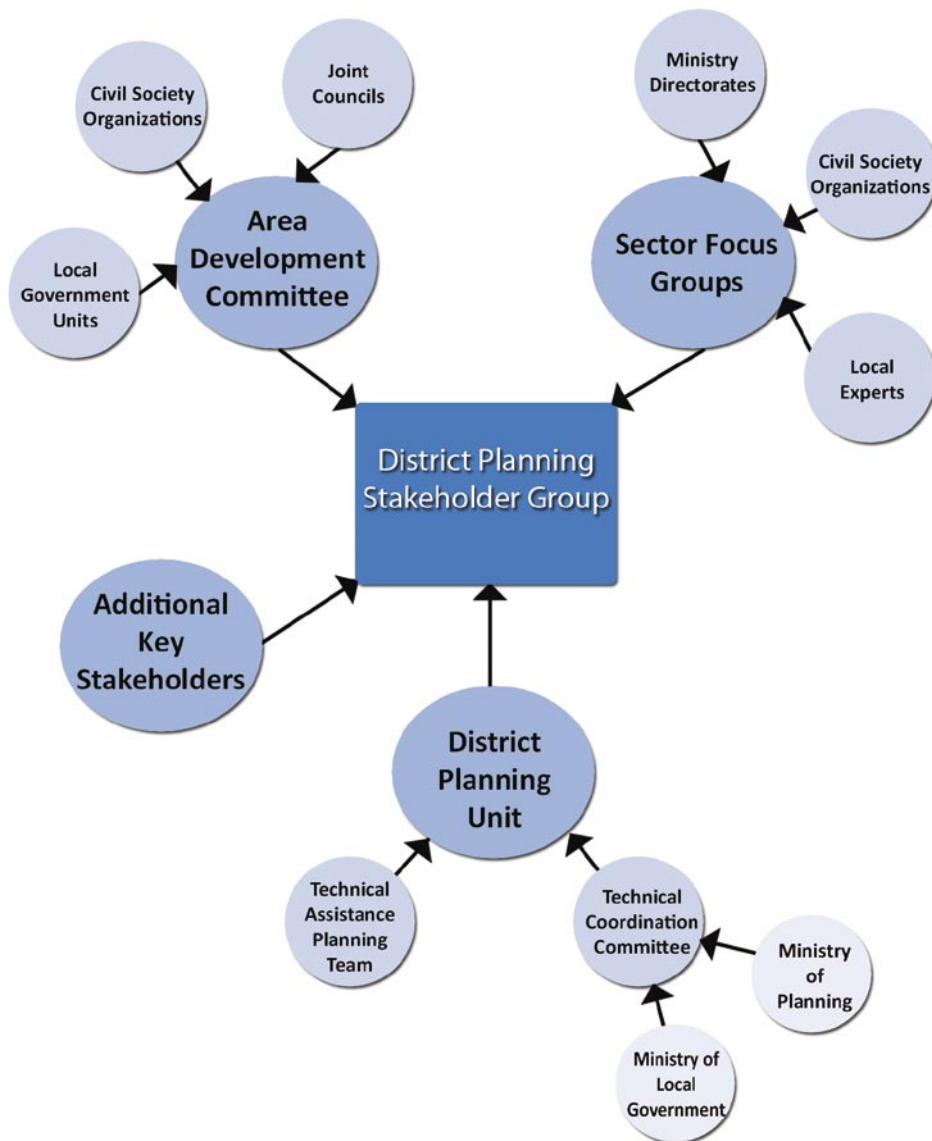


**DSDP Stakeholder Group Organizational Diagram**

## Task 2.3 -  Organize the DSDP Stakeholder Group

In order to ensure consistent stakeholder participation, it is important to inform the stakeholder group in regard to roles, responsibilities, and expectations for the planning process. To do so, establish a Terms of Reference for each stakeholder to approve and sign. The Stakeholder Terms of Reference should provide detailed expectations for each stakeholder's participation, including:

- ☐      activities to be jointly undertaken
- ☐      roles of the participants throughout the process
- ☐      standards for information gathering and sharing
- ☐      decision-making methods (including dispute resolution and review)
- ☐      resources to be provided by each partner
- ☐      agreements on how the outcomes of the planning process will be integrated into the planning activities of the local area

These terms of reference should be formally agreed to by the members of the D Stakeholder Group and periodically reviewed. Asking stakeholder group members to sign a Terms of Reference will ensure that they are committed to the process, available to participate when they are needed and adequately informed about upcoming activities.

**Planning Tool #3: Stakeholder Terms of Reference**
Planning Tool #3 helps the core team establish a Terms of Reference for the stakeholder group by providing key questions to be answered in the ToR. Answering these questions by referring to the Project Implementation Plan will help to establish clear expectations from stakeholders while ensuring their commitment to the process when they are needed.

## Task 2.4 - Design and agree on participatory planning activities

Conduct a workshop with the Stakeholder Group to discuss and agree on the DSDP Methodology, the draft Project Implementation Plan, and the Stakeholder Terms of Reference. This includes the identification of opportunities for more broad-based participation. Provide copies of all documents (Methodology, Implementation Plan, ToR) to each of the stakeholder group members prior to the workshop, allowing enough time for participants to become familiar with the details of each.

**WORKSHOP #2**
**Participatory Planning**

**PARTICIPANTS**

Core Team and Stakeholder Group

**DURATION**

3 Days

**ACTIVITIES**

**Day 1:** Participatory Strategic Development Planning training
**Day 2:** Engaging the underrepresented
**Day 3:** Broad participation; validation of process; Terms of Reference

## Day One

Begin the workshop with a step-by-step introduction to the planning process, the participatory tools it will utilize, and the decision analysis activities they will be undertaking. It is important that the group has a basic, but solid, comprehension of the planning process as they will be the ones reporting back to their communities and constituents. It is also recommended that the core team present an overview of the draft Implementation Plan to the stakeholder group.

Allow the group to comment on the process. If changes are suggested, discuss them as a group and make sure they are agreed upon before moving forward with revisions. These activities should take no more than one day.

## Day Two

Once the planning methodology has been presented and the draft Implementation Plan has been agreed upon, provide a workshop module on garnering participation from traditionally underrepresented groups of society. To engage the broader community effectively, it is important that the core team and stakeholder group has a basic understanding of the barriers to participation for women and other underrepresented groups (e.g. youth, informal, poor). If there is not adequate capacity on the core team to do so, outside help may be required. This should, however, be accounted for in the Project Implementation Plan.

The objective of this module is to identify approaches for promoting participation of these groups. Once opportunities have been identified and agreed upon, incorporate them into the draft Implementation Plan. These workshop activities should take one day.

## Day Three

On the third and final day of the workshop, carry out an activity to identify ways of engaging the broader public in the DSDP process. Working with the stakeholder group, brainstorm opportunities for broad public engagement and



Better for complex, high-stakes, or multi-interest decisions

Meaningful consultation throughout process; looking for substantive input.

More Public Involvement

Stakeholder-Based Direct Involvement

Stakeholder meetings; stakeholder workshops; Advisory council or committee

Series of events open to public or targeted stakeholder groups; looking for informed input.

Early/Middle/Late Education and Substantive Input

One time public comment; looking for minimal input.

Open houses; town meetings; focus groups; information meetings; informal sessions; interviews; surveys; mass communications

Minimal Involvement

No public Involvement

Public hearings; one town hall meeting; or public meeting at end of process

Decide & Announce

Public announcement or press release

Less Public Involvement

Common for emergencies, obvious & low-stake decisions

**The Range of Public Involvement Options in Decision Making**

determine which opportunities are achievable within the constraints of the project timeline and budget. This could be as involved as community workshops and open houses or as minimal as a communication strategy for informing the broader public.

If any feasible and easily implementable opportunities are identified and agreed upon in the workshop, they should be incorporated into the draft Implementation Plan. Once opportunities for participation have been determined and agreed upon by the group, ask the stakeholder group to officially validate the process and their role in it by individually signing the Stakeholder Terms of Reference. Remember, the object of this workshop is validation. It should conclude with everyone agreeing on any changes to the Project Implementation Plan and signing the Stakeholder Terms of Reference.

★ **Deliverable - Participatory Planning Workshop Report**

**WORKSHOP OBJECTIVES**

✔ To introduce the stakeholder group to one another and to the core team
✔ To introduce the stakeholder group to the planning methodology and the implementation plan carry it out.
✔ To provide training in Participatory Strategic Development Planning
✔ To sensitize the group to barriers of participation for the traditionally underrepresented (women, youth, informal sector, poor)
✔ To identify ways to encourage and empower women, youth, the informal sector and other traditionally overlooked groups to participate in the planning process
✔ To determine and agree upon opportunities for more broad-based stakeholder participation
✔ To get agreement over the planning methodology and Iplementation Plan; and to make changes, if necessary, to ensure that it is locally applicable
✔ To secure commitment of stakeholders for the planning process by agreeing to the Stakeholder Terms of Reference

# Step 3: Situation Analysis

**Tasks:**
   3.1  Conduct a Situation Analysis for the District
   3.2  Create a draft Diagnostic Report

**Planning Tools:**
   #4  Local Area Assessment
   #5  Community Survey Sample
   #6  Guidelines for Participatory Rapid Appraisal Fieldwork
   #7  Diagnostic Report Table of Contents

**Participants:**
   Core Team
   Stakeholder Group

## What is a situation analysis?

A situation analysis explores relationships and organizational networks within the District and between the District, the Territory, and the rest of the world. It examines the capital base and how the area functions. It looks at current land use and patterns, transportation, solid and liquid waste management, water supply and delivery, the local economy and trends, demographics, human health and welfare, socio-economic trends, the state of the environment and other data relevant to planning at the District level. Using both historical and current data, the situation assessment will provide baseline data to identify and prioritize important issues to be considered in development plans for the future. This requires a broad understanding of the District, the communities it encompasses, and the people and institutions that inhabit it.

## Why conduct a situation analysis?

### To have a basic understanding of the region

Having a basic understanding of the District and its communities is important to developing an effective regional plan. This requires identifying local strengths and building on them; realizing weaknesses and addressing them; supporting specific activities to take advantage of opportunities; and mitigating threats and adverse impacts.

### To differentiate facts from values

Throughout the planning process it is likely that there will be discussions that confuse facts with values. Facts are what are known, given assumptions and uncertainty (e.g., unemployment rate is at 12%; 20% of the families live below the poverty line). Values are what are important to individuals (making gains in poverty reduction is a very important issue). At this point of the process, it is

**DATA COLLECTION
KEY QUESTIONS**

✔ What information exists about your District and its communities?
✔ What will this information be used for?
✔ Will it help make decisions?
✔ Is it possible to get a good set of initial data cheaply, through desktop studies and meetings with experts and knowledgeable people, and then fill key data gaps later? Or is a more comprehensive, participatory, community-based program necessary to collect new data?

possible to begin to differentiate between facts and values. The situation analysis seeks to understand facts, and the assumptions behind them. As much as possible, it is important to maintain clarity and separation between these issues throughout the process to avoid confusion, unnecessary conflict and delay. Later, in **Step 5** and **Step 6** we begin to explore values by using facts as a basis -- asking what is more important and why.

## Task 3.1 - Conduct a Situation Analysis for the District

The process of establishing a situation analysis can be as simple or complex as resources allow for. Some District planning projects will allocate time and resources to collect extensive data – from desktop studies to comprehensive Participatory Rural Appraisal activities and everything in between. However, not all planning processes allow for significant detail. Whatever level of detail is possible in your community, it is important to remember that the data collection process should seek the best and most recent information available. Where budgets or human resources are limited, a situation analysis can be done quickly and efficiently to save time and budget for the analytical stages of planning. The following schedule of activities for Situation Analysis represents the minimum requirements suggested for Participatory Strategic Development Planning in Palestinian Districts. If additional resources are available, this process can be expanded at the planning team's discretion.

**Data Review Stakeholder Meeting**

**(1)    Clarify and expand upon data requested in the DSDP Methodology**

As a core planning team, review District and village profile indicators provided below and make additions where necessary. In certain regions, there may be some indicators that are particularly relevant to that District. For example, rural Districts may have to pay particular attention to agriculture. Urban Districts,

on the other hand, may require additional attention for zoning and development permitting. Determine which indicators need to be included in the situation analysis and incorporate them into a database (e.g. Dev-Info[1]). Confirm the data collection areas with the Stakeholder Group. This can be done electronically to save time. This will act as the foundation for all research regarding Districts in Palestine.

## Key Situation Analysis Data Sets

### Infrastructure & Development
Assets
Community technology
Any existing plans and programs

### Land & Resources
Location (including maps)
Surrounding areas
Land use by type (residential, commercial, agricultural, industrial, transportation, etc.)
Utilities and servicing (water, sewer, electricity, etc.)
Special use areas (e.g., agricultural land, environmentally sensitive areas, etc. )
Resources available (including uses)
Any existing plans and policies

### Governance
Central leadership body
Other leadership bodies
Government relationships (area, municipal, district, regional)
Programs, services, and policies
Staffing levels

### Demographics
Population
Population growth rate
Age distribution
Gender distribution

### Economy
Employment rates
Employment industries (sectors, seasonality)
Human resources inventory
Economic organizations
Any existing plans, policies and programs

### Health
Statistics (diseases, mortality rates, substance abuse)
Programs and services
Any existing plans and policies

### Social
Statistics (educational attainment, literacy, social issues)
Programs and services
Community organizations
Any existing plans and policies

### Culture
History/culture of the local area
Role of culture in local area
Cultural assets and historical sites
Programs and services
Community organizations
Any existing plans and policies

1. DevInfo is a desktop database application for collating accessing, and tracking information on human development. DevInfo was originally developed under UN partnership in order to help track the Millennium Development Goals and other national priorities. The system organizes data by indicators, time periods and geographic areas with extensive metadata based on international standards.

**(2) Collect and review research and analysis already completed**

Identify, collect, and analyze research already completed on the district. Sources of information may include past city and town plans, planning studies, master's theses from regional universities, government, civil society, and private sector projects and programmes.

**DATA COLLECTION TIPS**

✔ The data collection process should take advantage of the best available information, even if it qualitative, within the resource constraints available.

✔ Beware of data bias, which occurs when only the data that is already available is used to make decisions. Often information is available for formal activities only, leaving informal activities and other vulnerable groups out of the process.

✔ When hard data are not available, it is possible to use qualitative data, or descriptions.

✔ Without restrictions, data collection could go on indefinitely and consume an entire budget. Not having a complete and comprehensive set of data should not stop the process.

**(3) Map the ongoing and planned interventions**

Perform a review of development planning projects and literature occurring in the District. Review all relevant existing studies and documents from government, donors, civil society, academia, and the private sector. Request interviews to gather additional information if necessary. It is important to ensure that decision-makers are aware of other activities in the region to avoid replication and allow for program coordination and collaboration opportunities.

**(4) Review and assess the current developmental policies, processes and structures**

Through desktop studies, conduct an analysis of government policies and programs in the District. Compile information on the District's legal and regulatory framework and development permit process. This should include Sectoral National Plans, Medium Term Plans, land-use plans, local bylaws, and other relevant policies

**(5) Establish village/city and district profiles as well as targeted sector analyses**

Working with members of the stakeholder group, collect data on capital (human, social, financial, physical, natural) at the District and village/city levels through secondary resources, fieldwork, interviews and surveys. Prior to developing individual profiles, create a reporting structure that all localities will use in order to ensure cohesion among reports. This will allow for easier data integration and ensure that no significant community sectors are missed. When particular data sets are not available, be sure to identify gaps in information when reporting. Refer to Key Situation Analysis Data Sets for general information to consider for inclusion in the profiles.

## (6)  Identify the current resources, assets, needs and potentials on the ground

Data collection, when appropriate, should not be limited to desktop research and top down information gathering. If determined to be an option, implement the process of community-based data collection determined in Step 2 to identify community resources, assets, needs, and potentials on the ground. Community-based data collection can be accomplished in a number of ways including public meetings, open houses, community forums, surveys and a variety of Participatory Rapid Appraisal methods. Conducting workshops, focus groups, and interview sessions in locales within the District can provide high quality qualitative date and also help to identify additional on-the-ground needs.

Three community-based data collection tools are provided for consideration below.

### Planning Tool #4: Local Area Assessment

The Local Area Assessment Interview Tool allows researchers to gather qualitative information from community members through direct, person-to-person interviews. The interviews are intended to be quick and easy to complete, often completed in five minutes or less. This manual provides a sample interview that can be implemented by one researcher in only a few minutes. It is designed to garner respondents' opinions about the land use and development planning context of their communities.

### Planning Tool #5: Community Survey Sample

Surveys allow researchers to target larger numbers of people in order to gather information about their community. Surveys can reach the community in a variety of ways, including by mail, over the internet, door-to-door and distribution at meeting places and events, etc.  Surveys can vary greatly in scale and precision depending on time and budget allocations. As respondent numbers increase, it is recommended to accompany the survey with correlating database software for analysis (e.g. Dev-Info). The Community Survey Tool provides a sample survey for collection of both qualitative and quantitative data from a broad sample of community members. Numerous question formats are provided as references.

**Planning Tool #6: Guidelines for Participatory Rapid Appraisal Fieldwork**

Participatory Rapid Appraisal (PRA) is a way of utilizing imagery and dialogic community engagement techniques to gain an understanding of a community's values or views on a particular subject. PRA programs consist of any number of community-based methods of data collection including interviews, focus groups, mapping, etc. PRA is generally a relatively fast and intensive process that takes less than one month to complete. It is intended to be a process that is led by local people, for local people. The Participatory Rapid Appraisal Tool in this manual provides general guidelines and information about PRA and a number of common PRA tools.

**(7)   Perform future projections, predict trends and set assumptions and scenarios (development framework)**

Building off the information compiled during the data collection process, provide projections and scenarios for population, land use, economic development, and other relevant development sectors relevant to the District and its villages/municipalities. Establishing this development framework may require outside expertise if it is not readily available among the core team and stakeholder group. If this is the case, establish a panel of experts to develop land use/economic welfare/demographic projections and scenarios based on the data collected. This panel may be comprised of experts from the private, public, academic, and civil society sectors with relevant experience in scenario assessment. Make sure that establishing an expert panel is within the budget of the project. This should be identified when establishing the Project Implementation Plan.

**Deliverable - Data Review Stakeholder Meeting Brief**

## Task 3.2 - Create a draft Diagnostic Report

Draft a Diagnostic Report of situation analysis finding; including city and village profiles, community-based Participatory Rapid Appraisal data collected (if any), policy analysis, scenario projections, and an assessment of gaps in information to be pursued in future processes. This report should be designed to be easy-to-read and accessible to all sectors of society, as it will serve as the foundation for future analytical phases of the planning process. Organize the

report according to structure established in Tool #7: Diagnostic Report Table of Contents.

**Planning Tool #7: Diagnostic Report Table of Contents**

The Diagnostic Report Table of Contents Tool is provided to establish a general framework for data collection and presentation of situation analysis information. It is not intended to be followed rigidly. However, this tool highlights the main areas commonly addressed in regional planning profiles. Using the tool as a guide, make the changes necessary to be more locally specific. Include additional information if necessary but try to maintain a similar presentation format to what is presented. This will allow for better central reporting and analysis with other Districts.

Once the draft Diagnostic Report is complete, provide copies to the Stakeholder Group for review and feedback. If any changes are deemed necessary by the group, make them accordingly. Once complete, ensure that every member of the Stakeholder Group is familiar with the document as it will be a vital component of the next project task – SWOT Analysis.

Be sure to revisit the Dev-Info database to include all relevant data from the situation assessment process.

**Deliverable - Draft Diagnostic Report**

# MODULE 2
# WHERE DO WE WANT TO GO?

Visioning
4

Issues &
Objectives
5

**Module Two: Where do we want to go?** is composed of two planning steps, Visioning and Issues & Objectives. These steps are completed over 3 days in Workshop #3: Issues & Objectives.

**WORKSHOP #3**
**Issues & Objectives**

**PARTICIPANTS**

Core Team and Stakeholder Group

**DURATION**

3 Days

**ACTIVITIES**

**Day 1:** SWOT Analysis; Visioning
**Day 2:** Identifying Issues & Objectives
**Day 3:** Objectives Prioritization; Review

Workshop #3: Issues & Objectives is comprised of three days of stakeholder activities that build toward the establishment of the District's development objectives, the principal analytical tools of the planning process.

## Day One

Day One of the workshop begins with a stakeholder analysis of the District's strengths, weaknesses, opportunities and threats to development. This is commonly called a SWOT analysis and is followed by a group activity to formulate a vision for the District's future[2].

## Day Two

Day Two engages the stakeholder group in a series of activities that (1) identify the core development issues the District is facing; (2) establish a list of development objectives for the District to pursue; and (3) organize these objectives for later analysis.

## Day Three

During Day Three, the group will establish measures (or indicators) for the objectives identified during Day Two. Using data from the Diagnostic Report, the group
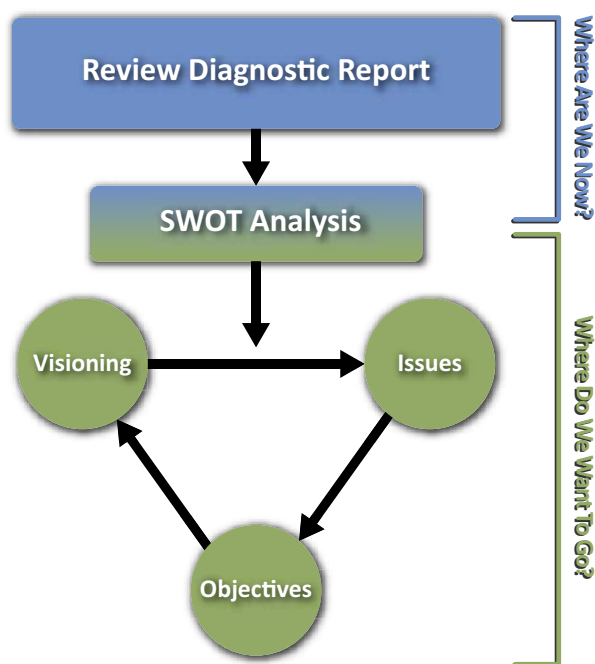


**Workshop #3 Activities**

2. Although SWOT is often considered part of the Situation Assessment process outlined in Module One, it has been included in Module Two because of its inclusion in this stakeholder workshop.

will determine the District's current situation as it pertains to each objective. The group will then consider the potential regional planning situation in relation to each of the objectives and determine how, in the context of the project, regional planning could positively affect each objective. With measures established and agreed upon, the group will then rank the objectives. Finally, the stakeholder group will revisit the results of the previous three days to ensure that the final list of prioritized objectives is consistent with the vision determined on Day One.

Activity details for Workshop #3: Issues & Objectives are provided in the following Sample Workshop Schedule.

**Sample workshop schedule**

| Time | Activity | Duration | Tools |
|------|----------|----------|-------|
| **DAY ONE** | | | |
| **9.00** | Icebreakers and introductions | ½ hr | Tool #8 – SWOT Analysis |
| **9.30** | Review & discussion of Diagnostic Report | ½ hr | Tool #9 – Visioning |
| **10.00** | SWOT Analysis exercises | 2 ½ hrs | |
| **12.30** | Lunch | 1 hr | |
| **13.30** | SWOT Analysis cont. | 2 ½ hrs | |
| **16.00** | Visioning exercise | 1 hr | |
| **DAY TWO** | | | |
| **9:00** | Review of vision statements | 1 hr | Tool # 10 – Working with Issues & Objectives |
| **10.00** | Brainstorm issues | 1 hr | Tool #11 – Organizing Objectives |
| **11.00** | Organizing issues | 1 ½ hrs | |
| **12:30** | Lunch | 1 hr | |
| **13.30** | Cause-effects-outcome | 1 ½ hrs | |
| **15.00** | Linking objectives (means to ends) | 1 ½ hrs | |
| **16.30** | Issues to objectives group assignments | ½ hr | |
| **DAY THREE** | | | |
| **9.00** | Review issues to objectives matrices | 2 hrs | Tool #11 (cont.) |
| **11.00** | Establish measures for objectives | 1 ½ hrs | Tool #12 – Prioritizing Objectives |
| **12.30** | Lunch | 1 hr | |
| **13.30** | Review measures | ½ hr | |
| **14.00** | Ranking objectives | 1 ½ hrs | |
| **15:30** | Review of vision, issues & objectives | 1 ½ hrs | |

# Workshop Day One

**Tasks:**        3.4   SWOT Analysis
                       4.1   Establish a Vision

**Workshops:**    #3   Issues & Objectives

**Planning Tools:**   #8   SWOT Analysis
                       #9   Developing a Vision

**Participants:**    Core Team
                     Stakeholder Group

## Task 3.4 - SWOT Analysis

The workshop's first activity –is perhaps the most important component of the assessment phase. A SWOT analysis seeks to identify the Strengths, Weaknesses, Opportunities and Threats of the District. Planning Tool #8 – SWOT Analysis provides more details on how to perform a SWOT Analysis.

### WORKSHOP PREPARATION

Prior to the workshop, all members of the project Stakeholder Group should be provided copies of the completed Diagnostic Report. It is important that stakeholders are allocated enough time to become familiar with the document, as it will inform their activities throughout the workshop. Consider giving stakeholders at least two weeks to familiarize themselves with the material. This will also give them time to consult with their organizations and/or constituents.

### Planning Tool #8: SWOT Analysis

When undertaking the SWOT analysis, frame the assessment by using categories the stakeholder group is already familiar with (i.e. types of capital, chapters of the Diagnostic Report, etc.). As each category is examined, remember that as a general rule, strengths and weaknesses are internal to the district (i.e., the conditions already exist) while threats and opportunities are typically external to the community (i.e., a nearby road that is not actually within the bounds of the District may pose an opportunity to improve transportation linkages, or threaten to take traffic and trade to another community).

**Sample SWOT Analysis**

| FACTORS | INTERNAL | EXTERNAL |
|---|---|---|
| **POSITIVE** | **Strengths**<br><br>Positive characteristics or advantages:<br>☐ Favourable climate<br>☐ Fertile agricultural land<br>☐ Business friendly municipal government<br>☐ Plentiful supply of water river<br>☐ High levels of education and literacy | **Opportunities**<br><br>Factors that can improve, enhance development:<br>☐ Presence of international community<br>☐ Mineral deposits and potential for development of extracting industry<br>☐ Spring waters<br>☐ Young labour force<br>☐ Development of the agri-industry |
| **NEGATIVE** | **Weaknesses**<br><br>Negative characteristics or disadvantages:<br>☐ Weak institutional framework for regional development<br>☐ Lack of partnership between government and the private sector<br>☐ Weak physical infrastructure<br>☐ Lack of reliable power supply and power distribution system<br>☐ Non functioning waste collection<br>☐ Unclear status of land ownership and property rights | **Threats**<br><br>Factors and situations that can hinder development:<br>☐ Political instability and undetermined status of region<br>☐ Inefficient collaboration between local governments and central administration<br>☐ Lack of coordination in donor programs<br>☐ Lack of legal infrastructure and ambiguity in property rights<br>☐ Unfair competition to local producers due to occupation<br>☐ Out-migration of skilled workers |

# Step 4: Visioning
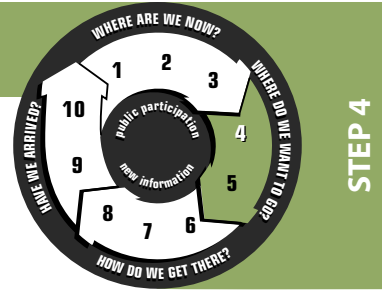
## What is in a Vision?

The vision begins to answer the question *"Where do we want to go?"* It is a snapshot of the desired future. It makes clear the core values and principles that are central to what the District wants to become. The vision is informed by the current situation, but looks to a future where the planning goals have been met. Objectives and actions are then based on this vision, thereby connecting the vision to practical decision-making.

## Why develop a Vision?

Visions are an important way to harness the imagination. By imagining an ideal future, while considering the current reality, tension is created. As human beings, we respond to this tension with an impulsive desire to close the gap. A clearly articulated vision statement provides a continuous point of reference to keep closing the gap and keep the process headed in a desirable direction. As a general expression of values, visioning provides an opportunity for the local area to think in broad terms about the future. Developing the vision also provides the opportunity for dialogue, learning, relationship building, and awareness-raising. Finally, insight from the visioning process supports development objectives - the decision-making framework (see Objectives in Step 5).

## Vision Timeframe

When developing a vision it is essential to ask: "What do we want the District to be like in the future?" The timeframe for this future will need to be specified to help guide the process. Often 3-5-10 year timeframes are selected to keep the vision realistic and to allow for successes to be measured; these also may reflect practical constraints imposed on the plan (e.g., a politician's terms in office). Shorter time frames can be helpful because it is important to get tangible results on the ground and address urgent needs.

However, constraining the period also tends towards reward-seeking and limits the ability to make long-term investments or achieve structural and institutional change. Certainly, shorter or longer periods can be planned for, depending on the level of transformation or development hoped for. Often, a phased approach with both short term and some long-term visions is a good approach.

## Being Creative with Visioning

Do not be afraid to integrate creative methods in vision development. For example, in *Guimaras, Philippines* the lights were dimmed and participants were asked to close their eyes and actually envision in their minds eye the future they would like to see. Then they were asked to write down descriptive words that portrayed this vision.

In *Horezu, Romania* participants were divided up into groups and given a piece of paper in the shape of a pedal of a flower. Each group was asked to draw a picture of an aspect of their desired future. Some words were also allowed. The petals were combined to form a flower and as participants described the pictures, notes were taken that led to the development of the vision for Horezu. Prior to this activity, children at a local school were asked to participate in the visioning by painting their vision of Horezu's future. These paintings were shown to the participants before the workshop began.

**VISIONING
AND
PARTICIPATION**

While a vision makes an effective way to begin a process (e.g., as an "ice-breaker"), be careful not to use too much of the participants' energy and time, or your budget, on this step. It is easy to get sidetracked here, and then not have enough resources or participant enthusiasm for the more concrete decision-making steps that are discussed in Steps 5-8. In some situations it maybe helpful to briefly revisit the vision after objectives have been clarified. Doing this helps to ensure that the planning objectives are aligned with the vision.

## Task 4.1 - Establish a Vision

**Planning Tool #9: Developing a Vision**

It is important that the District's vision be grounded in the facts identified through the situation analysis and SWOT. This helps to ensure that the vision is both realistic and attainable. Be sure that everyone is familiar with the SWOT Analysis and feels comfortable with its results. This should not be a major undertaking as the visioning exercise will occur on the same day as the SWOT. If time constraints do not allow for this to happen, provide the group with adequate time to revisit the SWOT and any other work deemed valuable to the process. This may include the Diagnos-

## VISIONING PRINCIPLES

✔ **Be both specific and general:** being too abstract doesn't have any

✔ **Be accountable:** have an open and transparent visioning processing

✔ **Use the past as a resource:** draw on history and tradition to determine how to face the future

tic Report, visions established by municipalities/villages, results from Participatory Rapid Appraisal activities, and other planning documents created within the District.

Once the stakeholder group feels that they have a solid understanding of the SWOT Analysis (and other necessary information), begin the visioning process by asking participants the questions listed in Planning Tool #9. Be sure to provide the group with enough silent time to envision their futures.

Ask respondents to place their visions, in the form of descriptive words or phrases, on note cards. Have them read them aloud to the group, taping them to a wall or flipchart. If the stakeholder group is large, it may be necessary to limit responses to 3 per person. As they are placed on the wall, collect and group similar ideas or themes. Once the themes are agreed upon, ask for a volunteer from the group to 'wordsmith' one or two vision statements. Ask them to return with the statements on the following day. The group's agreement on the chosen statement will be a good segue into issues analysis and objectives formulation.

## Vision samples

*Vancouver, British Columbia, Canada*
Greater Vancouver can become the first urban region in the world to combine in one place the things to which humanity aspires on a global basis: a place where human activities enhance rather than degrade the natural environment, where the quality of the built environment approaches that of the natural setting, where the diversity of origins and religions is a source of social strength rather than strife, where people control the destiny of their community; and where the basics of food, clothing, shelter, security, and useful activity are accessible to all.

*Cajeme, Sonora, Mexico*
A municipality with a high quality of life and plenty of opportunities. A local area that is participative, democratic, honest, responsible, entrepreneurial and constantly looks for its integral development. A municipality in harmony with its environment, with a diversified economy and efficient services where the human dignity and the universal rights are respected."

*Santa Fe County, New Mexico, USA*
Santa Fe County Government strives to be a responsive, cutting edge organization which has integrated the vision of its citizens, employees and elected officials. Santa Fe County is strongly committed to protecting and serving our cultural traditions, pristine resources, and diverse communities. Our administration is dedicated to the health, safety, and welfare of the public we serve and to ensure the quality of life and preservation of resources for future generations. Citizen involvement is an essential and integral component to the success of Santa Fe County government. Santa Fe County is committed to working collectively with constituents to solve problems confronting our communities as we move into the twenty-first Century.

# Day One Wrap Up

## Revisiting the Vision

Once an agreed-upon vision statement has been established, it is important to keep stakeholders aware of it throughout the planning process. After the completion of Step 5: Issues and Objectives, it is recommended that the stakeholder group revisit the vision statement to ensure that it does not contradict the final list of objectives. Keep in mind that a strong vision can be considered the culmination of achieving each of the District's objectives.

If possible, post a copy of the vision statement during all planning activities - both with the stakeholder group and in broad community participation activities. This will help to keep responses focused on the positive changes possible for the future.

# Step 5: Issues & Objectives

## Workshop Day Two

| | |
|---|---|
| **Tasks:** | 5.1 Brainstorm and identify key issues |
| | 5.2 Convert issues to objectives |
| | 5.3 Organize objectives |
| | |
| **Workshops:** | #3 Issues & Objectives (cont.) |
| | |
| **Tools:** | #10 Working with Issues & Objectives |
| | #11 Objectives Matrix for Facilitators |
| | |
| **Participants:** | Core Team |
| | Stakeholder Group |

## What are Issues?

Issues can generally be considered as the problems a District is facing. Although on occasion issues can be positive, they generally reflect the weaknesses or constraints that a region is facing. For this reason, good issue lists are often forged from the results of a SWOT Analysis that is well-grounded in a comprehensive and up-to-date situation analysis. Issues are the backbone of objectives.

## What are Objectives?

Objectives are the basis for generating and designing strategy options and ultimately form framework of the strategic plan. They answer the question "What matters?" and ask "What is important about District development?" They also define priorities for development, provide decision criteria for evaluating strategy options and are the basis upon which actions are ultimately decided. Objectives guide the design of strategy options, they allow for evaluation of those strategy options and they provide a basis for making tradeoffs and building real consensus – the core of decision-making. After all, actions are taken to achieve objectives, so it is wise to be clear about what your objectives are.

An objective is formed by converting issues and concerns into succinct statements that describes a direction of preference (more-less) and a noun (e.g., "Promote Community Health" or "Reduce Poverty"). Identifying a full range of objectives helps to avoid making unbalanced or poor decisions.

Setting objectives may take longer than expected, but it is important to take the time necessary to ensure that objectives are complete, concise, and controllable. Well-constructed objectives will not only provide direction for decision-making but also a framework for monitoring and evaluating how well-chosen actions fulfill the local area's vision of the future (described in Step 9).

**Step 5 Issues & Objectives** seeks to establish and prioritize objectives -- the building blocks of the District strategic plan. In order to establish objectives that are realistic and achievable, it is critical to link the objective setting process to previous milestones in the planning process, particularly the situation analysis, SWOT, and vision.

As described in the beginning of Module Two, the situation analysis informs the SWOT exercise. The results of the SWOT, particularly the weaknesses and threats, are then used to help establish a list of the District's issues. With an organized and expanded list of issues, the process of converting them into objectives begins. Once measures have been established for these objectives, they can be ranked and prioritized to support future analysis of alternatives and strategy options.

Day Two of the Issues & Objectives Workshop will begin with the identification of issues and will conclude with the creation of a broad wish list of objectives.

**Planning Tool #10: Working with Issues & Objectives**
Planning Tool #10 is designed to help facilitate the stakeholder group's identification of issues, the conversion of these issues into objectives, and the organization of a broad list of objectives. It provides references for completing the following two tasks:

**Task 5.1 - Brainstorm and identify key issues**
**Task 5.2 - Convert issues to objectives**

## Task 5.1 - Brainstorm and identify key issues

When identifying key issues, it is good opportunity to let the stakeholders 'unload' their thoughts and concerns about the District's development in order to get everything out on the table. This should be a highly participatory process. The benefit of using brainstorming is that it is non-evaluative: anyone can contribute any idea to the list without being afraid of being ridiculed, or having

his or her idea immediately rejected. Exercises that encourage independent thinking combined with group contributions are often a productive way to initiate this task.

Poor solid waste management

Limited access to credit

**Few internet conntections**

**Lack of local revenues**

**Bad roads**

*Too many street vendors*

Not enough security

Not enough housing

Not enough health services

**Loss of agricultural land**

*Poor repuation*

Homelessness

Land is expensive

Sporadic power supply

No export market for local products

**Poor water quality**

**High rate of poverty**

Few jobs for women

Not enough jobs.

LOW LITERACY RATE

Destruction of sacred sites

Lack of government services

**Conflict between communities**

*EXAMPLES*

**Examples of District development issues**

## Task 5.2 - Convert issues to objectives

Begin by organizing the issues into groups or themes (e.g. governance, economy, infrastructure, education, etc). This best done by a facilitator with input from the stakeholder group and can be done through open dialogue among the workshop participants in under an hour. Be aware that it is not uncommon for issues to be applicable to multiple themes. Under these circumstances, redundancies may be acceptable. Otherwise, eliminate double descriptions.

Once the issues have been organized into groups, the facilitator will lead the group through an analysis process that delves more deeply into the "Why?" behind the issues and helps to identify its causes, effects, and outcomes. The challenge for the facilitator will be to make sense of the 'issues chaos' by grouping ideas, putting higher level and lower level issues together, and separating means from ends.

The facilitator will begin the activity by leading the group in a discussion to differentiate between symptoms and core causes – linking issues with their root causes. This begins by taking an issue and linking it backward to its core cause. Ask the group what causes the issue? When a cause is identified, ask them to identify what creates the cause they identified for the issue. Keep asking about the root cause until the question can no longer be answered. The results of the discussion should be recorded by taping note cards to a wall and drawing arrows between them, so that the multiple causes are organized under the issue card.

Once the core causes have been identified, then link forward to determine the issue's effects. Ask the group, "How do we know that this is a problem?" For any problems that are identified ask, "Why is it a problem?" Keep asking "Why?" until the group has exhausted the question. Write these answers on cards and post them on the wall, also linking them with arrows.

By the end of this activity, the groups will have established any number of problem trees. A problem tree is simply a graphical arrangement of issues differentiated as causes and effects, linked by a core problem. Establishing problem trees helps stakeholders understand the context and interrelationship of issues, as well as the potential impacts of directing a strategy option toward a specific issue. An example of a problem tree is provided on the following page.

Once these problem trees are complete and the 'raw' core issues have been identified, they should then be grouped and restated as objectives. Referring to the problem trees, ask the following questions:

- ☐     Why is the issue important?
- ☐     How does it relate to District development?
- ☐     In tackling this issue, what is the desired outcome?
- ☐     What would be the desired end state?
- ☐     What would be the outcome if we cure the symptom or issue?
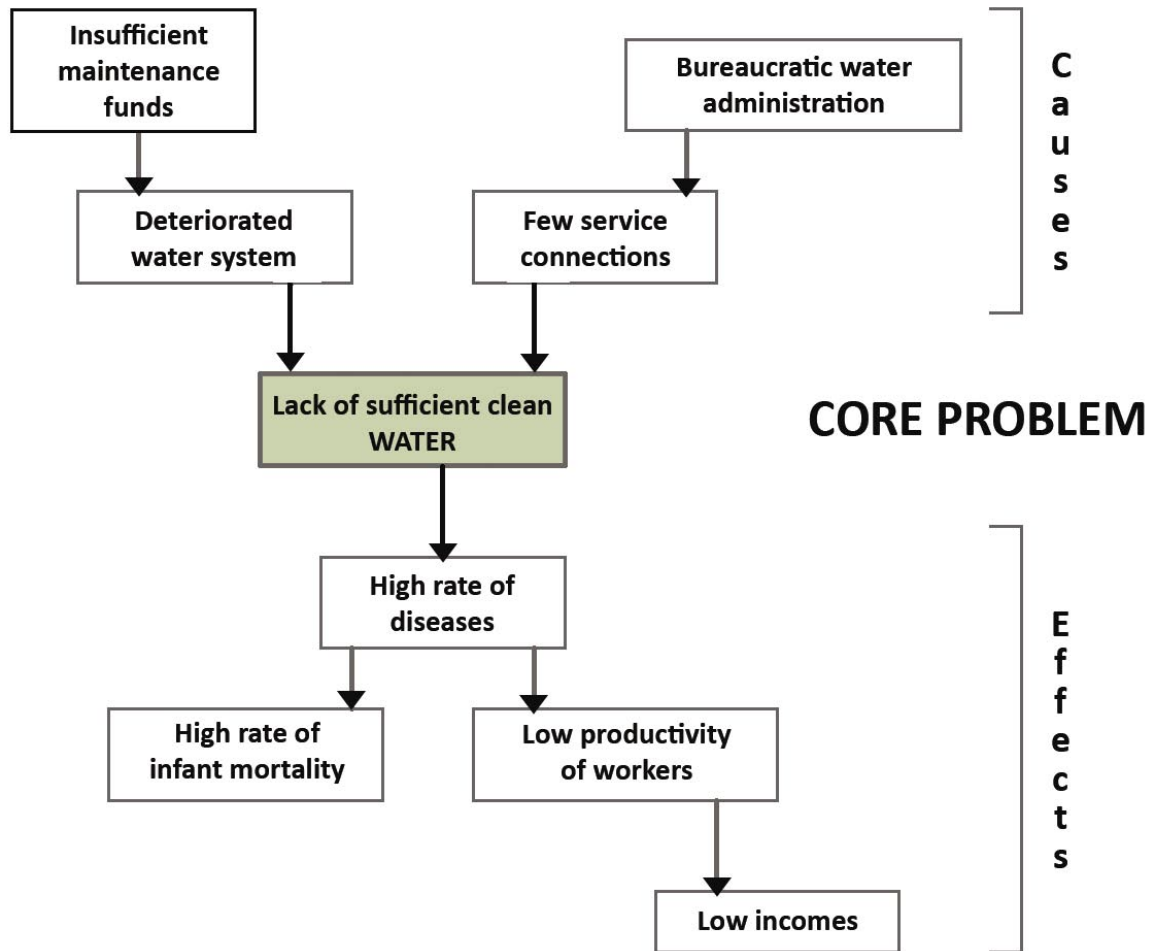
**Adapted from Upgrading Urban Communities: A Resource Framework (World Bank)**

Restate these outcomes as concise objectives using action verbs that describe a direction of preference (more-less) and a noun that describes the object of importance (e.g., Encourage Employment Opportunities" or "Reduce Poverty"). It is often useful to use participants' exact wording to show how their issues are being incorporated into the analysis. The following table provides an example of how issues are converted into objectives.

## Example: Converting Issues to Objectives

| Participants Comments | Grouped and restated as an objective | | Participants Comments | Grouped and restated as an objective |
|---|---|---|---|---|
| ☐ Deteriorated water system <br> ☐ Bureaucratic water administration <br> ☐ Few service connections <br> ☐ No funds to maintain water infrastructure | **Improve water quality** | | ☐ No micro-credit for the poor, micro enterprises and small businesses <br> ☐ There is no financial cooperative <br> ☐ We need access to capital and credit | **Improve access to financing** |
| ☐ Not enough garbage trucks. <br> ☐ Garbage collection is poor. The dump-site is terrible. <br> ☐ There is no recycling! | **Improve solid waste management** | | ☐ Government has low capacity <br> ☐ Low tax revenues <br> ☐ LGU has no money to improve services or infrastructure | **Improve local government administration and governance** |
| ☐ There are no farm co-ops. <br> ☐ Local farmers and grocers don't work well together. <br> ☐ The poor do not have a voice. <br> ☐ Those working in the informal economy are not organized. | **Improve local area organizations** | | ☐ Too many street vendors <br> ☐ We need to address the needs of the poor <br> ☐ Not enough jobs for the poor <br> ☐ The poor have no skills | **Reduce local poverty** |

### BEING SMART ABOUT OBJECTIVES

Well crafted objectives are:

**S**pecific: They are not general – they state exactly what is to be achieved.

**M**easurable: They can be evaluated easily.

**A**ttainable: They are achievable given the opportunities and constraints of your environment.

**R**ealistic: They take current capacity into account.

**T**ime-dated: They are set within a clear timeframe.

## Task 5.3 - Organize Objectives

Once a list of objectives has been identified, the next step is to organize them for analysis. This helps to ensure that the group doesn't end up with a long wish list of objectives, a common downfall of many planning processes. Breaking apart the wish list entails grouping the objectives according to means and ends. Essentially, ends objectives describe what you are trying to achieve while means objectives refer to how you get there.

The process of organizing objectives begins by differentiating between actions and objectives. Often times there will be numerous statements in your list that are not objectives but rather, actions. Actions are specific activities to be undertaken that could help to achieve an objective. It is the job of the facilitator to help the stakeholder group identify what objectives each of the actions are trying to achieve. This will help to ensure that no significant objectives are excluded from the final list. The following table provides an example of how a facilitator leads stakeholders from actions to objectives.

### Means vs. Ends Objectives

**Means objective:**
Improve solid waste management

**Means objective:**
Improve healthcare services

**Ends objective:**
Improve community health

**Means objective:**
Improve transport infrastructure

**Means objective:**
Simplify business registration

**Ends objective:**
Diversify the local economy

NOTE: Although the end result of this exercise should either confirm or expand upon the list of objectives, be sure to write down the original actions and save them for future analysis.

## Relating actions to objectives

| | |
|---|---|
| **Facilitator:** | I see that the need for more garbage trucks has been identified, please elaborate. |
| **Participant:** | The problem is the local government won't buy more garbage trucks, we need more garbage trucks, I would say at least three. |
| **Facilitator:** | Why is that important? |
| **Participant:** | Garbage is lying all over the side of the road downtown. Everybody throws his or her litter onto the street. |
| **Facilitator:** | Why that is important for the development of the District? |
| **Participant:** | It is unsightly and an embarrassment. It scares business and people away from downtown. It is a waste of resources, as we don't recycle anything. Besides, there are business opportunities in waste collection. It is also a health issue. You see, we need more trucks to pick up this garbage. |
| **Facilitator:** | What I am hearing you say is that garbage collection or solid waste management in general, including recycling, is a problem in the downtown. If we address that, we will have improved public health and be able to attract more businesses, tourist and residents to the city centre. One possible action is to purchase more garbage trucks. Is that correct? |
| **Participant:** | Yes. |
| SAMPLE RESULTS | |
| **Means Objective:** | Improve solid waste management. (possible impact measures: amount of visible garbage/litter, leaching from dumpsite, recycling opportunities) |
| **Ends Objective:** | Improve quality of down town to attract more business, tourists and residents. |
| **Impact Measure:** (example) | Number of visitors and businesses to downtown |
| **Related Ends Objective:** (i.e., shared benefits) | Improved public health |
| **Possible Actions:** | One possible action to consider is the purchase of more garbage trucks. ( see Step 6) |

Once the final list of objectives has been determined, the facilitator will lead the stakeholder group in a discussion to determine the objectives hierarchy. This will help the stakeholder group identify common linkages among means and ends objectives.

Begin by writing each of the objectives on a note card and discussing how they can be grouped according to common themes. This may mean organizing by development sector (e.g. health, education, economy) or by common ends (e.g. poverty reduction, improved governance, environmental conservation). Pose these questions to the group:

☐     What is each of these objectives trying to achieve?
☐     What do they have in common?
☐     What is the end result of achieving these objectives?

Once the objectives have been grouped, the next task is to organize them into a means-ends diagram. A means-ends diagram is a way of linking two types of objectives in a visual manner. Building from each group in the objectives hierarchy, write each ends objective on a note card and tape them in a column on the wall. Then write the remaining means objectives on separate cards (preferably another colour) and tape them in another column nearby. Discuss each means objective with the group by asking if it relates to one or more of the ends objectives. If a clear relationship exists, draw an arrow from means to ends. Repeat this task with each of the objectives until all the linkages have been determined and the ends objectives have been validated.

**Examples of Ends Objectives**

☐   Promote the reduction of poverty
☐   Support entrepreneurship
☐   Preserve historical sites
☐   Improve safety and security
☐   Improve community health
☐   Promote investment
☐   Encourage gender equality
☐   Improve education
☐   Protect culture
☐   Improve governance
☐   Diversify the economy
☐   Increase community collaboration
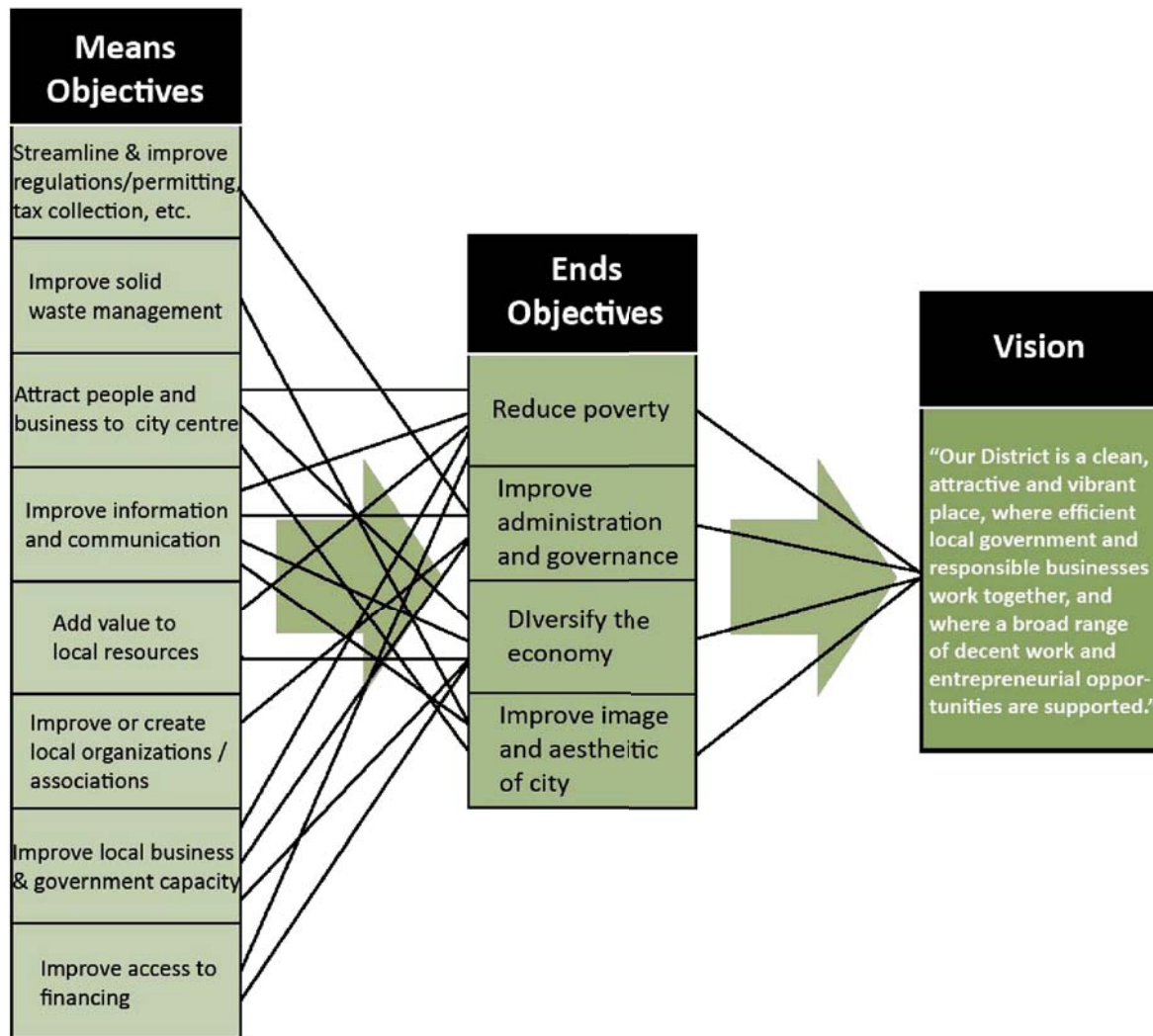
**Example: Means-Ends Diagram**

## Day Two Wrap Up

### Planning Team Preparation for Day Three

As a segue to the third and final day of the workshop, the facilitator and/or core team will create matrices for each of the means objectives, as outlined in Planning Tool #11. This will require access to the results of the previous activities so it is suggested that this occur at the end of Day Two. These matrices will be presented to the stakeholder group the following day and will be used as frameworks for establishing objectives measures for later analysis.

**Planning Tool #11: Objectives Matrix for Facilitators**

Planning Tool #11 seeks to establish measures (or indicators) for each of the ends objectives. It is these measures that will allow stakeholders to assess and prioritize objectives for future analysis of alternatives. To help facilitate the establishment of these measures, the facilitator and/or core planning team will create matrices for each objective – as shown in Planning Tool #11. Each matrix should be filled as completely as possible, with the exception for the Measures and Data Gaps columns, which will be determined through group discussion on the following day. Matrices are best drawn on large format paper such as a flip chart.

## Workshop Day Three

**Tasks:**          5.4   Develop objective performance measures
                    5.5   Prioritize objectives

**Workshops:**     #4    Issues & Objectives (cont.)

**Tools:**         #11   Objectives Matrix for Facilitators (cont.)
                   #12  Prioritizing Objectives

**Participants:**   Core Team
                    Stakeholder Group

## Task 5.4 - Develop objective performance measures

A performance measure (e.g., # of jobs created) is directly linked to its objective (e.g., increased employment opportunities) and is impacted by the strategy actions being undertaken (e.g., establish skills training program). Performance measures are used to determine whether or not, or how well, an objective has been met. Performance measures also assist in decision making by providing a way to evaluate possible actions or strategies. Once a strategy has been chosen, these indicators will also support the monitoring and evaluation (Step 9) of a project by helping to gauge if the strategy is actually achieving what was expected.

At times, it is challenging to determine measures for an objective. This is because there is either no data available (key data gaps), or because they

can not be adequately measured using quantitative data and must use more qualitative measures. As illustrated in the table below, there are three types of measures: natural measures, constructed measures and proxy measures. Natural measures are used when a clear, quantifiable measure for an objective is readily available (e.g., number of jobs).  For other objectives, natural measures may not exist. For example, jobs in the informal sector are more difficult to measure because job rates are not officially recorded in the informal economy. In these cases, qualitative or quantitative constructed scales (high-medium-low) in combination with expert judgment can be used. Proxy measures may also be helpful.

| Three Types of Indicators | |
|---|---|
| **Natural Measure** | Often official statistics are kept on numerous development indicators and will reflect how well an objective is being met.<br>**Example:** number of jobs |
| **Constructed Scale** | When hard data is not available, constructed scales are useful. The data can be gathered through surveys or structured interviews with experts in related fields or sectors.<br>**Example:**  High (describe) – Moderate (describe) – Low (describe)<br>Measures can be quantified on a 1-10 scale, with 10 = High and 1 = Low |
| **Proxy Measure** | Used when a measurable indicator is available that adequately reflects how well an objective is being achieved though it is only indirectly related to the objective.<br>**Example:**  Economic stability can be measured using migration statistics or housing vacancy rates because fewer people migrate from economically stable areas (or conversely more people migrate in) and housing vacancy rates are lower than in the more economically depressed areas that people may be migrating from. |

### Planning Tool #11: Objectives Matrix for Facilitators (cont)

Prior to the beginning of the third and final day of the workshop, the facilitator and/or core planning team shall post the Objectives Matrices created on the previous day. These matrices will provide the group with organized information on:

☐ Each ends objective
☐ Its related issues
☐ Its description and link to development

The aim of this activity is to complete the matrices begun by the planning team on the previous day. Specifically this entails

☐ Establishing possible performance measures
☐ Identifying key data gaps that would inform analysis

Begin by breaking the workshop participants into working groups based on their experience or expertise in an area that relates to the objectives listed on each matrix. Stakeholders can be grouped according to development sector (e.g., water, economy, health, education, etc.), level of governance (e.g. local, national, private, civil society), land use (e.g., urban, rural, conservation, industrial) or any other appropriate combination. Provide each group with a one or two Objectives Matrices (depending on # of objectives) that are applicable to their areas of expertise and ask them to develop performance measures for each objective. This can be accomplished by posing the following questions to the group and asking them to record their responses to the matrices.

☐    How do we measure progress toward this objective?
☐    What indicators would be used to monitor this objective?
☐    If there is no natural way of measuring the objective, how can we determine progress toward it?

Ask each group to record their identified measures in the matrix, as well as any data gaps that could affect later analyses. Once complete, have a representative of each group present their findings to the workshop. Allow for dialogue among stakeholders to determine if any key measures may have been missed. Add them to the matrices if necessary.

Refer to the Means-Ends Diagram completed on the previous day, to ensure that the measures determined for each ends objective adequately represent the means objectives that link to it.

For each ends objective, create a list of measures and write them on separate sheets of paper. These sheets will become the primary tools for ranking and prioritizing objectives.

**PERFORMANCE MEASURE CRITERIA**

✔    Clearly linked to an objective.

✔    Clarify scale and impact of actions.

✔    Indicate content and direction for future action.

✔    Use information that can be obtained within the period of time defined by the plan (survey, statistics, expert judgment).

✔    Responsive enough to be able to measure progress within the time period.

**Checklist for Reviewing Objectives**

| ☐ | Question | Rationale and Comments |
|---|----------|------------------------|
| | Have issues been translated into objectives? | There may be hundreds of issues, but once the issues are analyzed, it should become clear that there are only a few core objectives the local area is trying to achieve. The issues should be summarized into strategic groupings that are workable objectives, useful for analysis. A good summary of issues into objectives will go a long way towards having better dialogue, building better strategy options and reaching consensus. |
| | Does each objective have a SMART indicator? | **S**pecific<br>**M**easurable<br>**A**ppropriate<br>**R**ealistic<br>**T**ime dated |
| | Do the objectives take into account the relevant constraints and opportunities identified in the situation analysis? | For example, a stakeholder might propose an objective: "Stop globalization". This objective is clearly out of the control of the stakeholder group. A better objective might be: "Take advantage of growing markets by supporting local businesses". Supporting objectives could then define this and be clarified with indicators: "Reduce local income disparities" measured by household income levels. Many actions may be involved from tax code reform to targeted training for the poor. |
| | Is each an important achievement in its own right or are some repetitive? | If the objectives are repetitive or overlapping, consolidate and clarify them, as much as possible. This will avoid double counting or unintentionally overstating an objective. |
| | Do any objectives contain details that really belong in an action plan? | This question attempts to separate means from ends. For example, reforming the tax codes is likely an action to achieve the objective of 'promote efficient government (streamline).' |

## Task 5.5 - Prioritize objectives

Once the issues have been grouped and organized into objectives, it is worthwhile to get an early sense of the stakeholders' priorities. This is because once priority objectives are understood, there are typically opportunities to generate strategy options that are more responsive to what the stakeholders really care about and that will, therefore, be more broadly supported. Focusing on objectives will help avoid much of the positional action-focused thinking that tends to polarize participants, limit creativity and stall so many processes. By focusing on objectives when differences arise, they can be better highlighted, tradeoffs discussed and new options developed. The key to prioritizing objectives, even at this strategic level, is to understand what potential change might occur from the full range of strategy options. That is, the group needs to con-

sider how, in the context of the project, each of the strategy options or actions could positively affect each objective.

### Planning Tool #12: Simple Strategic Prioritizing Objectives

There are many ways to conduct a culturally and technically appropriate strategic prioritization exercise. Regardless of how the prioritization is completed, one approach remains constant. Participants are not simply asked to rank each objective in relation to one another. Rather they are asked to rank each objective according to its potential for change. This means they will be ranking the potential transition from the current situation (see Diagnostic Report) to the best case scenario (see Vision). Once these measures are established, any simple workshop method of prioritization can be used to have participants to rank the objectives they believe are:

1)      most important, or
2)      should be addressed first

This ranking of objectives can be done in a number of ways. If appropriate, provide individuals with six dots and ask them to place any number of the dots by whichever objective they feel to be the most important or requires the greatest urgency. For example, one participant may put one dot next to six issues while another may put six dots next to one issue. Once the exercise is complete, add up the dots by each issue and rank the issue groups in order of importance. This understanding should be based on what is important to them and the change they believe can be achieved. Limit the participants to six marks.

| Strategic Objectives | Participant Priorities (indicated by 6 dots supplied by facilitator) |
|---|---|
| Improve community health | ● ● ● ● ● ● ● |
| Promote investment | ● ● ● ● ● ● ● ● ● ● ● |
| Encourage gender equality | ● ● ● ● ● |
| Improve education | ● ● ● ● ● ● ● |

\* Dots are placed by participants as a form of voting to identify priorities. Allow each participant to place any number of 6 dots by one or more objectives

**Sample Simple Objectives Prioritization Worksheet**

Other methods, such as the use of worksheets before group exercises, may be used to promote independent thinking. This allows participants to avoid being swayed by the group as in an open ranking. A worksheet exercise will offer insight for identifying what is important to the different stakeholders, where effort in designing District Strategic Plans should focus, and what key information gaps exist. The example below provides an indication of a completed worksheet. The key point of the table is that the participants are focusing on the change that can be achieved with respect to the strategic objectives. The group can then focus their strategy options around the most critical strategic objectives.

**Sample Objectives Prioritization Worksheet**

| Rank | Strategic Objectives | Current Situation | Best Case (10 year vision) |
|---|---|---|---|
| 1 | Reduce poverty | Current conditions. Approx. 30% of families live under the poverty level with trend worsening. | All families move out of poverty |
| 4 | Improve economic resiliency | Current conditions. Economic health dependant on one major employer. | Achieve highly resilient, diverse entrepreneurial economy that can survive hard times |
| 2 | Improve government capacity and regulations | Current conditions. Slow, inefficient, expensive | Proactive, productive and supportive of both business and the informal economy |
| 3 | Promote decent jobs | Current conditions. Over 10% unemployment rate, most jobs are not of low quality | Less than 5% unemployment rate, with most jobs of acceptable quality |

*NOTE:* Although the main focus of identifying alternatives is discussed in Step 6, some initial indication of the range of strategy options and their impacts is required to determine potential impacts on objectives

★ **Deliverable - Issues & Objectives Workshop Report**

# MODULE 3
# HOW DO WE GET THERE?

HOW DO WE GET THERE?

Alternatives Assessment

Action Planning

Strategy Development

6

7

8

**Module Three: How do we get there?** is composed of three planning steps: *Alternatives Assessment, Action Planning, and Strategy Development*. These steps are completed over a series of workshops and meetings that represent the major analytical component of the District Strategic Development Planning process.

**Step 6: Alternatives Assessment** will be undertaken through a 3-day Alternatives Assessment Workshop that seeks to (1) identify strategy alternatives, (2) organize the alternatives for assessment, (3) analyze the alternatives according to the objectives prioritized in Step 5, and (4) apply structured decision support methods to the multiple objective development problems. The culmination of this stakeholder workshop will be a detailed list of prioritized alternatives for District development that are agreed upon by the stakeholder group to pursue with more detailed planning.

**Step 7: Action Planning** will also be undertaken through a stakeholder workshop. The 2-3 day Action Planning Workshop will engage the stakeholder group in establishing action plans for implementing the alternatives agreed upon in Step 6. The exact length of this workshop will be dependent upon the number of alternatives determined to pursue. The end result will be a series of action plans that detail tasks and responsibilities for each alternative, as well as potential threats and risks to implementing them.

**Step 8: Strategy Development** will consist of two stakeholder workshops. The first workshop will establish a monitoring framework for the DSDP. A strategy review workshop will then be held to allow stakeholders to review and validate the draft District Strategic Development Plan.

The end result of completing each of the tasks associated with Module Three: How do we get there? will be a finalized, mutually agreed-upon, District Strategic Development Plan.
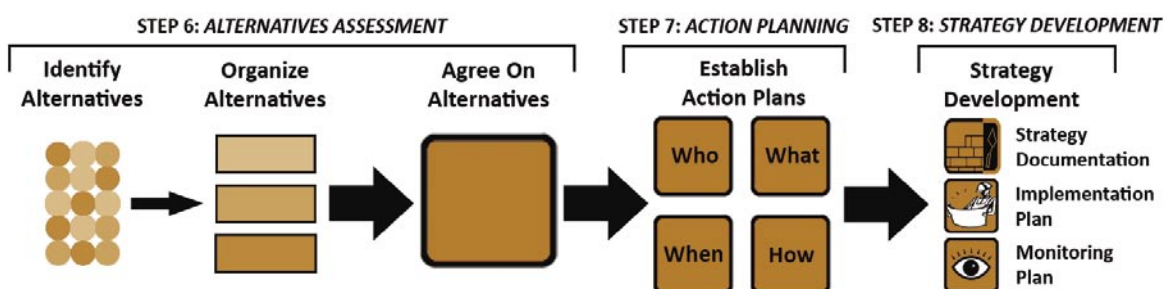


**Activity Diagram for Module Three: How do we get there?**

# Step 6: Alternatives Assessment

**Tasks:**
6.1  Identify development alternatives
6.2  Organize alternatives
6.3  Evaluate alternatives
6.4  Negotiate and agree on alternatives

**Workshops:**  #4  Alternatives Assessment

**Tools:**
#13  Creating Alternatives
#14  Organizing Alternatives
#15  Evaluating Alternatives - Technical Analysis
#16  Evaluating Alternatives - Swing Weighting
#17  Evaluating Alternatives - Final Value Analysis

**Participants:**  Core Team
Stakeholder Group

## What are Development Alternatives?

Development alternatives are the heart of strategic planning for District development. An alternative is simply an action or group of actions that, when implemented, can help realize the District's vision and objectives. All the previous steps in the process have been designed to allow the stakeholders to identify good development alternatives. This is perhaps the most tangible point in the planning process - where thinkers and doers connect, where specific ideas are envisioned, and where those with the greatest promise are chosen.

### A NOTE ON ALTERNATIVES

In some cases, a District may create a strategy with only one or two objectives and a limited number of related actions that fall within the capacity and resources of the District. For many regions this is a good place to start. Working within immediate constraints and realities, a District will be able to achieve results more quickly. Additional refinement and analysis may be limited to simply prioritizing the actions.

Here, the challenge is to choose the limited alternatives that will have the greatest positive impact on the objective(s), with a focus on the high priority objective(s). So while the strategy is not as complex, it still requires the steps in the planning process to be completed.

## Questions for Identifying Alternatives

☐ What activities would support the objectives?

☐ What measurable steps can we take to make progress?

☐ What resources are needed to achieve the objectives?
   • Financial
   • Human resources and skills
   • Political
   • Relationships and strategic partners
   • Technology
   • Communications and public information

☐ Are current resources sufficient?

☐ Should we re-organize how we use our resources, or will we have to find new resources?

☐ Who will lead/implement the activities?

☐ Who will be responsible for completing the work plans?

---

**WORKSHOP #4**
**Alternatives Assessment**

**PARTICIPANTS**

Core Team and Stakeholder Group

**DURATION**

3 Days

**ACTIVITIES**

**Day 1:** Identify & organize alternatives
**Day 2:** Evaluate alternatives
**Day 3:** Negotiate & agree on alternatives

---

The identification and assessment of development alternatives will be achieved through a 3-day Alternatives Assessment workshop.

## Day One

Day One consists of the identification of alternatives by stakeholders to achieve the objectives identified in Step 5. This is followed by the organization of alternatives into groups or strategy directions for further analysis.

## Day Two

Day Two establishes a consequence table in order to assess how well alternatives could achieve each objective. Stakeholders will then prioritize the objectives and provide weighted scores for each. The decision support tools provided will help each participant to establish a prioritized hierarchy of alternatives to pursue.

## Day Three

Day Three will be comprised of group activities to determine which alternatives should be pursued for further analysis. Through a structured decision support process, the stakeholder group will work toward the establishment of a set of well-defined, mutually agreed upon alternatives for inclusion in the District Strategic Development Plan.

Activity details for **Workshop #4: Alternatives Assessment** are provided in the following sample workshop schedule.

**Sample Alternatives Assessment Workshop Schedule**

| Time | Activity | Time | Tools |
|------|----------|------|-------|
| **DAY ONE** | | | |
| 9.00 | Icebreakers and introduction of activities | ½ hr | Tool #13 – Creating Alternatives Tool #14 – Organizing Alternatives |
| 9.30 | Review of previously completed materials | 1 hr | |
| 10.30 | Brainstorm alternatives | 2 hrs | |
| 12.30 | LUNCH | 1 hr | |
| 13.30 | Organize and describe alternatives | 2 ½ hrs | |
| 16.00 | Determine Technical Analysis team | 1 hr | |
| **DAY TWO** | | | |
| 9:00 | Presentation of Technical Analysis matrix | 1 hr | Tool # 15 – Evaluating Alternatives - Technical Analysis Tool # 16 – Evaluating Alternatives - Swing Weighting |
| 10.00 | Technical Analysis review and feedback | 1 ½ hrs | |
| 11.30 | Identification of "dominated" alternatives; redesign alternatives if necessary | 1 hr | |
| 12:30 | LUNCH | 1 hr | |
| 13.30 | Review objectives measures from Step 5 | 1 hr | |
| 14.30 | Objectives ranking/weighting exercise | 1 hr | |
| 15.30 | Combining value weights with technical scores | 1 ½ hrs | |
| **DAY THREE** | | | |
| 9.00 | Review technical scores and "top" alternatives | 1 hr | Tool # 17 – Evaluating Alternatives -Final Value Analysis |
| 10.00 | Final value analysis | 1 hr | |
| 11.00 | Build consensus/detail alternatives | 1 hr | |
| 12.00 | LUNCH | 1 hr | |
| 13.00 | Build consensus/detail alternatives (cont.) | 3 hrs | |

# Workshop Day One

**Tasks:**
6.1  Identify development alternatives
6.2  Organize alternatives

**Workshop:**
#4  Alternatives Assessment

**Tools:**
#13  Creating Alternatives
#14  Organizing Alternatives
#15  Evaluating Alternatives - Technical Analysis

**Participants:**
Core Team
Stakeholder Group

# Task 6.1 - Identify development alternatives

**Planning Tool #13: Creating Alternatives**

Planning Tool #13 provides stakeholders with opportunities to suggest their ideas (potential actions) for achieving the District's objectives. It outlines the necessary tasks to facilitate stakeholder input that is knowledgeable, creative and well informed. Task #13 should be completed in less than 3 hours.

**IDENTIFYING ALTERNATIVES THROUGH BROAD PARTICIPATION**

The identification of strategy alternatives provides the planning team yet another opportunity to extend participation beyond the stakeholder group. As stated in Step 3: Situation Analysis, there are numerous opportunities for gaining broad participation in the planning process, provided there are adequate resources available to do so. Open houses, community meetings, surveys, focus groups and Participatory Rapid Appraisal techniques (see Planning Tool #6) are just a few examples. They each provide opportunities to present the District's development objectives to the region while garnering the broader public's ideas for addressing them. Be aware that broad public input of ideas will create a longer and more complex analytical process in later tasks.

The task of creating alternatives begins with a review of previous DSDP activities. This should include the SWOT Analysis (and Diagnostic Report, if necessary) and means and ends objectives identified in Step 5. If time and resources permit, the project planning team can also provide the stakeholder group with an Innovative

Practices Review. This report or presentation would introduce the group to successful experiences, innovations, and best practices from other regions across the globe, helping to create more informed and knowledgeable stakeholders. Once the group is ready to move forward, the process of identifying strategy alternatives can begin.

The identification of strategy alternatives is based largely on the question:

*What activities could be undertaken to achieve one or more of the priority objectives?*

To do this, take each of the ends objectives separately and think about what could be carried out to achieve that objective. It is also possible to develop alternatives targeted toward important means objectives (e.g. solid waste management, transportation infrastructure) or by development sector (e.g. health, education, agriculture). Regardless of means or ends, objectives should always be the focus of alternatives.

Similar to the process undertaken to identify issues in Step 5, use independent thinking techniques, brainstorming, and other tools for generating alternatives in an open and inclusive way. If the stakeholder group is large, it is often best to break into smaller groups, asking each to develop alternatives for a single priority objective. Allow stakeholders with similar interests to group together so that they can focus on the same ends objective, means objective, or development sector. The result should be a list of actions to achieve a particular objective, or multiple objectives if a sector approach is taken.

**TIPS FOR GENERATING ALTERNATIVES**

Action generation is more effective when the stakeholder group has:

✔ Reviewed the Diagnostic Report and SWOT

✔ Reviewed case studies and innovative practices from the other experiences

✔ Understood that the objectives should guide their thinking

# Task 6.2 - Organize alternatives

**Planning Tool #14: Organizing Alternatives**
Once a list of action ideas has been created, they must then be grouped, refined, and organized into strategy alternative. Planning Tool #14 provides suggestions for facilitating this process with stakeholders in a systematic and organized manner.

In some cases, a District will only have the capacity and resources for a single action. In these cases, the challenge will be to choose the one action that will have the greatest positive impact on the objectives. However, in most cases, it is likely that numerous action ideas will be put forward during Task 6.1. These should be sorted into strategy alternatives by stakeholders, considering the following questions:

☐  Which actions are related?

☐  Can these actions be restated in a way that summarizes several actions?

☐  Are some actions identifying a higher degree of detail of other actions (think of a logical way to group higher level and lower level actions)?

☐  Do some actions need to occur before others can take place?

☐  Are there any actions that should be included in all alternatives or strategy directions?

☐  Are there any easy-to-implement, quick start actions that can provide visible results in the short term?

There are two types of actions to be identified when organizing into alternatives.

☐  **Common Actions.** When packaging or combining actions, some actions may need to be a part of every strategy (e.g., the permanent establishment of stakeholder committee, or a sector-specific strategy).

☐  **"Low Hanging Fruit" and Quick Starts.** Some actions may be obvious and simple, easily-attainable, commonly-desired and universally agreed-upon. These "low hanging fruit" do not require more detailed evaluation. These actions can become pilot projects, or just simple projects that help to generate trust, motivation and momentum.
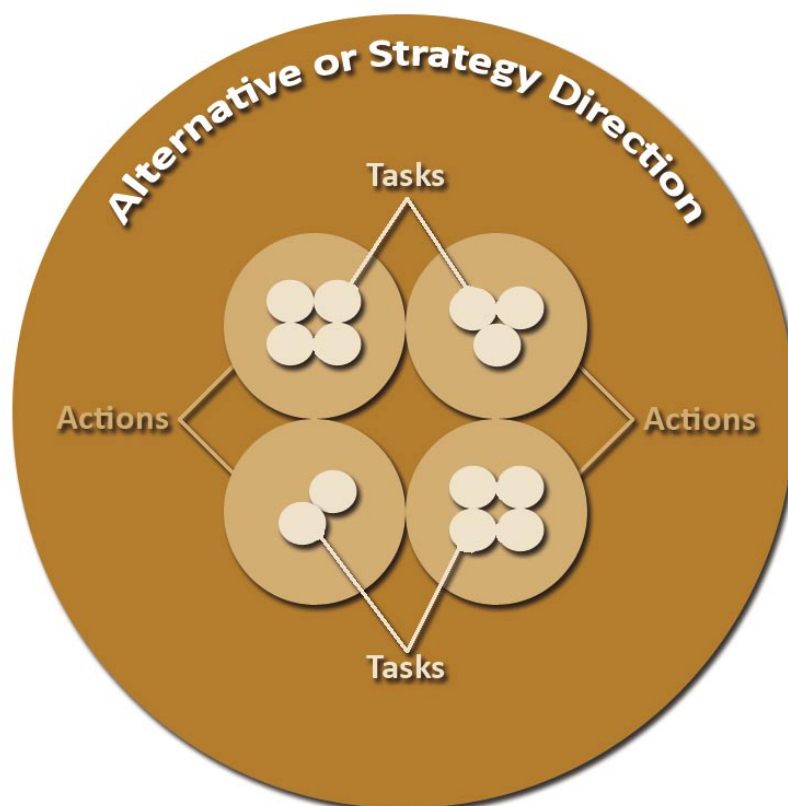
**Composition of Alternatives**

Strategy alternatives can be designed to positively impact more than one objective, or to minimize/avoid impacts among multiple objectives. Some alternatives may address particular objectives more than others. And some may be limited in their effectiveness by constraints such as funding. But this will be clarified as the analytical process unfolds so it is not necessary to spend an abundance of time on organizing alternatives (2-3 hours maximum). The initial set of alternatives will eventually be refined as objectives are clarified and as more information about the possible consequences of an alternative is gathered. Creating good alternatives, like planning, is an iterative process, guided by the objectives and by new information.

Once action ideas have been organized and grouped into strategy alternatives, they should be reviewed by the stakeholder group for clarity and validation before moving on to analysis. If the previous two tasks were undertaken by small planning teams, it is important to ensure that all stakeholders have a clear understanding of the strategy alternatives identified. If these tasks were completed with the entire stakeholder group, the facilitator should still confirm the results with the group at the end of the day.

## Day One Wrap Up

### Preparing the Consequence Table for Technical Analysis

At the end of the Day One, the facilitator should provide an overview of upcoming activities for Day Two. This should consist of a description of the alternatives assessment process, specifically the technical analysis of alternatives, swing weighting of objectives, and prioritization of strategy alternatives. This should be followed by establishing a small team of stakeholders tasked with developing a consequence table for the following day's activities. The facilitator may choose to take 2-3 volunteers from the stakeholder group to lead this process. However, it is recommended that the core planning team identify these participants based on their broad knowledge of the District and their level of participation in the workshop. This will help to ensure that the group will be active and informed in their efforts. In cases where time, resources, or capacity do not allow for adequate stakeholder input in preparing the technical analysis consequence table, it can also be completed by the core project team following the day's activities. If this is the case, be sure to inform the stakeholder group that they will be given opportunities to revise the results of the analysis.

Complete Planning Tool #15 prior to Day Two of the workshop.

**Planning Tool #15: Evaluating Alternatives - Technical Analysis**
Working with a small group of 2-3 stakeholders, develop a draft consequence table that describes how each alternative could achieve each objective. Be sure to inform all stakeholders that this task is being completed by a small group to allow for more time to assess alternatives in greater detail with the larger group on the following day. Complete Day One activities only.

## Workshop Day Two

| | |
|---|---|
| **Tasks:** | 6.3  Evaluate alternatives |
| **Workshop:** | #4  Alternatives Assessment (cont) |
| **Tools:** | #15 Evaluating Alternatives - Technical Analysis (cont) |
| | #16 Evaluating Alternatives - Swing Weighting |
| **Participants:** | Core Team |
| | Stakeholder Group |

## Task 6.3 - Evaluate alternatives

Day Two of the workshop should begin with the introduction of the consequence table developed on the previous day. If completed by a small group of stakeholders, ask them to present their results to the larger stakeholder group. The facilitator should then walk the group through each box in the table to determine if there are any major conflicts or differences of opinion regarding the alternatives' ability to achieve the objectives. Although the objective of this review is to gain consensus on each of the scores, it is a good idea to reiterate that these scores will not determine which alternatives are chosen to pursue. This consequence table will act merely as a decision support tool for the upcoming values-driven analysis.

**Planning Tool #15: Evaluating Alternatives - Technical Analysis (cont)**
Once the matrix is adequately filled out and the group is comfortable with the initial scores, additional analyses can begin. This includes both technical and practical dominance analyses and potential combinations of alternatives into new ones.

One type of analysis that can be performed first is called a "technical dominance" analysis. This analysis will identify if a strategy option is dominated by others in terms of its ability to impact desired objectives. Another type on analysis is called "practical dominance". An alternative may be practically dominated because, regardless of the level of support, particular constraints make it prohibitive to implement. This could include costs that go beyond the capabilities of the District or alternatives that are already being implemented. The role of dominance analysis is to reduce the number of strategy alternatives to pursue with further analysis, streamlining the planning process for efficiency.

It is important to remember that there is rarely one single "best" alternative, especially when there are many unique objectives that a District is trying to achieve. Oftentimes strategies can be designed that combine multiple alternatives in order to target multiple objectives, while garnering a broad range of support to ensure successful implementation. If it is evident that two alternatives can be combined into one with greater results, do so at this time. If necessary, expand the consequence table to reflect this change. At this point the stakeholder group should have a very clear idea of the consequences of each strategy option in order to make good decisions about which strategy to pursue, or to pursue first.

Once the technical analysis has been completed, the stakeholder group is ready to examine    values tradeoffs and consensus-building options in greater detail. The information provided in the technical analysis matrix describes possible consequences of different strategies (facts or technical information) but does not indicate how important the different consequences are. For example, having a "High" impact on reducing unemployment may be less important than a "Medium" impact on poverty reduction.  Planning Tool # 16 allows this type of value analysis to occur and creates a platform for dialogue on which consensus-driven decisions can take place.  With this tool, an understanding of the rationale behind stakeholder preferences may be developed and the stakeholder group may successfully generate new actions, modify existing alternatives, or develop a different combination of actions into a better alternative that enjoys wider consensus.

**Planning Tool #16: Evaluating Alternatives - Swing Weighting**
Planning Tool #16 aims to incorporate each stakeholder's values into the decision-making process through the ranking and weighting of objectives. This swing weighting exercise helps stakeholders to restructure and detail alternatives, identify potential trade-offs, establish dialogue for negotiation, and build consensus regarding which alternatives to pursue.

The swing weighting of objectives and scoring of alternatives helps to lay the foundation for consensus-building dialogue that will eventually determine which alternatives stakeholders wish agree to pursue. As these exercises do not lead to decisions alone, it is important that all participants be aware that there are no right or wrong answers, only individual opinions and values that are as integral to the planning process as hard data and technical analyses.

The swing weighting process begins by revisiting the measures (or indicators) determined for each objective is Step 5. It is these measures that will allow participants to rank each objective's potential change, so it may be necessary for the facilitator or core planning team to review them prior to the workshop. In doing so, the team should provide hard data that reflects the current situation for each measure. This information should be available in the Diagnostic Report completed in Step 3. In cases where hard data does not exist, proxy measures, descriptive measures, or constructed scales may be used. Remember that the goal is to illustrate the potential change in each measure over a particular period of time (normally the length of the vision – 10 years).

With the current situation established for each measure, ask the group to determine what the potential change will be. This can be done through a simple facilitated discussion. Be careful not to get bogged down by this process as highly-calibrated measures are not necessary. If the core planning team feels that there will be significant differences in opinion that could hinder the process, they may want to consider completing the measures portion of the matrix without stakeholder participation.

Once the potential for change has been determined and agreed upon, ask stakeholders to rank and weight each objective according to the directions provided in Planning Tool #16. Provide each participant with a blank matrix to complete individually. Then ask participants to determine the scores of each alternative. Provide blank scoring matrices to support easy calculation and recording of scores. It may be necessary for the facilitator and core planning team to provide assistance during the scoring process to ensure that each participant is doing it correctly. Finally, asks participants to determine which five strategy alternatives received the highest scores and mark them accordingly.

## Day Two Wrap Up

Make a list of all the strategy alternatives assessed and write them on flip chart sheets on the wall. Provide each stakeholder with a note card and ask them to write their top five alternatives on it. Collect the note cards and for each alternative listed, place a check mark on the correlating flip chart sheet. Once each note card has been documented on the wall, total the number of checkmarks and rank each alternative accordingly. It is important to ensure that the stakeholder group understands that this is not a final list of strategy alternatives, but merely another opportunity to pare down the list for further planning.

*NOTE:* Ideally 5-7 alternatives should be chosen to pursue with further planning. However this should be determined as a group. If the clustering of scores is relatively tight, more or less alternatives may be included. But be aware that more alternatives generally result in longer and more complex negotiations, as well as potentially greater challenges to achieving consensus.

**Deliverable - Alternatives Assessment Workshop Report** ★

# Workshop Day Three

**Tasks:**        6.4  Negotiate and agree on alternatives

**Workshop:**    #4   Alternatives Assessment (cont)

**Tools:**         #17  Evaluating Alternatives – Final Value Analysis

**Participants:**    Core Team
Stakeholder Group

## Task 6.4 - Negotiate and agree on alternatives

Day Three of the Alternatives Assessment workshop begins with a review of the previous day's activities. This includes an overview of the final list of alternatives chosen to pursue through consensus-building dialogue. It is important that each participant has a general understanding of what the strategy alternative is, what it aims to achieve, and how it impacts each of the ends objectives. Therefore it is recommended that the facilitator place the Technical Analysis consequence table in a visible place on the wall. This consequence table will be the primary reference point for consensus building activities. Once the alternatives have been reviewed, the stakeholder group should complete the Final Value Analysis worksheet provided in Planning Tool #17.

**Planning Tool #17: Final Value Analysis**
Planning Tool #17 asks participants which strategy alternatives they prefer and why. It seeks to determine which alternatives are more important to stakeholders and to what extent that are willing to accept alternatives that do not fall within their top choices. This tool provides a starting point for launching dialogue aimed at building consensus over the alternatives (or combinations thereof) to be included in the final plan.

Once each stakeholder has completed their Final Value Analysis worksheet, the facilitator must collect their responses to use for discussion. This can be done with a show of hands or by asking participants to mark their results on flip chart sheets. The goal of this exercise is to show the group's collective scores for each alternative. This will help to determine where further discussion is required.

| Alternatives / Scores | Alternative A | Alternative B | Alternative C |
|---|---|---|---|
| **4** Fully endorse | ＮＮ ⅠⅠⅠ | ＮＮ ⅠⅠ | ＮＮ ＮＮ ＮＮ |
| **3** Endorse with minor revisions | ＮＮ ＮＮ | ＮＮ ＮＮ ⅠⅠⅠ | ⅠⅠⅠ |
| **2** Neutral | ＮＮ ⅠⅠⅠ | ⅠⅠⅠⅠ | ⅠⅠⅠⅠ |
| **1** Accept with major reservations | ⅠⅠ | ＮＮ | ＮＮ |
| **0** Block | ⅠⅠ | Ⅰ | ⅠⅠⅠ |

**Sample Final Value Analysis Score Sheet**

Once the stakeholder group has a general understanding of which alternatives are broadly accepted and which appear to be contentious, the process of detailing the alternatives, making trade-offs, and building toward consensus can begin.

When beginning negotiations, the best place to start is with broadly supported alternatives, if any exist. This will allow stakeholders to get comfortable with the analysis process before dealing with the more contentious alternatives on the table. At this stage, it is important that the stakeholder group understands that all alternatives require further analysis, even if they are universally supported by the group. The goal of the analysis is to create alternatives that affect the most objectives possible with the greatest possible results. This is undertaken by revisiting the Technical Analysis consequence table.

Begin by reviewing the consequence table for a particular alternative. It is likely that some of the alternatives have scored "HIGH" according to certain objectives, while scoring "MEDIUM", "LOW", or some combination thereof, against other objectives. Since the goal of the analysis is to create alternatives that have the greatest impact on each objective, the group should seek to identify ways of converting each score to "HIGH" whenever possible. The following example provides an example of this process.

| Ends Objectives | Alternative A<br>Establish Agri-Industrial Zone | Negotiation and Analysis | Negotiated Alternative |
|---|---|---|---|
| Reduce poverty | 3<br>MEDIUM | - Develop facilitites for small-scale farmers.<br>- Provide agricultural training programs for the poor.<br>- Provide incentives and discounts for the poor.<br>- Engage civil society in planning and decision-making. | 5<br>HIGH |
| Improve community health | 3<br>MEDIUM | - Establish programs to promote organic farming.<br>- Provide food safety and nutrition training.<br>- Ensure occupational health and safety in operations. | 4<br>HIGH-MED |
| Improve agriculture | 5<br>HIGH | - Provide incentives for large investments.<br>- Provide seminars and training in agri-technology.<br>- Identify and exploit new markets and market opportunities. | 5<br>HIGH |
| Reduce unemployment | 4<br>HIGH-MED | - Create programs to promote local business linkages.<br>- Host job fairs for graduates and professionals.<br>- Support the establishment of labour unions. | 5<br>HIGH |
| Minimize environmental degradation | 2<br>MED-LOW | - Establish and enforce waste mitigation programs.<br>- Create organic composting facility.<br>- Establish Advisory Panel of environmental experts.<br>- Provide training in sustainable water use and re-use. | 4<br>HIGH-MED |

**Sample Results of Negotiated Alternative**

Once an alternative has been adequately discussed and detailed according to the objectives, the facilitator should ask the stakeholder group if they all support the strategy alternative. If consensus has been achieved, ensure that the results of the negotiation have been well-documented and proceed to the next alternatives. If consensus has not been reached, it will be the facilitator's role to bring the voices of dissent to the forefront in order to ensure that their opinions are heard.

The facilitator should continue to use principled negotiation skills, keeping the stakeholders focused on the objectives, as well as their interests, in the search for a strategy alternative that works. This includes keeping an open mind and searching for shared answers. The stakeholders must also be reasonable and willing to reconsider strategy alternatives while not degrading the process by introducing take-it-or-leave-it offers, threats, or other bargaining tactics.

The facilitator of the workshop will undoubtedly play a critical role in the success of these negotiations. It is this person's responsibility to keep the discus-

sions focused, empathic, and non-positional. Rather than focusing on outcomes, the group should remain focused on the objectives. Using this approach of interest-based negotiation will limit the positioning that can result in loggerheads and will helpto find creative solutions that all stakeholders can live with.

The facilitator should help the group to identify conflict issues that may be hindering the negotiation process. Common issues may include timing, cost, local capacity, information gaps, and other constraints. The following table provides a list of questions for facilitators to consider when leading the group through the negotiation process.

**TIPS FOR FACILITATORS**

Action generation is more effective when the stakeholder group has:

✔ Focus on interests, not positions
✔ Interests define the problem
✔ Focus on Interests, not positions
✔ Ask why, ask why not
✔ Use empathic listening
✔ Realize that each side has multiple interests
✔ Identify shared interests and focus on mutual options for gain
✔ Acknowledge their interests as part of the problem
✔ Put the problem before the answer
✔ Look forward not back
✔ Be concrete but flexible
✔ Be hard on the problem, soft on the people

Adapted from Fisher and Ury (1991)

## Questions to Consider for Negotiating Alternatives

| | | |
|---|---|---|
| **Re-Evaluate** | ☐ | In re-evaluating the alternatives, it is a good idea to further consider the constraints? |
| **Re-Assess** | ☐ | What are the key constraints? |
| | ☐ | How have these constraints affected the design of alternatives? |
| | ☐ | Have the constraints limited or changed the decisions? |
| **Information** | ☐ | Will more information really change the decision? |
| | ☐ | What information is critical? |
| | ☐ | Can an alternative be designed to address key data gaps and uncertainties? |
| **Cost** | ☐ | What actions would you choose on a limited budget? |
| | ☐ | For example, are 5 inexpensive soft-infrastructure projects (e.g., training) more beneficial to achieve District objectives than 1 expensive capital improvement project (e.g., a new road)? |
| | ☐ | Can alternative sources of financing be found? |

| Capacity | ☐ | Is there organisational capacity and expertise to implement the alternatives? |
| | ☐ | If not, is capacity-building included in the revised alternative? |
| Timing | ☐ | Urgency – Does an action need to happen right away? Is there a specific window of opportunity? |
| | ☐ | Deadlines – Are there deadlines and how important are they? |
| | ☐ | Phasing or Sequencing – Does one action need to happen before all others? |

## Day Three Wrap Up

Ideally, the end result of the negotiation process will be a set of detailed, objectives-driven alternatives that are mutually agreed-upon through consensus decision. However, in some cases, the negotiation of certain alternatives will not end in consensus. The facilitator and core planning team must then determine when to suspend discussions. Within the constraints of this workshop, the stakeholder group cannot spend too much time on one particular alternative or they will not be able to adequately address the others. However, if there are negotiations that the group agrees should be pursued further, arrangements can be made to extend the workshop or host another meeting at a later date. If this is not an option, ensure that concerns and oppositions are well-documented.

### OPPORTUNITY FOR PUBLIC COMMENT AND STAKEHOLDER REVIEW

Once the alternatives are revised and the strategy directions are established, there is an opportunity to take the results to stakeholders not directly involved in the process for final review and comment. This can be accomplished through a number of mechanisms including open houses, community meetings, surveys, and PRA methods (see Planning Tool #6). This allows stakeholders to articulate and document areas of consensus and disagreement. Clear articulation of these preferences is especially important if the stakeholder group cannot reach consensus, but must submit a report to a government authority (e.g., Ministry of Planning). With information on why the stakeholder group did not reach consensus, the decision-makers will have important information needed to determine the final strategy for implementation.

# Step 7: Action Planning

**Tasks:** 7.1 Action Planning

**Workshops:** #5 Action Planning

**Tools:** #18 Action Planning Framework
#19 Force Field Analysis

**Participants:** Core Team
Stakeholder Group

## What is Action Planning?

Once a group of actions (or strategy alternative) has been designed and agreed to by the stakeholder group, it must then be operationalized. It is one thing to get agreement on a broad strategy, yet quite another to detail it, maintain the commitment, and secure necessary resources. Action planning is simply a way to clearly establish what must be done, the date by which it will be done, and who will be responsible for doing the work. Action plans need to be "do-able" within the existing limitations of time, budgets, administrative capacity and political resources.

| WORKSHOP #5 — Action Planning |
|---|
| **PARTICIPANTS** |
| Core Team and Stakeholder Group |
| **DURATION** |
| 2-3 Days (depending on # of alternatives) |
| **ACTIVITIES** |
| **Day 1:** Establish action plans |
| **Day 2:** Risk management; review of plans |
| **Day 3:** Completion of tasks (if necessary) |

Good action planning offers a chance to double check the strategy option to make sure the strategy is practical and can be implemented. Specifying tasks allows for clear budgeting and a realistic appraisal of the work ahead. Action plans also help avoid disappointment and build trust with participants as they help to ensure tasks are completed.

The creation of action plans will be achieved through a 2-3 day Action Planning workshop. Then length of the workshop will be determined by how many alternatives have been chosen to pursue.

## Day One

Day One of the Action Planning workshop consists of clarifying the components of the action plans, including tasks, roles, responsibilities, partners, time frames, resources, funding, and preconditions. If there are more alternatives than can be completed in one day of action planning, consider spreading these tasks over two days.

## Day Two

Day Two of the workshop is devoted to establishing partnership guidelines and memorandums of understanding. This is followed by risk management and contingency planning activities.

The information collected during the Action Planning Workshop will be incorporated into action planning frameworks by the core planning team for review and eventually into the Implementation Plan and DSDP.

Activity details for Workshop #5: Action Planning are provided in the following sample workshop schedule.

## Sample Action Planning Workshop Schedule

| Time | Activity | Time | Tools |
|------|----------|------|-------|
| **DAY ONE** | | | |
| 9.00 | Icebreakers and introduction of activities | 1 hr | Tool #18 – Action Planning Framework |
| 10.00 | Review strategy alternatives and establish small action plan groups by stakeholder sector or interest | 1hr | |
| 11.00 | Determine action plan tasks | 1 ½ hrs | |
| 12.30 | LUNCH | 1 hr | |
| 13.30 | Determine action plan tasks (cont.) | ½ hr | |
| 14.00 | Identify roles, responsibilities, and partners | 1 ½ hrs | |
| 15.30 | Determine the pre-conditions, funding, and time frames. | 1 ½ hrs | |
| **DAY TWO** | | | |
| 9:00 | Small group review of completed activities | 1 hr | Tool #19 – Force Field Analysis |
| 10.00 | Establish guidelines and memorandums for partnerships | 1 ½ hrs | |
| 11.30 | Risk management and contingency planning | 1 hr | |
| 12:30 | LUNCH | 1 hr | |
| 13.30 | Risk management and contingency planning (cont.) | 1 ½ hrs | |
| 15.00 | Presentation and review of action plans | 2 hrs | |

## Workshop Day One

**Tasks:**          7.1  Action Planning

**Workshop:**      #5   Action Planning

**Tools:**          #18 Action Planning Framework

**Participants:**   Core Team
                    Stakeholder Group

## Task 7.1 - Action Planning

An action plan contains a description of the specific implementation tasks and activities necessary to implement the chosen strategy option. The key activities involved in action planning are as follows:

(1)     Identify and/or clarify tasks and actions involved in the chosen strategy alternative.

(2)     Determine who needs to be involved and specific roles and responsibilities.

(3)     Determine the pre-conditions, funding, and time frames.

(4)     Confirm implementation commitments of stakeholders.

(5)     Identify risks, gaps and weak links in the action plan and how they will be addressed.

(6)     Stakeholder review, input, and revision

**Planning Tool # 18 Action Planning Framework**
Planning Tool #18 provides a reference for establishing action plans for strategy alternatives. It highlights the necessary steps to be undertaken and includes an sample action planning matrix for documentation.

The Action Planning Workshop should begin with a review of the strategy alternatives determined in Step 6. The facilitator should then break the stakeholders into small groups; each allocated one or more strategy alternatives to

detail with action plans. As certain stakeholders will undoubtedly have greater expertise in particular areas, it is recommended that the facilitator allow participants to choose which alternatives they want to work on. At this sget in the process, the facilitator and core planning team should have an understanding of stakeholder strengths, skills, and interests. Use this knowledge to ensure groups are balanced while promoting active input from the most informed participants.

Once the groups are organized, provide each with documentation of their assigned strategy alternative(s) completed in Step 6. Also provide sheets of flip chart paper to document their results. The facilitator should maintain facilitation support throughout the following activities.

## (1)  Identify and/or clarify tasks and actions involved in the chosen strategy alternative

The groups should begin with a detailed review of each strategy alternative to identify specific tasks or actions previously identified during the negotiation of strategy alternatives. If additional sub-tasks are needed, they should also be identified determined. If there is a clear chronological order to the tasks/actions, this should be determined as well. It is essential that all stakeholders understand the tasks involved in each action plan and the order in which to achieve them. This will help to determine who should be responsible for implementing them.  While this is a relatively straightforward task, it requires effective communication to ensure expectations are well established right from the beginning. The facilitator should provide facilitation support when needed.

## (2)  Determine who needs to be involved and specific roles and responsibilities

Partnerships are an important outcome of a participatory planning process and should help lead toward participatory implementation.  An action plan is only as good as the structures put in place to implement it and its different responsibilities will require different organizational structures and skills. Identify all the actors, organizations and individuals to be involved, as well as which tasks they are responsible for. As much as possible, record names, agencies and/or organizations and be specific.

The appropriate level of stakeholder representation, the methods chosen, and the extent of local participation in the implementation process will vary with

each action plan. These factors will be determined, in part, by the organizations involved in the initiative and the resources available.  To help identify how organizations will interact during the implementation of action plans, ask the following questions:

☐ What partnerships, institutions, structures, or mechanisms are required to implement new programs, policies or projects?
☐ How must structures involve stakeholders and the public in the implementation of action plans?
☐ What mechanisms are necessary to ensure coordination between activities?

For each action plan developed, a different set of organizations and individuals may be involved in implementation.  The key is to coordinate and monitor of all these activities to ensure objectives can be measured and met. This coordination will likely be done through a central organization, either the District Planning Unit or MoP/MoLG Technical Coordination Committee. Therefore it is important that the core team be active participants in the action planning process and that the action plans provide as much detail as possible.

## (3) Determine the pre-conditions, funding, and time frames

Without resources identified, secured funding in place and other preconditions met, the action plan will not move forward. It is therefore important to identify any pre-conditions that must be met before implementing an action or strategy alternative. Pre-conditions may include political support, the completion of complementary activities, and more detailed action planning, to name a few.

The next step is to determine funding needs. It is important to note that some actions may not require significant funding (e.g., strengthening existing organizations, enhancing communication and networking). However, most actions will require funding; and securing funding can often be a challenge. Some actions might have long-term time horizons and require corresponding funds for maintenance and operations as well as initial start-up costs. Partnership funding may also need to be established. The main goal here is to simply identify funding needs and potential funding sources. Tips for writing funding proposals will be discussed later in Step 8. Regardless it is important for each strategy alternative to have a budget. The budget may be small at first, with plans to procure follow-up funding from other sources.

Funding conditions are likely to play a role in the timing of implementation. Therefore it is recommended that the identification of funding and other resource inputs be identified prior to determining time frames to ensure that actions are not delayed while waiting for implementation funds. Once funding and resource inputs have been determined, establish time frames for each action and task. Be as specific as possible, while allowing for some flexibility between tasks. This will help in dealing with potential unforeseen circumstances during implementation without throwing the entire strategy off with delays. Time frames should be determined for each task in the action plan to provide as much structure to implementation activities as possible.

## Day One Wrap Up

By the end of Day One, the stakeholder groups should have identified the specific tasks and actions needed to achieve each strategy alternative. The groups should also have determined who will be responsible for each task, how much each will cost, potential funding sources, and time frames for achieving specific milestones. It is the job of the facilitator and core planning team to then ensure that each group's results are organized and well-documented prior to the following day's activities. It is recommended that the results be recorded on the action planning worksheets provided in Planning Tool #18 - for use by participants on the following day.

## Workshop Day Two

**Tasks:**　　　　　7.1　Action Planning (cont.)

**Workshop:**　　　　#5　Action Planning (cont.)

**Tools:**　　　　　#19　Force Field Analysis

**Participants:**　　Core Team
　　　　　　　　　Stakeholder Group

Day Two of the Action Planning workshop should begin by breaking the stakeholders back into the same small groups. Each group will start by reviewing the results of the previous day's activities. Each participant should be provided with the action planning worksheets completed on the previous day. This will give the groups a structure for documenting their results, as well information about the specific strategy alternative they are working on. Once the work-

sheets have been clarified, and revised if necessary, proceed to the following two tasks. Provide facilitation support to the groups, when needed, to promote effective communication and provide mediation for conflicts as they arise.

## (4)   Reconfirm implementation commitments of stakeholders

It is now important to ensure that all stakeholder commitments are confirmed and that agreements have been reached regarding the roles and responsibilities necessary to complete project tasks. When stakeholders return to their organizations and constituents, they will need to have a clear understanding of (a) what they are committing to, (b) who they will be working with, (c) when it will be occurring, and (d) how it will be paid for. This clear understanding will prevent any confusion or miscommunication when seeking to generate further support from the people they represent. It will also ensure that partnerships and collaborations have been mutually agreed-upon and documented for accountability.

Confirming stakeholder commitments can occur in a number of ways. Common formal approaches included creating Partnership Agreements or Memorandums of Understanding (MoA). However, it is recommended that these types of agreements be established with supporting legal expertise. The goal of this activity is not to establish formal and legally-binding agreements, but rather to identify the components that should be included in them. This will allow stakeholders to provide detailed reporting to their constituents following the workshop. Components of partnership agreements and Memorandums of Understanding are described on the following page.

 Once the stakeholder partnerships have been clarified it is important that they are well documented. Each partnership group should provide copies of their agreement terms to the facilitator and core planning team to ensure that there is a appropriate reporting of the arrangement and a sufficient level of third party accountability. The facilitator should be aware that detailed partnership arrangements are rarely established in the course of a workshop. Stakeholders usually must discuss the arrangements with their organizations and constituents for final approval. The facilitator and core planning team should be aware of all potential partnership agreements and subsequently follow up with each group as formal agreements are reached.

**KEY COMPONENTS OF ESTABLISHING PARTNERSHIPS**

**Mission of Organization**
✔ Include brief descriptions of all participating organizations' missions and their roles in the project.
✔ Describe the action that the partnership will promote (e.g. education program, healthcare, infrastructure, etc).

**Purpose and Scope**
✔ Describe the objectives of the partnership and the principles behind the agreement.
✔ Describe the intended results the organizations hope to achieve and the specific activities they will undertake. This should answer the following questions:
  • Why are the organizations collaborating? What benefits exist for the organizations?
  • Who is the target population and how does it benefit?

**Responsibilities**
✔ Identify the initial point of contact. Include name, telephone number, and email address if possible.
✔ List the specific tasks allocated to each organization.
✔ List shared tasks to be completed through collaboration.
✔ Determine further meetings, workshops, and other planning activities to be undertaken by the partnership

**Terms of Agreement**
✔ Clarify the length and time frame of the partnership.
✔ Include funding responsibilities, if applicable
✔ Determine when and how often the agreement will be reviewed.
✔ Identify terms, penalties, and liabilities for termination of the partnership

## (5)   Identify risks, gaps and weak links in the action plan and how they will be addressed

Risk management and contingency planning is a critical component of the action planning process. Giving forethought to potential implementation challenges will ensure that roadblocks, loggerheads, and resource deficiencies can be adequately dealt with as they arise. Simply trying to force change through can cause significant problems. Stakeholders and staff may become uncooperative if change is forced on them. Limited capacity or knowledge of key information may undermine a plan. And a lack of funding, leadership, or policy framework could bring the implementation process to a stand still. Refer to Planning Tool #19 to identify potential implementation risks and the necessary strategies to mitigate them.

### Planning Tool #19 Force Field Analysis

Planning Tool #19 provides a systematic way to consider the forces that influence an action plan, including how to strengthen positive forces, reduce negative forces, and change the direction of negative forces to positive forces. Force field analysis can be used throughout the planning process, but is crucial for evaluating Action Plans.

Referring to the worksheet provided in Planning Tool #19, each group should identify the potential forces for change on their action plan(s). Examples of these forces may include support from political leadership, available and applicable funding sources, concurrent programs with similar objectives, community and civil society support, and powerful stakeholders with objections, to name a few. Once the forces have been identified, the groups should then determine which forces require the highest priority. The ranking of forces should not be a time-consuming activity as it only helps to organize mitigation approaches. If disagreements exists about which forces demand the highest priority, it is reasonable to give multiple forces the same rank.

The group should then seek to develop strategies for addressing these forces. These strategies can be determined by asking the following questions.

☐ How can these positive forces for change be strengthened?
☐ How can the negative forces be reduced, removed or changed from a negative to a positive?

Once strategies for mitigating risk have been identified and developed, they should be incorporated into the action plans and documented on the worksheets provided.

### (6)  Stakeholder review, input, and revision

Once the action plans have been detailed and revised by the small planning groups, they should be presented to the whole stakeholder group for input and revision. This is important as there may be stakeholders that can provide insights into the action plans that did not actively participate in their development. Each group should be provided with flip chart paper to summarize the results of their action planning activities. The sheets should include the information documented in the group's action plan frameworks (Tool #18) as well as an overview of their force field analyses (Tool #19). Allow the groups to present their action plans to the larger group, allocating 10-15 minutes for

each presentation. Provide an additional 15-20 minutes for the stakeholder group to make suggestions and recommendations for improving the plans. Ensure that all input is documented on the sheets so that the core planning team can record the results. It is important that all changes to the action plans are well documented as they will need to be incorporated into the final plans following the workshop.

## Day Two Wrap Up

At the end of the workshop, the facilitator should ensure that stakeholders have documented important information about their roles, responsibilities, and activities to be undertaken. Stakeholders will then be able to report back to their constituents in a more inclusive and informed manner. If there is not enough time to do so, ensure the stakeholder group that they will each receive detailed copies of the action plans, which the facilitator and core planning team will compile. It is important that the facilitator and core planning team has documentation of all the workshop results, including copies of team worksheets and the flip chart sheets. Before closing the workshop, it may be valuable to discuss with stakeholders the importance of reporting back to their institutions or constituents as soon as possible. This will help to ensure that issues which may arise are identified and addressed sooner rather than later.

★ **Deliverable - Action Planning Workshop Report**

# Step 8: Strategy Development

**Tasks:**
    8.1  Establish Implementation Plan
    8.2  Establish monitoring framework
    8.3  Identify & procure implementation resources
    8.4  Create draft strategy
    8.5  Strategy review and validation
    8.6  Final District Strategic Development Plan

**Workshops:**
    #6  Monitoring
    #7  Strategy Review

**Tools:**
    #20  Monitoring Framework
    #21  Proposal Writing
    #22  Strategy Documentation

**Participants:**
    Core Team
    Stakeholder Group

## 8.1 - Establish Implementation Plan

An Implementation Plan is essentially the culmination of the action planning process and the compilation of actions plans into one cohesive document. The Implementation Plan will provide comprehensive descriptions of all tasks and actions for implementing the alternatives identified and ranked during the prioritization process. It will define the scope and goals of the strategy alternatives, the resources required, scheduled activities, activity durations, roles and responsibilities, and other key components of the action plans. It also establishes a chronology that highlights the order in which actions are to be undertaken.

The task of compiling the Implementation Plan belongs to the facilitator and/or core planning team. This responsibility entails collating the results from *Step 4: Visioning, Step 5: Issues & Objectives, Step 6: Alternatives Assessment, and Step 7: Action Planning* into a detailed work plan that is well-organized and reflects each of the tasks required for implementing the strategy.

As one of the four primary deliverables in the DSDP process, it is important that the Implementation Plan contain certain key components to ensure cohesion in reporting across Districts. The table on the following page provides key information sets that should be included in the Implementation Plan document.

Once the draft Implementation Plan has been completed, it should be circulated to the stakeholder group to elicit feedback during the next workshop.

## Implementation Plan Key Components

Table of Contents
List of Figures, Tables, Acronyms
Executive Summary

**I. INTRODUCTION**
      1.1 Background
      1.2 Purpose of the District Strategic Development Plan
      1.3 Planning Process and Scope
      1.4 Public Consultation and Stakeholder Engagement

**II. CONTEXT FOR PLAN DEVELOPMENT**
      2.1 DSDP Vision
      2.2 Development Objectives
      2.3 Overview of Development Alternatives

**III. DESCRIPTIONS OF DEVELOPMENT ALTERNATIVES**
      3.1 Development Alternative "A"
      3.2 Development Alternative "B"

**IV. ACTION PLANS**
      4.1 Chronology of Action Plans
      4.2 Development Alternative "A"
         4.2.1 Action Plan "A-1"
         4.2.2 Action Plan "A-2"
         4.2.3 Action Plan "A-3"
         4.2.4 Risks, Gaps, and Weak Links
      4.3 Development Alternative "B"
         4.3.1 Action Plan "B-1"
         4.3.2 Action Plan "B-2"
         4.3.3 Action Plan "B-3"
         4.3.4 Risks, Gaps, and Weak Links

**V. NEXT STEPS**

**Deliverable - Draft Implementation Plan**

## WORKSHOP #6
Monitoring

| PARTICIPANTS |
| --- |
| Core Team and Stakeholder Group |
| **DURATION** |
| 1 Day |
| **ACTIVITIES** |
| Establish monitoring framework |

# 8.2 - Establish monitoring framework

The process of establishing the DSDP monitoring framework will occur during a one-day stakeholder workshop. This workshop will bring the stakeholder group together to provide revisions and updates to the Implementation Plan, clarify the monitoring process, establish indicators, and determine protocols for reporting.

By tracking performance, monitoring ensures limited resources for District development can be put to "best-use" and that negative or unintended impacts can be identified and minimized. Furthermore, effective monitoring will sound the alarm when internal and external circumstances in the District have changed, when key opportunities are being missed, or when implementation of a project is no longer effective. Adjustments in action plans, changes in priorities, or a complete refocusing of objectives can then be made to ensure the strategic plan remains useful over

## WHAT IS MONITORING?

**Monitoring** means "to observe" or "to check performance". It is the continuous process of collecting information using objective performance measures (or indicators) to gauge the process or project. Monitoring measures progress and performance and seeks to identify successes or failures as early as possible. There are two common forms of monitoring.

✔ **Compliance monitoring** ensures that what was agreed upon is actually done (e.g., the District will upgrade the road).

✔ **Impact monitoring** gauges the impacts of actions in relation to the objectives (e.g., the upgrade of the road benefited the movement of goods in and out of the village resulting in 10 new transit-related jobs).

The monitoring framework prescribed in the DSDP methodology is focused on impact monitoring. Compliance monitoring activities will be completed by the core planning team, using the Implementation Plan for benchmarking.

time. Ongoing monitoring should result in the gradual evolution and upgrading of the strategic plan, taking the District closer and closer to its envisioned future. When conducted regularly, it is a proactive management tool that provides timely, reliable, and valid information for adjusting and modifying the strategic plan (see Step 10). But often monitoring tends to be only about compliance, asking Are we doing what we said we would do? Sometimes it is only about results, asking Are we getting the outcomes we expected? However, if learning is also a core objective, the question not to forget is What can we learn by monitoring and how will this help us make decisions next time? Therefore, in each step of the DSDP process, there are objectives and outputs that require monitoring.

The following sample workshop schedule outlines the activities to be undertaken for establishing the DSDP monitoring framework.

**Sample Monitoring Workshop Schedule**

| Time | Activity | Time | Tools |
|------|----------|------|-------|
| **DAY ONE** | | | |
| 9.00 | Icebreakers and introduction of activities | 1 hr | Tool #20 - Monitoring Framework |
| 10.00 | Review and feedback on Implementation Plan | 1hr | |
| 11.00 | Review of performance measures from Step 5 | ½ hr | |
| 11.30 | Clarification and expansion of indicators list | 1 hr | |
| 12.30 | LUNCH | 1 hr | |
| 13.30 | Completion of monitoring matrices | 3 hrs | |
| 16.00 | Review and feedback on monitoring matrices | 1 hr | |

## Workshop Day One

**Tasks:**        8.2  Establish monitoring framework

**Workshop:**     #6    Monitoring

**Tools:**        #20  Monitoring Framework

**Participants:**  Core Team
                   Stakeholder Group

Workshop #6 Monitoring should begin with the facilitator and core planning team introducing the day's activities and providing an overview of the planning process to establish the monitoring framework. Once the process has been clarified, the stakeholder group should be asked to provide feedback on the draft Implementation Plan. This feedback should include the identification of

errors, necessary processes changes, and updates on the status of partnerships, planning activities, and the like. It is not necessary to spend too much workshop time on this activity. If time is short, additional feedback can be sent to the core planning team electronically.

The first step in developing a monitoring framework is the establishment of indicators. This list of indicators should expand on the performance measures established for each objective in Task 5.4. This performance measures are the baseline indicators as they are measurable, linked to the ends objectives, and determine how well a specific action is achieving the ends objectives. It is these objectives, developed in Step 5, that serve as the backbone of monitoring activities.

Monitoring indicators can measure a range of results, each of which is linked to the objectives. The monitoring measures may be more extensive than the initial decision making measures, as more information may be sought to reduce uncertainties about project impacts than was identified in the planning process. Some results for monitoring include:

☐ **Outputs** are concrete, tangible consequences of DSDP activities (e.g. 10 km of roads repaved).

☐ **Outcomes** are short-term impacts or effects that can be attributed, at least in part, to DSDP activities (e.g. greater use of new agricultural practices).

☐ **Impacts** are overall changes that are observable in the long-term (e.g. decreased poverty).  Impacts can be influenced by many factors external to the project and are therefore more difficult to monitor

☐ **Reach** is the scope of who is influenced by the DSDP activities (e.g. involvement of the women, youth, poor, etc)

The establishment of indicators should begin with a review of the performance measures established in Task 5.4. The group should then be asked if there are any additional indicators that have come to light since the development alternatives and action plans were determined. As indicators are added, it is essential to identify which objective(s) they link to and where the data will be collected. This is critical to organizing the stakeholders to establish the monitoring framework while demonstrating transparency in data collection and analysis

**Linking objectives, indicators and information**

| Objective | Indicator | Source of Information |
|---|---|---|
| **Diversify the economy** | ☐ # of new jobs created<br>☐ # of new businesses established | ☐ Employment Statistics<br>☐ New licenses issued |
| **Improve labour force skills** | ☐ # of graduates from skills up-grading program that found employment | ☐ Implementing institution |
| **Increase economic self-reliance** | ☐ Household income levels<br>☐ Employment levels<br>☐ Retention of local dollars<br>☐ Perception of self-reliance | ☐ Income statistics<br>☐ Unemployment figures<br>☐ Local sales volumes<br>☐ Business and local area attitude surveys |

**Planning Tool #20 Monitoring Framework**

Planning Tool #20 provides a reference for developing a monitoring framework through the establishment of monitoring matrices for each indicator or performance measure. It also provides a list of questions to be answered when developing the framework. This tool requires approximately 3 hours to complete, depending on the size of the stakeholder group and the number of indicators identified.

The end result of Planning Tool #20 will be a set of monitoring matrices, each representing a specific indicator, and each providing information on the structure of the monitoring to be undertaken (how, what, when, where, who). Once the matrices have been completed, each group, representing each ends objective, shall present their matrices to the stakeholder group. This will create an opportunity for feedback and revisions, if necessary. It will also help to ensure that all stakeholders adequately understand and approve of the monitoring framework.

**UNDERSTANDING MONITORING**

In is important to understand that monitoring is not conducted to find fault and be critical, possibly having adverse effects on an action (e.g., government or funding agencies stop the program). It is a vehicle for accountability, and a management tool for improving processes and projects. Whenever possible, monitoring should occur in each step of the process, not only at the end.

## Day One Wrap Up

Once the monitoring workshop is complete and the indicators and matrices have been agreed upon, it is the job of the facilitator and core planning team to document the results in a monitoring strategy. The monitoring strategy should summarize the results of the workshop, and answer all the questions posed in Planning Tool #20 - specifically who, when and how to review and update the DSDP. Once complete, provide copies of the draft to the stakeholder group for review and feedback. This will provide the group with documentation of the process and help to ensure that stakeholders are aware of the monitoring and reporting that will take place during project implementation.

**Deliverable - Monitoring Workshop Report**

## 8.3 - Identify & procure implementation resources

This step of the planning process is not necessary in every context. However, if it determined through action planning that implementation resources such as funding, training, and organization development activities are required, this will be the time to start addressing these deficiencies. The reason for targeting implementation resources at this stage of the planning process is to ensure that the DSDP process maintains momentum between planning and implementation. This will help to prevent the DSDP from collecting dust while waiting for the necessary implementation resources. As there are unique resource needs to every action in every District, there are no prescriptive measures to achieve the results needed in a particular every situation. However, this methodology provides a planning tool to act as a reference for securing funding through proposal writing.

**Planning Tool #21 Proposal Writing**
Planning Tool #21 provides stakeholders and the core planning team suggestions for developing funding proposals for District development activities that are lacking necessary implementation financing. This tool can be used by all stakeholders and does not require a workshop or meeting setting to be completed.

## 8.4 - Create draft strategy

At this stage of the DSDP process, the core planning team and the District's stakeholders will have completed the analytical steps of the decision-making process. A stakeholder group was established to represent key interests within the District. A Diagnostic Report was completed that provides information on the District's key development sectors as well as its human, natural, manufactured, and financial capital. A SWOT Analysis was undertaken to help stakeholders establish a District Vision Statement, a list of prioritized development objectives, and a set of detailed and mutually-agreed upon alternatives for inclusion into the plan. These alternatives were then detailed through action planning and documented in a chronological Implementation Plan. Finally, indicators and a framework for monitoring were established to evaluate actions and projects throughout their implementation. It is now the responsibility of the core planning team to compile this information into an organized document, the Draft District Strategic Development Plan.

The best planning documents are brief and easy to use.  Both the general public and public-sector decision-makers should be able to use DSDP document to better understand the District. If funds are being sought from senior levels of government or international sources, the DSDP document should be able to quickly provide information about and rationale for a particular action, as well as details on how the funds will be utilized.

Each District is unique, reflecting the challenges and opportunities it faces. Therefore each District Strategic Development Plan will be unique in content, but should nevertheless contain the same summary information as other Districts. This cohesion will allow for easier reporting, more efficient information sharing and storage, and an increased ability to plan projects and activities across multiple Districts.

### Planning Tool #22 Strategy Documentation
Planning Tool #22 provides a general framework for the District Strategic Development Plan. It is not a specific Table of Contents to be followed to the letter, but rather an example of key structural components that should be included in the DSDP. The goal of this plan structure is to convey the District's vision, objectives, and strategy directions in a clear and concise manner. It also provides documentation of the Implementation Plan, the Diagnostic Report, Monitoring Plan, and the methodology and activities of its participatory planning process.

**Deliverable - Draft District Strategic Development Plan**

## 8.5 Strategy review and validation

Although this is not the last step of the planning process, it is the last step to be undertaken before completion of the District Strategic Development Plan. Before the DSDP is finalized, the core planning team should give stakeholders an opportunity to review the document in detail. Once the final draft is complete, supply each member of the stakeholder group and select experts[1] with both electronic and hard copies of the plan. Provide the reviewers with at least 1-2 weeks of review time before hosting a final workshop for strategy review and validation.

**WORKSHOP #6**
**Monitoring**

**PARTICIPANTS**
Core Team and Stakeholder Group

**DURATION**
1 Day

**ACTIVITIES**
Strategy review and validation

Workshop #6 will provide stakeholders with an opportunity to present final feedback on the Draft District Strategic Development Plan. During the one-day workshop the core planning team will present the draft plan and its key components. A facilitated feedback session will allow participants to offer final comments and suggestions.

The following table provides a sample schedule for Workshop #6 Strategy Review.

**Sample Strategy Review Workshop Schedule**

| Time | Activity | Time |
|------|----------|------|
| **DAY ONE** | | |
| 9.00 | Icebreakers and introductions | 1 hr |
| 10.00 | Presentation of Draft DSDP – key components | 1hr |
| 11.30 | Feedback on content of presentation | ½ hr |
| 12.30 | LUNCH | 1 hr |
| 13.30 | Small group feedback on Draft DSDP document | 1 hr |
| 14.30 | Presentation of Findings | ½ hr |
| 15.00 | Approval and validation of DSDP | 1 hr |

1. Consideration should be given to establishing an Advisory Panel of experts in the fields of regional development, community and regional planning, and certain key development sectors. These experts could come from civil society, academia, government, and the private sector.  Although established by the core planning team, the Advisory Panel participants should be approved by the stakeholder group.

# Workshop Day One

**Tasks:**          8.5   Strategy review and validation

**Workshop:**      #6   Strategy Review

**Participants:**     Core Team
                         Stakeholder Group

At this stage in the planning process, the stakeholder group should have a clear understanding of the content of the Draft DSDP. They have all worked through the activities and analyses and have each been provided feedback and review opportunities at key milestones in the process. In most cases, there should be few significant changes to be made to the plan at this stage. Nevertheless, hosting a workshop for review and validation will allow the stakeholder group to make final comments and suggestions before approving the plan and finally, celebrating their accomplishment.

The Strategy Review Workshop should begin with a presentation of the Draft DSDP. This should cover the structure of the document, its key analytical components, the final strategy directions, and the main projects and actions for implementing the plan. Participants should have a hard copy of the Draft DSDP to reference during the presentation. Following the presentation of the document, facilitate a discussion to elicit feedback on the plan's primary components highlighted in the presentation. This should allow for feedback on the content of the document and ensure that the reporting of the DSDP process is consistent with the results of the planning activities.

The stakeholder group should then be divided into smaller groups (5 or less) in order to provide detailed feedback on the draft DSDP. Members of the core planning team can facilitate these small group discussions and document their findings. The facilitators should walk their groups through the manual and allow participants to identify revisions. These revisions should be slight, so the discussion should be focused on language, formatting, and minor content revisions. If a stakeholder voiced major content objections at this stage of the process, ask them to document their objection in detail and submit it to the core planning team for review. It will be up to the core planning team to determine if this late objection merits further action.

Once the small groups have completed their reviews, provide each facilitator with a few minutes to present any significant changes identified and to pose questions to the group that will help to clarify and areas of confusion. These

short presentation will keep the entire group informed of what changes will be made prior to printing the final plan.

## Day One Wrap Up

As a last step before creating the final plan, the facilitator should ask the group if they each approve the DSDP for finalization. This can be done either formally (e.g. signing a statement of approval) or informally (e.g. a simple show of hands). If any stakeholders have objections, they should be offered the opportunity to formally oppose the plan in writing and informed that all formal objections will be reported and included in project documentation. With the Draft District Strategic Development Plan approved for finalization, the stakeholder group and core planning team should take the time to celebrate their accomplishment.

### OPPORTUNITY FOR PUBLIC COMMENT AND REVIEW

Once the draft DSDP has been approved by the stakeholder group, there is an opportunity to take the plan to stakeholders not directly involved in the process for final review and comment. This can be accomplished by hosting open houses, community meetings, presentations, and other forms of public consultation. This will allow a broad number of stakeholders to articulate their support or opposition to the plan and will help to identify potential areas where new conflicts could arise, inform implementation activities, and provide the general public with a greater sense of ownership in the process.

**Deliverable - Strategy Review Workshop Report**

## 8.6 Final District Strategic Development Plan

The core planning team will now be responsible of creating the final District Strategic Development Plan document. The final plan should be structured to be accessible, readable, and visually pleasing. Including high quality graphics, photos, and an aesthetic graphic interface will help make it more appealing to readers. It is recommended that the core planning team procure the services of a professional graphic designer in order to create a document of high-qual-

ity. When compiling the final document it is important to be aware of potential printing costs and budget constraints. The goal is to create a plan that is widely circulated and, of course, widely read.

★ **Deliverable - Final District Strategic Development Plan**

# MODULE 4
# HAVE WE ARRIVED?

**Module Four: Have we arrived?** is composed of two planning steps: Project Evaluation and Adjust & Modify. These steps entail documenting and reviewing the DSDP process, performing project evaluations, and producing recommendations for future District development planning activities. The primary tasks necessary to complete these steps will be completed by the core planning team and DSDP stakeholder group through a 2-day workshop

**Step 9: Project Evaluation** has two distinct tasks. The first is to document the planning process as a District planning case study. Each step of this process will be illustrated including both stakeholder activities and tasks completed by the core planning team. The second task is comprised of both external and internal analyses of the DSDP process. The stakeholder group will provide evaluations during a Project Review Stakeholder Meeting.

**Step 10: Adjust & Modify** seeks to identify and document ways to improve the DSDP process. With input from stakeholders and the external evaluation, the core planning team will make recommendations for improving the planning process. These changes will be incorporated into the DSDP process as well as the documented steps of the District case study. This will help the DSDP process to evolve through the incorporation of innovations, best practices, and lessons learned

# Step 9: Project Evaluation

**Tasks:**  9.1  Document the planning process
9.2  Perform project evaluation

**Tools:**  #23  Evaluation 'How To'

**Participants:**  Core Team
Stakeholder Group

## 9.1 Document the planning process

The process of documenting the planning process should be a relatively brief task. Each stakeholder workshop and project meeting will have already been documented in the deliverables requested in Steps 1 through 8. The core planning team will simply have to restructure the information for efficient reporting. As stated at the beginning of this manual, the DSDP process seeks to learn from its experiences in every District. This will help to improve its methodology, add innovation, and allow Districts to learn from the experiences of those that previously worked through the process. The result will be a 'living document' that grows with the addition of case studies, best practices, and lessons learned.

The first component of project documentation will include a **'full cycle' case study** that summarizes the planning process as a whole, its main activities, end results, and significant lessons learned. This should also be a brief report (a few pages) that highlights key experiences and provides readers with a broad understanding of how the process unfolded in the particular District.

The second component should provide slightly more detail to the documentation, structured according to each of the 10 planning steps. Each planning step should be documented as a **individual case study**, containing descriptions of the activities undertaken to complete it and the results. For the steps completed through stakeholder participation, these case studies can be summaries of the workshop and/or meeting reports (and PRA Report, if applicable). For steps that were completed by the core planning team alone, it will also be necessary to provide summary of the tasks completed. These case studies should also be brief, but will likely vary with each step. Remember that the goal of documenting these steps is to learn from experience. So be sure to include unique approaches and lessons learned.

As stated at the beginning of the manual, it is recommended that individual planning steps are documented as the process unfolds. This will help to ensure that information is not lost over the course of the planning process.

## 9.2 Perform project evaluation

With each step of the DSDP process now complete, it should be reviewed and evaluated to determine how it can be improved for future use. This will be accomplished through internal evaluations by stakeholders and the core planning team as well as an external evaluation to provide additional objectivity.

The project evaluation process should consider four key themes of analysis: adequacy & effectiveness; efficiency; contextual review; and, adjustment & recommendations. These themes will provide specific information about participants' experiences with the planning process, how effectively the process was implemented, how it worked in a specific context, and how it can be improved in other Districts. Gathering this information should be guided by the following questions.

**Adequacy & Effectiveness**
- ☐ Has the planning process been satisfactorily implemented?
- ☐ Did the planning process achieve its expected results?
- ☐ Have the resources been sufficient to carry out the process?
- ☐ Has the leadership and capacities of the individuals and the organizations been sufficient?

**Efficiency**
- ☐ Could resources have been used differently to produce better results?
- ☐ Could the same results have been achieved for less money or effort?
- ☐ Would a different approach produce the same results at a lower cost?
- ☐ Were resources managed in the most efficient way possible?

**Contextual Review**
- ☐ Was each step of the process implementable in your District?
- ☐ What activities/tasks worked well in your District?
- ☐ What activities/tasks were not appropriate or applicable?
- ☐ What changes were made to the process to make it more locally applicable?
- ☐ What opportunities for broad public participation were utilized in your District?

**Adjustment & Recommendations**

☐     What needs to be changed to make the process better?

☐     Is a complete review is necessary?

### Internal Evaluation

**Project Review Stakeholder Meeting**

The internal project evaluation should be completed by all participants in the strategic planning process. This includes the stakeholder group and core planning team. Evaluations will be completed during a one-day Project Review Stakeholder Meeting. This meeting will allow participants to provide detailed feedback about the planning process and its achievements/failures.

The stakeholder meeting should begin by briefly walking the group through each step of the planning process. The case study reports completed in Task 9.1 should serve as a good reference. With each step, allow participants to comment on what they liked and disliked, what worked well or was less than successful. Ensure that each stakeholder activity is covered, including the participatory planning and decision tools supporting the process. This should be a candid and open dialogue that allows stakeholders to make recommendations throughout. It is important the core planning team documents these findings in detail for inclusion in the final evaluation report. Recommendations should also be written on the wall by the meeting facilitator so that participants are all aware of the recommendations brought forth.

Once each planning step has been adequately discussed, the stakeholders should be asked to complete an anonymous evaluation survey. Use Planning Tool #23 as a reference.

### Planning Tool #23 Evaluation 'How to'

Planning Tool #23 provides examples of two stakeholder evaluation surveys. Use the questions in these samples to develop a survey catered to the experiences in your District. This survey should seek to determine the planning process' effectiveness, efficiency, and local applicability. It should seek to garner specific recommendations.

Once participants have completed the evaluations, their participation in the planning process will be officially complete. This is yet another opportunity to celebrate the achievements of the group. The core planning team should en-

sure that the planning process is concluded in a formal manner, acknowledging the efforts and support of each project participant independently as it is likely that many have volunteered their personal time to the DSDP process.

After the meeting is complete, it will be the task of the core planning team to compile the information collected from the evaluation surveys and discussion. The core team will also be asked to complete its own evaluation of the planning process. Although more detailed and descriptive than stakeholder feedback, this evaluation should contain the same kinds of information. This should then be incorporated into a Project Evaluation Report that includes a summary of the stakeholder feedback and the case studies documented in Step 9.1. This will be the final deliverable of the DSDP process.

**Deliverable: DSDP Project Evaluation Report**

### External Evaluation

It is recommended that a strategic planning expert be brought on board to provide an objective evaluation of the planning process. This expert should have working knowledge of participatory planning methods, facilitation and decision support, and the region in which the activities took place. This task should be managed by the core planning team but without interfering with the independence of the expert. A Terms of Reference and competitive application process will help to identify qualified candidates. This can be undertaken either before or after the internal evaluation process.

# Step 10: Adjust & Modify

**Tasks:**        10.1 Adjust & Modify

**Participants:**    Core Team
            Implementing Organizations

## 10.1 Adjust and Modify

Once the Evaluation Report has been reviewed, the lead organizations in the DSDP process (MoP/MoLG) will determine which recommendations should be incorporated into the revised approach. These changes will be made and the new case studies will be incorporated. This will help this manual to grow, evolving into a process that is grounded in the experiences and lessons learned of those who have used it.

Although the Adjust & Modify step is mentioned at the end of this manual, it is something that should be occurring throughout the strategic planning process - whenever new information arises or new priorities are identified. In addition, on a regular basis of every few years, the DSDP needs to be completely revisited. At this time, the process will return to Step One...

### Reflecting on Your Accomplishments

Strategic planning is an ongoing and iterative process. Be sure to take a moment to reflection what it means to reach this point in your planning process. Thanks to the ongoing efforts of communities, administrations, and personnel, significant results have been achieved and your District has made strides in determining its own future.

# Next Steps and Conclusion

At this point of the process, a written Strategic Local Development Plan Document should have been produced. This document should outline commitment of resources and establish a clear path of action. But, beware! Strategies most often become derailed here. **Developing the plan is not the end of the process.**

The plan now requires both *institutionalization* and good *implementation* management.

## Institutionalizing the Plan

Institutionalization of the plan is the task of integrating of the planning process and its outcomes into the institutions and organizations of the local government, District, or higher level of government. This means that the activities determined through the process will become standard and will be routinely applied in the day-to-day operations of organizations and stakeholder groups. The following eight tasks identify the key components of plan institutionalization.

**Task 1:** Strengthen stakeholder organizations to improve their effectiveness in planning, management, and coordination. Only where necessary, create a new organization to accommodate special requirements – technical or managerial – not covered by existing institutions.

**Task 2:** Change or adjust mandates of existing institutions in order to integrate new functions and roles for planning and project implementation.

**Task 3:** Identify and task 'anchor' institutions to take the lead and provide a home base for specific sectoral activities or phases of the DSDP.

**Task 4:** Link the DSDP to established policy instruments such as annual budgeting, human resource allocation, sectoral work programmes, etc.

**Task 5:** Develop skills necessary to support and routinely apply the participatory District Strategic Development Planning methodology (data collection, negotiation, facilitation, strategy formulation, action planning, monitoring and evaluation).

**Task 6:** Provide funds to support expenditure and equipment for capacity building and sustaining the framework, primarily through public budgetary provisions or allocations.

**Task 8:** Maintain knowledge support and a learning process, for example though documenting and evaluating lessons of experience and building collaboration with local research or consulting establishments.

## Plan Implementation

Too often, once plans have been produced, participants and leaders are misled in thinking that they have finished the process. It is precisely this lack of follow-through that has frustrated so many participants and made cynics of so many citizens and residents.  The resulting poor implementation has other common causes:

- ☐ a lack of political will to act;
- ☐ changes in organizational or political leadership before implementation;
- ☐ committed resources are not forthcoming; and
- ☐ crisis management takes over long term development plans.

Paying close attention to these issues early in the planning, such as during Step 3 and Step 4, can increase the probability of successful implementation. If the problems in the list above have been properly addressed, the main cause of poor implementation will likely be poor management.  Provided there is political will, interdepartmental

**KEY IMPLEMENTATION QUESTIONS**

- ✔ Are the partnerships that the strategy requires too complex?
- ✔ Are the deadlines realistic?
- ✔ What is likely to go wrong?
- ✔ Are we doing everything we can to minimize the risk?
- ✔ Are there contingency plans in place for when things go wrong?

cooperation at the local government level, new or reformed organizational/partnership structures, and committed resources, then the remaining key to successful implementation of the DSDP is management with strong project management capabilities. Managers must empower relevant organizations, nurture the core partnerships and provide incentives to individuals and organizations to proceed with action plan implementation.

# Glossary of Terms

The District Strategic Development Planning process has its own language and terminology. Many of the terms used require interpretation and negotiation when applied in different institutional settings. In recognizing that some of these terms are not universally understood, the following list provides an understanding to this terminology by describing commonly used words.

**Action:**
A single activity as part of a strategy alternative or project.
ex. "Build new road infrastructure for rural area X."

**Action Plan:**
A result oriented, time bound and actor-specific plan negotiated among stakeholders within an agreed strategy direction.

**Capital:**
Capital is economic and social wealth relating to or being assets that add to the long-term net worth of an area. It is a useful concept for because it implies that capital must be maintained and invested in; and can be drawn upon in times of need. There are four types of capital.

> *Human Capital* -The set of skills which an individual acquires, through training and experience, and which increases that individual's value to society or in the marketplace.

> *Social Capital* - The organizational aspects of society such as networks, norms, and social trust that facilitate coordination and cooperation for mutual benefit. Includes information flows that provide social links and access to business, economic, market, social and environmental knowledge.

> *Financial Capital* - The cash, monetary investments and monetary instruments used in a functioning economy.

> *Manufactured & Physical Capital* – The technology, machines, tools and factories of a functioning economy.

> *Natural Capital* – The resources, living systems and ecosystem services required for a functioning economy.

**Civil Society:**

A term used to distinguish a third sector of society, distinct from the market or the economy and the state or government. It is ultimately about how culture, market and state relate to each other. Civil society refers to the set of institutions, organizations and groups situated between the state, the business world, the tribe (in some cases), the family and the individual. It specifically refers to forms of social participation and engagement and the values and cultural patterns associated with them. It often includes voluntary and non-profit organizations (e.g., NGOs, CBOs), philanthropic institutions and social and political movements.

**Community:**

People living in a particular area with a common history or common socio-cultural, economic and/or political interests.

**Community (Local area) Based Organizations (CBO):**

These are organizations based in and working in one or more local communities (neighbourhoods or districts); they are normally private, charitable (non-profit) organizations which are run by and for a local area (sometimes covered under the NGO designation).

**Core Planning Group:**

The core planning group includes the initiators of the planning process that are responsible for ensuring conditions are favourable to initiate and maintain the planning process. This group consists of the Technical Coordination Committee (MoP/MoLG), the District Planning Unit, and additional planning support, if necessary.

**Decision Support or Analysis:**

A set of procedures, methods, and tools for identifying, clearly representing, and formally assessing the important aspects of a decision situation.

**Facilitator:**

A person trained or experienced in leading a participatory process and facilitating group discussion, consultations, and meetings. He or she has the skills to apply the various techniques and tools that make joint activities more efficient and more participatory.

**Focus Group:**

A form of data collection where a group of people are asked about their at-

titude towards a particular product, activity, action, or project. Questions are asked in an interactive group setting where participants are free to talk with other members of the group.

**Goals (aka targets):**
A specific, well defined end.
ex. "Reduce the number of families living in poverty by 50% by 2015."

**Governance:**
Governance is not government.  Governance is a concept that recognizes power both inside and outside the formal authority and institutions of government.  Governance is defined as the ability to coordinate and promote policies, projects, and programs that credibly represent a broad range of interests (e.g., government, the private sector and civil society). Public involvement, institutional development, transparency of decision-making procedures, interest representation, conflict resolution, limits of authority and leadership accountability are all issues of governance.

**Indicators:**
Measures of performance that provide operational definition to the multidimensional components of objectives and assist with communication.  (Also see Performance Measure).

**Institutionalization:**
Institutionalization of the participatory decision making process is absorption and integration of the process principles, capacities, and products into the institutions and organizations of the local government, District, or higher level of government. It means that the activities of the process will have become normal and will be routinely applied in the day-to-day operations of organizations and stakeholder groups.

**Issues:**
Concerns that are related to, or affected by, a decision or plan.

**Non-Governmental Organization (or non-profit organization):**
A term applied to a wide range of organizations that are not established by or operated by government.  NGOs are usually private, non-profit organizations (often include Local area Based Organizations).

**Objectives (or criteria):**
Objectives clarify a direction of preference that can be traded off (a little more of this for a little less of that). They are decision or evaluation criteria. ex. "Reduce poverty."

**Open House:**
Large group meetings that are open to the public and provide opportunities for the expression of interests, values, and opinions by a large group of attendees.

**Participation:**
The active involvement of different stakeholders in a planning process which allows a spectrum of voices to be included in a final plan.

**Participatory Rapid Appraisal:**
A way of utilizing imagery and dialogic community engagement techniques to gain an un¬derstanding of a community's values or views on a particular sub¬ject.

**Performance Measure (see indicator):**
Measures or indicates how well an objective is being satisfied.
ex. "The number of families living under the poverty line."

**Planning Question:**
The question that determines the purpose of the planning exercise. It is often linked to the triggering event.

**Stakeholder:**
Individuals and groups that have an interest in, are involved with, or are affected by, a policy or plan devised by government, community or business. In the context of participatory decision making, this word is applied to groups, organizations (formal and informal; pubic and private) and individuals who have an important 'stake' in the process of urban management and governance – regardless of what that 'stake' may be. Working Groups are often formed with stakeholders and experts in issue-specific strategy negotiation, action planning, implementation of demonstrations, projects, etc.

**Strategy:**
A broad plan or approach.

**Strategy Alternative (or scenario):**
Action or groups of actions that can be taken to achieve given objectives. Example – "Improve waste infrastructure by establishing a new dump site that will be maintained through a public-private partnership for domestic garbage collection. Establish a District recycling facility and partner with CBOs to create composting programs in villages".

**Value:**
The relative worth, utility or importance of something to an individual.

**Working Group:**
An issue-specific Working Group is a small body of stakeholder representatives and experts who come together to address a cross-cutting issue of their common concern. The members possess mutually complementing information, expertise, policy and implementation instruments and resources, which they bring together and use in collaboration within the framework of the participatory process.

# TOOLS AND ACTIVITIES

## MODULE ONE

**Planning Tool #1**    **Stakeholder Identification**

**Planning Tool #2**    **Stakeholder Analysis Matrix**

**Planning Tool #3**    **Stakeholder Terms of Reference**

**Planning Tool #4**    **Local Area Assessment**

**Planning Tool #5**    **Community Survey Sample**

**Planning Tool #6**    **Guidelines for Participatory Rapid Appraisal Fieldwork**

**Planning Tool #7**    **Diagnostic Report Table of Contents**

## MODULE TWO

**Planning Tool #8**    **SWOT Analysis**

**Planning Tool #9**    **Developing a Vision**

**Planning Tool #10**    **Working with Issues & Objectives**

**Planning Tool #11**    **Objectives Matrix for Facilitators**

**Planning Tool #12**    **Prioritizing Objectives**

## MODULE THREE

**Planning Tool #13**    **Creating Alternatives**

**Planning Tool #14**    **Organizing Alternatives**

**Planning Tool #15**    **Evaluating Alternatives - Technical Analysis**

**Planning Tool #16**    **Evaluating Alternatives - Swing Weighting**

**Planning Tool #17**    **Evaluating Alternatives - Final Value Analysis**

**Planning Tool #18**    **Action Planning Framework**

**Planning Tool #19**    **Force Field Analysis**

**Planning Tool #20**    **Monitoring Framework**

**Planning Tool #21**    **Proposal Writing**

**Planning Tool #22**    **Strategy Documentation**

**Planning Tool #23**    **Evaluation 'How To'**

# Planning Tool #1:
# Stakeholder Identification

| | |
|---|---|
| **Resources required** | Pen, copies of worksheet for participants, flip chart |
| **Suggested time requirement** | 1 – 2 hours |
| **Rationale and Comments** | Having a complete listing of stakeholders is the first step to pinpointing critical stakeholders, forming a Stakeholder Group, and identifying where and how stakeholders could participate in the process. |
| **Procedure** | Ask core team participants to fill out the worksheet. Have participants read their answers until all are stated. Use a flipchart to record group responses and record these on a worksheet. Brainstorm additional stakeholders as a group. Be specific! |
| **Key Questions** | **List of Stakeholders** |
| ☐ Who might benefit or be negatively affected (e.g. client groups such as the urban poor, policy proponents such as NGOs)? | |
| ☐ Who should be included because of their relevant formal position (e.g. government authority)? | |
| ☐ Who should be included because they have control over relevant resources (e.g., money, expertise)? | |
| ☐ Who has power to hinder or block implementation (e.g., activist groups, lobby groups, implementing agencies)? | |
| Comments: | |

## Candidates Groups to Consider

| Public | Business and Labour | Local area and Non-Governmental |
|---|---|---|
| ☐ Local governments | ☐ Small and medium sized businesses | ☐ Local area leaders |
| ☐ National governments | ☐ Large corporations | ☐ Informal economy groups |
| ☐ Sector boards and authorities (e.g. health, education, transportation) | ☐ Trade and Labour unions | ☐ Neighbourhood groups |
| | ☐ Banks, credit unions and other financial groups | ☐ Local educational institutions |
| ☐ Zoning board | ☐ Chambers of commerce | ☐ Local religious groups |
| ☐ Education institutions (technical schools, universities) | ☐ News media | ☐ International development-groups working locally |
| | ☐ Business support groups | ☐ Women and youth groups |
| ☐ Utilities | ☐ Professional associations | ☐ Minority, disabled and disadvantaged groups |
| ☐ International support (lending institutions, development agencies) | ☐ Private utilities | ☐ Environmental groups |
| | ☐ Private education | ☐ Cultural, historical and arts interests |
| | ☐ Think tanks | |

# Planning Tool #2:
# Stakeholder Analysis Matrix

| Resources required | Pens, copies of the worksheet, flip chart |
|---|---|
| Suggested time requirement | 1 – 2 hours |
| Rationale and Comments | This will help in assessing the stakeholders and developing a Stakeholder Group and public involvement plan. |
| Procedure | Use the list generated in Planning Tool 1 to fill out the matrix below. First, ask participants to fill out the worksheet. It may be a good idea to break the group into small working groups. Have participants read their answers until all are stated and discuss differences in the assessments. Use both a flipchart and worksheet to record group responses. |

| Stakeholder | Description of key interest | Description of key potential contributions | Partnership Assessment [2]  Is their involvement:  ☐ **Essential**: process will fail without involvement  ☐ **Important**: process is limited and implementation may suffer without it  ☐ **Minor**: nice to have | |
|---|---|---|---|---|
| | | | **Current** | **Potential** |
| **Government:** Municipal, National, Traditional, etc | | | | |
| **Private Sector** | | | | |
| **Civil Society Organizations** | | | | |
| **Other** | | | | |

2    Consider the following issues when assessing stakeholders:
·    their stake in the issues (e.g., the client groups such as the urban poor, policy proponents such as  NGOs);
·    their formal position (e.g., government authority);
·    their control over relevant resources (e.g., money, expertise), and;
·    their power to promote, hinder or block implementation (e.g., activist groups, lobby groups, implementing agencies).
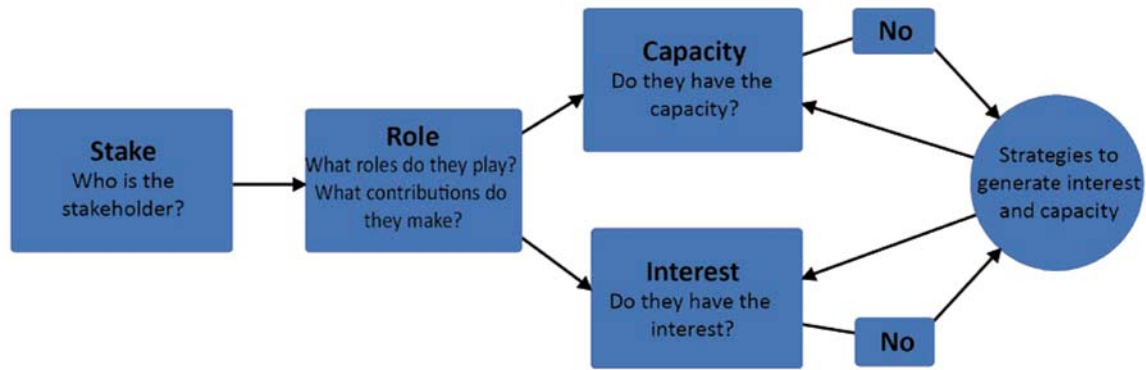
**Stakeholder identification, capacity and interest process**

# Planning Tool #3:
# Stakeholder Terms of Reference ³

| Resources required | Pens |
|---|---|
| Suggested time requirement | 1 hour |
| Rationale and Comments | Establishing a Terms of Reference (TOR) for the Stakeholder Group will avoid many potential problems and pitfalls. |
| Procedure | Use this worksheet and its questions as a guide for the core group to develop a Terms of Reference for the Stakeholder Group. |

Use the answers from these questions to write a terms of reference that all stakeholders can sign.

☐  What are the basic tasks of scheduling meetings? Writing agendas? (e.g. Who will do it? How will the agenda be agreed to?)

☐  What activities are to be jointly undertaken?

☐  What are the roles and responsibilities of the participants throughout the process (e.g., provide leadership, come to meeting prepared, complete action items that result from meetings and workshops)?

☐  What information will be needed and what are the standards for information gathering and sharing? Will the project rely on work already completed and on the knowledge and experience of participants? How will this be gathered? Will additional research need to be conducted?

☐  What are the resources to be provided by each participant?

☐  What are the decision-making methods, including dispute resolution and review?

☐  What are the agreements on how the outcomes of the planning process will be integrated into the planning activities of the municipality?

☐  What is the communication protocol? With other members? With members constituents? With the media? With public officials?

☐  What is the protocol for letting new members into the process – when and how?

☐  Have participants identified alternate representatives?

3    Adapted from ICLEI, 1996. The Local Agenda 21 Planning Guide. Toronto.

## Planning Tool #4:
# Local Area Assessment

| | |
|---|---|
| **Resources required** | Pens, copies of worksheets. |
| **Suggested time requirement** | 15 min for worksheet. Discussion as needed – depends if results are to be collected and analyzed. |
| **Rationale and Comments** | This exercise is meant to provide a quick opportunity for a common understanding of the local area. Where understandings are different, this exercise can help build awareness of different perspectives among stakeholders. |
| **Procedure** | Have participants fill out worksheet. Discuss results. Possibly collect results, analyze and return analysis to group for discussion. |

| Assessment Statement | Rank | Comments |
|---|---|---|
| 1. Leadership in the public sector is diversified and representative of your local area (age, gender, wealth/poverty, culture) | Low   Med   High | |
| 2. Leadership in the private sector is diversified and representative of your local area (age, gender, wealth/poverty, culture) | Low   Med   High | |
| 3. Marginal groups are organized and have the capacity to participate | Low   Med   High | |
| 4. Elected leadership is visionary, capable of forging alliances, able to build consensus and willing to share power to get things done | Low   Med   High | |
| 5. The citizens of your local area feel a sense of pride and attachment | Low   Med   High | |

| Assessment Statement | Rank | | | Comments |
|---|---|---|---|---|
| 6. Local area members feel optimistic about the future | Low | Med | High | |
| 7. There is a spirit of co-operation and mutual assistance in your local area | Low | Med | High | |
| 8. Your local area is self-reliant and looks to itself and its own resources to address major issues | Low | Med | High | |
| 9. Your local area has a strategy for broad public participation in planning and decision-making | Low | Med | High | |
| 10. Your local area currently has a local development strategy or land use plan to guide its development | Low | Med | High | |
| 11. Citizens and stakeholders have the opportunity to be involved in the creation and implementation of the District development plan | Low | Med | High | |
| 12. Your local area adopts an approach that encompasses all citizens, regardless of wealth, power and influence | Low | Med | High | |
| 13. Your local area has identified and/or acted on opportunities for collaboration with other communities and jurisdictions | Low | Med | High | |
| 14. Your local area is willing to seek out resources to address identified areas of weakness | Low | Med | High | |
| 15. There is a strong belief in, and support for, education and skills training at all levels | Low | Med | High | |
| 16. There is a variety of active organizations that address key local service needs (planning and coordination, education, health, social services, infrastructure, employment) | Low | Med | High | |
| 17. Organizations in your local area have developed partnerships and collaborative working relationships | Low | Med | High | |

# Planning Tool #5:
# Community Survey Sample

| Resources required | Funds for survey development and implementation, data collection, data entry and analysis. |
|---|---|
| Suggested time requirement | As needed. |
| Rationale and Comments | A survey should be developed according to the context in which it is being implemented. While one can solicit a great deal of information, the collected information is worthless unless it is analyzed and used. It is best to solicit responses that can be entered into a database (e.g. Dev-Info) easily. To maximize the versatility of the information collected, the opportunities and constraints of such data management systems in terms of data organization, standardization, and analysis, should be understood when designing and implementing any survey. |
| Procedure | Distribute the survey to a representative sample of the community. Collect completed surveys. Enter the data in computer database and analyze. |

## Sample Questionnaire

1. What is your opinion about your community regarding the following aspects (grade each aspect with a mark between 1 and 3, 1 standing for "very good", 2 = "good" and 3 = "bad"):

|  | 1 | 2 | 3 |
|---|---|---|---|
| Natural environment/surroundings |  |  |  |
| Utility service levels and equipment (eg. Water, sewage, electricity) |  |  |  |
| Land use planning and organization (well planned adequate services, transportation, etc.) |  |  |  |
| Level of equipment with/existence of public services (schools, hospitals etc) |  |  |  |
| Level of development of the local economy |  |  |  |
| Relations of co-operation with neighbouring communities (economic, cultural etc.) |  |  |  |
| Manner of administration of the town |  |  |  |

2. From your point of view, do you consider your community to be:

     poorly developed       developed       very well developed

3. Do you believe that in 5 years the overall quality of life in your community could significantly change?

   for the better          will remain unchanged          for the worse

4. How do you assess the involvement of the administration in the development of the area?

   Is not involved at all        Could be more involved        Is very much involved

5. Do you consider that in your community:

   • The common interest is always set above private interests
   • Private interests are set above the common interest

6. Does the administration encourage you to be a part of community life?

   Yes                No

   If "yes", answer question 7
   If "no", go straight to question 8

7. In what specific ways does the administration encourage you to be part of community life? (provide three examples of such ways/facilities)

   1.........................................................................................................................................
   2.........................................................................................................................................
   3.........................................................................................................................................

8. In your opinion, what are the reasons for not being encouraged? (provide three examples of possible reasons)

   1.........................................................................................................................................
   2.........................................................................................................................................
   3.........................................................................................................................................

9. In your opinion, what are the fields/areas that have major problems, in your community? (grade each field/area with a mark between 1 and 3, according to how serious the problem is: 1 = very serious, 2 = serious, 3 = not very serious)

| FIELD/AREA | 1 | 2 | 3 |
|---|---|---|---|
| Agriculture | | | |
| Industry | | | |
| Housing | | | |
| Traffic and public transport | | | |

4    Questions 8, 9 and 10 should not be filled in by local councilors or representatives of public administration, since their involvement on community life is self-evident, due to the roles and offices they hold.

| | | | |
|---|---|---|---|
| Utilities services (water distribution, sewerage, waste disposal etc.) | | | |
| Education | | | |
| Healthcare and social welfare | | | |
| Environment protection | | | |
| **Other fields you consider important (e.g.: culture, sports, tourism etc.)** | | | |
| | | | |
| | | | |

10. Among the fields/areas that you believe have major problems in your community, for which have you perceived some interest on the part of the administration to find solutions to them?

**FIELD/AREA**

| | |
|---|---|
| Agriculture | |
| Industry | |
| Housing | |
| Traffic and public transport | |
| Utilities services (water distribution, sewerage, waste disposal etc.) | |
| Education | |
| Healthcare and social welfare | |
| Environment protection | |
| **Other fields you consider important (e.g.: culture, sports, tourism etc.)** | |
| | |
| | |

11. Among the fields/areas that you believe have major problems in your community, in which case do you believe the administration should co-operate with the administrations of other communities in order to find solutions to those problems?

**FIELD/AREA**

| | |
|---|---|
| Agriculture | |
| Industry | |
| Housing | |
| Traffic and public transport | |
| Utilities services (water distribution, sewerage, waste disposal etc.) | |
| Education | |
| Healthcare and social welfare | |
| Environment protection | |
| **Other fields you consider important (e.g.: culture, sports, tourism etc.)** | |
| | |
| | |

12. Do you consider that right now there is such a tendency (towards co-operation)?

   Yes               No               I don't know

   If "yes", name the fields/areas affected by trends towards co-operation:......................................
   ...........................................................................................................................................................
   If "no", go straight to question 13


13. In your opinion, what are the most important areas for your community to focus on, in its local development efforts? (Grade from 1 to 7, in order of importance)

**FIELD/AREA**

| | |
|---|---|
| Agriculture | |
| Industry | |
| Housing | |
| Traffic and public transport | |
| Utilities services (water distribution, sewerage, waste disposal etc.) | |
| Education | |
| Healthcare and social welfare | |
| Environment protection | |
| **Other fields you consider important (e.g.: culture, sports, tourism etc.)** | |
| | |
| | |


14. In your opinion, where should the local public administration find the resources required to encourage the community's sustainable development? (Grade from 1 to 7 in the order of the impact on development)  (1= most powerful, 7= least powerful)

| | |
|---|---|
| The local budget | |
| The regional budget | |
| The central budget | |
| The internal private sector (by attracting local investment) | |
| The private sector outside the town | |
| External funding (European Union, World Bank, other) | |
| Other types of local resources (contributions in money and labour from the members of the community etc.) | |


15. What community do you perceive as a strong "competitor" for your community?
   ...........................................................................................................................................................

16. Why?
   ...........................................................................................................................................................

17. What community do you perceive as a suitable "collaborator" for your community?
.........................................................................................................................................................

18. Why?
.........................................................................................................................................................

19. Are there any current co-operation relationships with the latter?

   0            Yes                No                I don't know

   (If "yes", answer question 22; If "no", go straight to question 21)

20. In what fields do these cooperation relations already exist? (provide 3 examples)
   • .......................................................................................................................
   • .......................................................................................................................
   • .......................................................................................................................

21. In your opinion, what does your community have to offer more than the neighbouring communities?
   • .......................................................................................................................
   • .......................................................................................................................
   • .......................................................................................................................

22. As a resident, what do you believe your community has special and different when compared to other communities and you would like to remain unchanged?
.........................................................................................................................................................

23. Name one positive aspect and one negative aspect with regard to your community, from the point of view of the following types of relationships:

|  | Relationships of the residents of  your community | | |
|---|---|---|---|
|  | Within the community | With the local administration | With other communities |
| Positive aspect |  |  |  |
| Negative aspect |  |  |  |

24. If you had the power to change something in your community, what would be the first three measures you would take?
   1 .............................................................................................................................................................
   2 .............................................................................................................................................................
   3 .............................................................................................................................................................

25. Would you move to another community if you had the opportunity?

   Yes                No

26. If yes, where?
.........................................................................................................................................................

27. Why ?

.................................................................................................................................................................................................................

28. Do you believe that, after graduating from secondary school, the young people of the community should move to other communities?

Yes                    No

If yes, why?

.................................................................................................................................................................................................................

29. For how long have you been living in your community?

Less than 5 years                    5 – 10 years                    over 10 years

30. When was your residence built?

.................................................................................................................................................................................................................

31. How satisfied are you with your life and with the life of your family? (assess, on a scale from 1 to 5, 1 being the maximum value and 5 the minimum value)

1          2          3          4          5

32. In your opinion, how satisfied are the residents of your community with their lives? (assess as for question 38).

1          2          3          4          5

33. Where do you stand, compared to the other residents, in regard to average monthly family income?

I have high income          I have medium income          I have low income

34. Gender:    F          M

35. Age

20 –30 years     31-40 years     41-50 years     51-60 years     over 60 years

36. What is the last education level completed?

primary               secondary               university               postgraduate

37. Your profession ...................................................................................................................................................................
    Last and first name .........................................................................................................................................................
    Address ..............................................................................................................................................................................
    Phone, fax .........................................................................................................................................................................
    E-mail ................................................................................................................................................................................

# Planning Tool #6:
# Guidelines for Participatory Rapid Appraisal Fieldwork

| Resources required | Variable |
|---|---|
| Suggested time requirement | Variable |
| Rationale and Comments | Participatory Rapid Appraisal is a set of tools to engage communities in planning processes through dialogue and graphic representation.  Able to reach large numbers of people in relatively short time frames, Participatory Rapid Appraisal can give communities a sense of ownership of the planning process through their active engagement. |
| Procedure | Participatory Rapid Appraisal techniques are too numerous and detailed to list comprehensively. Every community is different and each context requires a unique way of approaching Participatory Rapid Appraisal. The information below provides some guidelines for implementing Participatory Rapid Appraisal tools. It also references a number of resources for further information on commonly used tools. It is recommended that Participatory Rapid Appraisal activities be managed by Participatory Rapid Appraisal specialists in close consultation with civil society and community organizations. |

## Participatory Rapid Appraisal Guidelines

### 1. Preparation

**1.1 Community Mobilization**
Preparing with the community is an essential step to ensure active participation.  This may be done through the following steps:

☐ Coordinate with the village council to contact community leaders, and find appropriate ways to involve fully the community.

☐ Coordinate with active organizations in the village, women and youth centers and develop a mechanism for carrying out the Participatory Rapid Appraisal exercise.

☐ Consult with community members regarding times and places for community interviews and a public meeting.

☐ Involve the community volunteers in creating awareness within the community.  This should include: explaining the purpose of Participatory Rapid Appraisal, stressing the importance of active participation, and advertising the time and place of Participatory Rapid Appraisal activities in their village. This may include: developing banners, distributing brochures and sending out invitations.

**1.2 Gathering of Background Information**

A checklist of background information should be drawn up before going to the village. This will help to develop the village profile and to plan and facilitate the Participatory Rapid Appraisal activities.

## 2. Sampling

☐ Sampling is essential to ensure that the Participatory Rapid Appraisal results express the needs of the majority, to manage any conflicts, and to avoid domination by certain groups.

☐ It should be as representative as possible.

☐ The number of interviews should be determined according to the village population size. As an example, at least three group interviews should be done in each village. Ideally each group interview should represent 300-500 people.

☐ In the situation where there are separate meetings for men and women, a focus group discussion should be conducted to reconcile any differences in priorities. Ideally, an experienced team member should conduct this. See the guidelines for focus group discussion in Annex 8.

Sample size in relation to population size

| Size of Population Groups | No. of Group Interviews |
| --- | --- |
| < 1000 | 3 |
| 1000- 4999 | 4 |
| 5000- 9999 | 6 |
| > 10000 | 8 |

## 3. Planning for Carrying-Out the Field Work

☐ **Duration:** One Day

☐ The Participatory Rapid Appraisal team should consist of 20-25 participants.

☐ This team should be split into 2 field teams, each headed by a field coordinator.

☐ In turn, each field team should be divided into two village groups of 4-6 people.

☐ Field coordinators will be responsible for: assigning roles and responsibilities among the village groups' members; clarifying the Participatory Rapid Appraisal purpose with the team and determining the uses of the information from the Participatory Rapid Appraisal. This will facilitate defining the main issues of the research, relevant information and its source, and designing the appropriate tools for data collection and analysis.

## 4. Steps to Carry Out the Participatory Rapid Appraisal Exercise/Framework

**4.1 Duration:**

2-4 days for each village, depending on the size of both its population and the Participatory Rapid Appraisal team.

**4.2 Participatory Rapid Appraisal Activities:**

☐ Review and summarize secondary sources.

☐ Organize a village walk.

☐ Make community maps showing the location of, and accessibility to, various public services.

☐ Conduct group interviews. A list of key questions should be prepared as an example for the field team.

☐　　Hold focus-group discussions.

☐　　Hold a public meeting.

### 4.3 Guidelines for public meetings:

☐　**Preparation**:
Analyze and consolidate data for presentation.
Agree with community representatives on the time and location.

☐　**Participants**:
Include representatives of local service providers, NGOs active in the village, community organizations, relevant line ministries, and from the community.

☐　**Plan of public meeting**:
1.　Explanation of the meeting's objectives and setting ground rules.
2.　LRDP presentation.
3.　Presentation of information summary collected through community interviews and the other Participatory Rapid Appraisal tools.
4.　Presentation of an outline of problems and requirements.
5.　Workshop, using the pocket-chart exercise and suggestion box (use   drawings with illiterate people), to determine the needs and priorities.
6.　Conclude with an overview and discussion of the results.
7.　Next steps.

### 4.4 Presentation of the Participatory Rapid Appraisal Results

The PRA findings should be discussed with the community leaders, community organizations and service providers to confirm the priorities, which were decided by the community members in the public meeting. The presentation should also be used to gather knowledge relating to the plans of the development agencies and service providers.

### 4.5 Reporting

The fina report should be submitted to the planning team within two weeks of the fieldwork, and be subsequently distributed to appropriate stakeholders, particularly those who participated in the process.

## Resources for Further Information

### Semi-structured interviewing

Semi-structured interviews are guided conversations where broad questions are asked that do not constrain the conversation - and new questions are presented as a result of the discussion.  A semi-structured interview is a relatively informal discussion based around a specific topic. They are best conducted in pairs with the person doing the interview and one the other taking notes.  The initial set of questions presented should be prepared, yet flexible, allowing for respondents to express their opinions through dialogue. Questions should be simple, and tested prior to the interviews. Interviews should take no more than one hour.

### Focus group discussions

The goal of focus group discussions is to collect general information about an issue from a small group of people through group discussion. A broad question  is given to a group of 5-10 people to discuss for one or two hours.  There is minimal intervention by the facilitator other than to make sure everybody has a voice.  The discussion is either recorded or detailed notes are taken for later analysis. Focus groups should be conducted in pairs  with one person facilitating the discussion and the other taking notes.

### Community Mapping

Community mapping seeks to draw on the knowledge of local people to develop a map of the

local area.  This is a good way of identifying who is currently and historically undertaking land use activities, where problems are occurring, and where improvements have been noticed. Using large sheets of paper draw the outline of the local area, including roads, towns, natural features, and/or property boundaries if necessary.  People can then add their information directly to the map through any number of mediums.

**Questionnaires and Surveys**
Questionnaires and surveys both seek to gain information from a large number of people in a structured way and according to specific questions. Questionnaires and surveys can be very simple to quite complex.  The terms questionnaire and survey are often used interchangeably. However, if a distinction is to be made, a questionnaire is a form of questions that people generally fill in, while a survey tends to include face to face or telephone interviews.  Unlike semi-structured interviewing, surveys follow a very specific and structured set of questions.  Questionnaires and surveys often require some expertise in order to make sure that they are worded correctly and can thus be properly analysed.

**Rich pictures**
The rich pictures method is designed to allow participants to make pictorial representations of all the things they feel are important to a particular situation.  This helps those collecting data to see interactions and connections between different stakeholders and issues. Using a large sheet of paper and symbols, pictures and words, draw a rich picture of the situation you wish to address. It is often best to start by putting down all the physical entities, for example, people, organisations or aspects of the landscape that are important.  Then ask the group what key relationships exist between the objects that have been depicted.  This is best accomplished with 5-10 people and can take up to 2 hours.

**Historical analysis**
Historical analysis helps people to understand the history and background of a situation or issue. It is a valuable way of exploring how change has occurred in the past, why things are the way they are, and why different groups or individuals have the views that they do. Set up a large sheet of paper and draw a matrix. Put dates down the side and beside them put topics such as key local events, key external events, influence of local individuals and groups, major changes (social, environmental, economic, political) and key trends.  With a participant group, fill in the table that has been created.  It is usually best to complete the trends for each time period as a way of rounding off the exercise.  This can take several hours but can be effective with larger groups.

# Planning Tool #7:
# Diagnostic Report Table of Contents

| Resources required | Variable |
|---|---|
| Suggested time requirement | Variable |
| Rationale and Comments | All of the information needs identified in the Detailed Table of Contents below are important to developing a situation assessment Diagnostic Report for District Strategic Development Planning. However, limitations and constraints such as time and money, may limit in what way and how much of this information can be gathered. Be strategic about data collection. Review the Detailed Table of Contents and use it as a template for your Diagnostic Report |
| Procedure | 1. Review the Table of Contents listed below.<br>2. <u>Secondary Source Data Collection – Document and Literature Review</u>. Much of the data needed to gain an understanding of the District may already exist. Conduct a literature and document review to make sure you do not 'reinvent the wheel' -- get data that has already been collected.<br>3. <u>Primary Source Data Collection – Surveys, Focus Groups (public or experts), Direct Observation</u>. Develop instruments and questions for qualitative data collection. Be aware of time and resource constraints. |

**Executive Summary**

**List of Acronyms**

**Acknowledgements**

**I. Introduction**

**1.1 Purpose of Report**

**1.2 Research methods**

**1.3 Challenges and information gaps**

**II. District Study Area**

**2.1 Scope of Study Area**

**2.2 Administrative boundaries**

**2.3 Municipalities and villages**

## III. Population and Demographics

**3.1 Population and Life Cycles** (fertility, mortality, migration, etc)

**3.2 Demographics** (age, gender, religion, socio-economic status, etc)

## IV. Land Uses

**4.1 Urban and peri-urban**

**4.2 Rural and agricultural**

**4.3 Commercial and Industrial**

## V. Legal and Regulatory

**5.1 Applicable government agencies**

**5.2 Land use planning**

**5.3 Physical planning and zoning**

## VI. Infrastructure and Public Services

**6.1 Transportation**

**6.2 Water**

**6.3 Waste**

**6.4 Energy**

**6.5 Communications**

**6.6 Policing and security**

## VII. Housing

**7.1 Supply and needs**

**7.2 Affordability**

**7.3 Safety and stability**

**7.4 Access to services**

## VIII. Health

**8.1 Vital statistics**

**8.2 Utilization of health services**

**8.3 Infrastructure and service providers**

**8.4 Human resources**

**8.5 Expenditures and Costs**

## IX. Social Services

**9.1 For women**

**9.2 For youth**

**9.3 For the elderly**

**9.4 For people with disabilities**

## X. Education

**10.1 Schools** (primary, secondary post-secondary)

**10.2 Teachers and curriculum**

**10.3 Literacy and participation rates**

**10.4 Skills training and adult education**

## XI. Economy and Economic Development

**11.1 Employment and labour**

**11.2 Economic sector profiles**

11.2.1 Agriculture

11.2.2 Manufacture and industry

11.2.3 Retail and trade

11.2.4 Tourism and hospitality

**11.2.5 Other**

**11.3 Micro and small businesses**

**11.4 Informal economy**

**11.5 Linkage, leakages, and supply chains**

## XII. Environment and Natural Resources

**12.1 Resources**

**12.2 Living systems**

**12.3 Ecosystem services**

## XIII. Culture and Heritage

**13.1 Arts and culture**

**13.2 Historical/archaeological sites**

**13.3 Facilities and events**

**13.4 Organizations**

**13.5 Policy, planning, programs**

## XIV. Appendix: City and Village Profiles

# Planning Tool #8:
# SWOT Analysis

| | |
|---|---|
| **Resources required** | Pens, copies of worksheets for participants, flip charts. |
| **Suggested time requirement** | 2-3 hours. |
| **Rationale and Comments** | A SWOT analysis is a summary of the key Strengths, Weaknesses, Opportunities and Threats (SWOT) of the local area in pursuing local development.  This information provides a base on which to build the strategy or plan.  For this reason, the SWOT analysis is perhaps the most important analytical tool to be used in the situation assessment phase. |
| **Procedure** | There are numerous ways to conduct this exercise as a stakeholder workshop.  The group can be broken into four working groups, for example, each tasked with completing a worksheet independently in a certain amount of time.  Each group's results are then discussed and integrated with the main group.  Alternatively, each participant could fill out a worksheet independently with results summarized on flip charts at the front of the room.  A public survey could also be undertaken using the questions provided here as a guide. |

| STRENTGHS | |
|---|---|
| Key Questions | List of Strengths |
| Consider each category into which data collection has been organized (the four kinds of capital: natural, social/cultural, human/social, financial), and ask:<br><br>☐ What are the District's strongest resources?<br><br>☐ What opportunities exist to maximize the strength of these resources?<br><br>☐ What resources could, with support or promotion, become a strength?<br><br>☐ What are the District's primary development opportunities? | |
| List the top three strengths to build on.<br>·    Where can the biggest changes occur?<br>·    Which are easiest to address? | 1.<br>2.<br>3. |

| WEAKNESSES | |
|---|---|
| Key Questions | List of Weaknesses |
| For each category of data analysis, identify weaknesses related to local development:<br><br>☐ What are the major liabilities that can limit achievement of District development?<br><br>☐ What are the District's biggest weaknesses or problems (think back to what triggered the planning process)<br><br>☐ What problems are faced by citizens in dealing with local government and other tiers of government?<br><br>☐ What are the needs and constraints that restrict the accomplishment of District development initiatives (e.g. need for training, planning and management experience, governance, funding, etc)? | |
| List top three weaknesses to minimize.<br>· Which are impossible to change (dismiss these)?<br>· Where can the biggest changes occur?<br>· Which are easiest to address? | 1.<br>2.<br>3. |

| OPPORTUNITIES | |
|---|---|
| Key Questions | List of Opportunities |
| Opportunities relating to each category of analysis can be looked at in different ways.<br><br>☐ What opportunities exist for maximizing, enhancing, or supporting existing strengths that have been identified?<br><br>☐ What improvements or support could identified weaknesses benefit from?<br><br>☐ What opportunities external to the District can be identified for each category? | |
| List top three opportunities to exploit.<br>· Which are impossible to take advantage of (dismiss these)?<br>· Where can the biggest changes occur?<br>· Which are easiest to address? | 1.<br>2.<br>3. |

| THREATS | |
|---|---|
| **Key Questions** | **List of Threats** |
| Threats refer to forces internal and external to the District area that threaten the local area's resources, opportunities, or values. The purpose of this analysis is to identify threats and then plan for prevention, mitigation, or minimization of potential negative impacts.<br><br>☐    What threatens identified strengths?<br>☐    What threatens realization of identified opportunities?<br>☐    What weaknesses threaten to become worse—under what circumstances? | |
| List top three threats to address.<br>·    Which are impossible to address (dismiss these)?<br>·    Where can the biggest changes occur?<br>·    Which are easiest to address? | 1.<br>2.<br>3. |

TOOL #8

## Planning Tool #9:
# Developing a Vision

| Resources required | Flip chart, cards and pens/pencils for partici-pants, tape. |
|---|---|
| Suggested time requirement | 1 hour. |
| Rationale and Comments | The vision process is important because it allows the participants to think about the issues of local development and to reach a level of common understanding. However, a tremendous amount of valuable initial energy can be wasted in a workshop on the vision process. Use this process as an ice breaker, as a way to get a group going. Remember, the Vision is a reference point, not an analytical tool. |
| Procedure | See steps below. |

| Step | Task | Estimated Time |
|---|---|---|
| 1. | Review the SWOT Analysis and other work done previously. | 10 minutes. |
| 2. | Ask the participants to quietly think about what they would like the local area's future to look like. | Silence for 2 minutes. |
| 3. | Ask the participants to think about aspects of this future (e.g., income, education, health, education, poverty reduction, etc.). | Silence for 2 minutes. |
| 4. | Ask: What do you see that is different than now? | Silence for 1 minute. |
| 5. | Ask the participants to write down on separate pieces of paper descriptive words or phrases that capture this "local development vision". | Writing for 5 minutes. |
| 6. | Ask the participants to read their descriptions out loud. If there are many ideas or it is a large group, ask each partici-pant to read out their three strongest ideas. Once an idea has been read out, post it on a wall that everyone can see. | 25 minutes, dependent on group size and output. |
| 7. | Group similar ideas and discuss. | 15 minutes. |

| Step | Task | Estimated Time |
|:---:|:---|:---:|
| **8.** | Get agreement on themes and have someone from the group 'wordsmith' one or two vision statements for approval at later workshops/meetings. Do not try and finalize the vision statement in a group setting. If public participation has also been conducted, use that input in the writing of the vision statement. | To be completed between meetings/workshops. |
| **9.** | Use this exercise as a launching point into an issues-objectives analysis. | |

# Planning Tool #10:
# Working with Issues & Objectives

| | |
|---|---|
| **Resources required** | Flip chart, paper cards and pens/pencils for participants, tape. |
| **Suggested time requirement** | 1 day. |
| **Rationale and Comments** | Objectives are the core of a good plan. They provide the design criteria and the evaluation criteria. They are what is important and what people care about. The list of objectives should be comprehensive and complete, but only include the core ideas which are essential to realizing the local development vision.  List only those ideas that the group can influence or have control over. Objectives should be measurable, operational, concise, and above all, understandable.<br><br>Note: It might be necessary for stakeholders to consult with their constituents, company or organization once a draft set of objectives is developed. |
| **Procedure** | **STEP ONE**<br>Brainstorm issues related to District development using the focus questions on the following page. Or simply ask the group: "What are the key development issues facing our District?" Write one problem per one paper card, and display them on a board.<br><br>**STEP TWO**<br>Group similar issues under broad headings (e.g., Governance, Economy, Education).  Eliminate double descriptions. Allow for limited explanation by participants but do not encourage discussion.<br><br>**STEP THREE**<br>Assess and analyze the issues. Then integrate them into concise objective statements. Validate the objectives. Use the following assessment tools as needed:<br><br>☐ Ask "Why?" until the causal relationships are established.<br><br>☐ Use the C.E.O. Tool to create problem trees and establish objectives. |

## STEP ONE: Focus Questions to Stimulate Issues Brainstorming

To develop a list of issues that take into account the reality of the local area, the following questions can be posed:

☐ Why do we want to undertake District development planning?

☐ What problems do we face in developing our District?

☐ What might be adversely impacted by development actions in our District?

☐ What can District development planning help address in our area that is important to us?

☐ What weaknesses need to be overcome?

☐ What are the threats to our District's development?

☐ What are the contributing factors to the lack of development in our District?

## STEP TWO: Group

Organize the list of issues identified through brainstorming into groups with common themes. This may mean organizing by development sector (e.g. health, education, economy, housing, infrastructure, governance, etc.) or by common ends (e.g. poverty reduction, improved governance, environmental conservation). Do not spend too much time grouping the issues as this task is only used to simplify the following steps. Allow for limited discussion. However, this is not a time for debate and in depth dialogue.

## STEP THREE: The CEO Tool (Cause – Effects – Outcome)

Understanding the systemic cause-effect relationships, and the desired outcome, is critical to issues assessment. This thinking helps to clarify the causes of current problems and the barriers that perpetuate the problems from desired outcomes, which are our objectives.

### Task 1: Cause
**What is the existing problem?** Link this problem backward to its core cause, distinguishing symptoms from core causes. Ask, "Is this the root cause or is this an effect of a deeper cause?" until all the symptoms of the problem are clarified. Write answers on cards and post them on the wall, linking them with arrow.

### Task 2: Effects
Link forward from the problem. Ask, "How do we know that it is a problem?" and "Why is it a problem?" Keep asking "Why?" until you have exhausted the question. Write answers on cards and post them on the wall, linking them with arrow.

### Task 3: Outcomes
Review the final results of Steps 1-2. Are these your desired outcomes? What would be the desired end-state? What would be the outcome if we cure our symptom?

**Restate desired outcomes as a concise objective.**

# Planning Tool #11:
# Objectives Matrix for Facilitators

| | |
|---|---|
| **Resources required** | Flip chart, markers, and pens/pencils for participants, tape. |
| **Suggested time requirement** | 2-3 hours |
| **Rationale and Comments** | Establishing objective matrices will help to visually organize objectives and their correlating issues, descriptions, and linkages to the development context. They will also provide participants a means of identifying performance measures for each objective as well as potential data gaps that could impact future planning and monitoring. |
| **Procedure** | **STEP ONE**<br>At the end of the second day of the workshop, the facilitator and/or core planning team should compile the data collected into matrices, drawing a matrix for each objective on individual flip chart sheets. Each matrix should be filled out in its entirety – except for the final two columns (Possible performance measures and Key data gaps).<br><br>**STEP TWO**<br>Break the stakeholders into small groups according to experience, expertise, geographic area, or the like. Provide each group with one or more of the matrices and ask them to identify potential performance measures and data gaps. Groups should fill out the remaining columns in each of the matrices. If any strategy options have been identified or discussed that relate to the objective, place them in the bottom row of the matrix for later analysis.<br><br>**STEP THREE**<br>Each group shall nominate a representative to present the matrices to the workshop for review. Allow participants to provide feedback, adding additional measures if necessary. Be sure to leave the matrices on the wall for use in the prioritization exercise to follow. |

## Issue Area: Administration And Governance

| Objective | Issue | Description and link to development | Possible performance measure | Key data gaps that would help inform planning |
|---|---|---|---|---|
| Government business permitting | Inefficient, corrupt and expensive business permitting system that deters new businesses and pushes entrepreneurs into informal sector | Promote efficient and supportive permitting system | Level of business satisfaction (business survey)<br><br>Number of new business permits (government records) | What systems work in other jurisdictions? |
| **Related possible actions or strategy options for use in determining alternatives & priorities**<br>1.  One stop shop concept<br>2.  Municipal satellite offices |||||

# Planning Tool #12:
# Prioritizing Objectives

| | |
|---|---|
| **Resources required** | Pens, copies of worksheets for participants, flip charts, tape. |
| **Suggested time requirement** | 20 minutes. |
| **Rationale and Comments** | Objectives are the core structure for any plan. They define priorities for local development and are the basis upon which actions are ultimately taken. Before strategy options can be designed and discussed it is necessary to find out what is important to key stakeholders. Prioritizing objectives allows the stakeholders to think more broadly about the problem at hand.  By being asked to consider all the objectives, participants move away from just thinking about their own objectives or solely about the specific actions they want to see take place. Prioritizing objectives should help to focus the next steps in the planning process, creating better strategy options and getting stakeholders to think more broadly about local development. All of this will help form consensus. It will also help identify early on where conflict may occur so that it can effectively be incorporated into the process. |
| **Procedure** <br> **(cont'd on following page)** | ☐ Write each ends objective on a large format piece of paper. Under the objective provide the list of measures previously developed. Hang these sheets in alphabetical order at the front of the room. (see Planning Tool #11: Objectives Matrix for Facilitators) <br><br> ☐ Read through each ends objective and correlating measure with the group. Ask the group to provide input on the potential change in each of the measures, based on the scale of the vision statement (e.g. 10 years). <br><br> ☐ Remind all the participants that they are ranking objectives because objectives (if well constructed) reflect what is important to them and why they are undertaking the planning process. |

| Procedure (cont'd) | ☐ Remind the participants that rankings are not final and there are no right or wrong answers. |
| --- | --- |
| | ☐ Read aloud the objectives and the short description of potential change that could occur through the implementation of the strategy or plan (based on measures). |
| | ☐ Provide each participant with six Dots. Ask the participants to come to the front of the room and put their Dots next to the objective(s) and the potential change they feel is most important to promote through the strategy or plan. |
| | *NOTE:* If there is a concern for strategic voting you can ask them to first write down on a piece of paper where they would place their Dots, hand in the paper and then put their Dots on the wall. Otherwise the facilitator can provide each participant with a worksheet for them to fill out before ranking its objectives. This will allow for more confidential voting in cases where power relations are significant. |
| | The results can be discussed in the group setting immediately, or taken away and analyzed for discussion at the next meeting. |

# Planning Tool #13:
## Creating Alternatives

| Resources required | Pens, cards and large felt pens for participants, flip charts, tape. |
|---|---|
| Suggested time requirement | 30 minutes for brainstorm; 30 minutes to 2 hours for discussion. |
| Rationale and Comments | Identifying strategy options by designing and choosing the best action or group of actions, is the heart of strategic planning. Creating the best actions are the ultimate means to achieving the local area's objectives – they are what all the previous steps in the process have been designed to allow the planning group to do. Be creative and open-minded. |
| Procedure | Follow steps described below. |

## Brainstorming Strategy Options

1. Consider the SWOT analysis and review priority objectives for the local area – review the results of the previous workshop.
2. Consider ideas and innovative practices from all sources: personal, professional, academic, etc.
3. Ask each participant to write down actions they believe will have the biggest impact on priority objectives. (If you have cards, ask participants to write down one idea per card.)
4. Go around the room and ask each participant to read their idea. Write each down on a flip chart in front of the room   or tape participant's cards on a wall in front of the room.
5. Do not allow any discussion of alternatives until all ideas have been written down. Even silly and absurd ideas are accepted.
6. Ask participants to continue to add ideas to their lists as they get new ideas. (These may be generated from the ideas of other participants – ideas build on ideas.)

Non relevant# Planning Tool #14:
# Organizing Alternatives

| Resources required | Flip charts, notebooks and pens suggested. |
|---|---|
| Suggested time requirement | 1-3 hours |
| Rationale and Comments | This can be done as a group exercise with strong facilitation. However, it can also be done in a small group specifically assigned to complete this task, and then take back to the larger group for refinement and validation. The actual grouping will largely depend on what makes sense to the group. |
| Procedure | Follow steps described below. |

## Organizing Strategy Options

In a workshop setting, or as a small group:
1. Review the list of participant's ideas and identify if there are common actions that are likely to be a part of every strategy (e.g., organizational issues such as creation of a sector committee).
2. Review the list and identify any obvious, simple actions that are easily attainable, commonly desired, universally agreed upon and that can be implemented quickly. These can be referred to as "Low Hanging Fruit" and Quick Starts. Some "low hanging fruit" do not require more detailed evaluation.
3. Group ideas/actions by common themes or strategy directions. Usually a strategy direction contains specific suggestions (purchase a dump truck in October) as well as broad actions (develop local health strategies) that can be grouped together.
4. Once the actions are grouped, refine the strategy directions by considering:

Timing

☐ Is there an order to the actions? Should some actions happen in advance of others?

☐ Are any actions mutually exclusive or is it a matter of when the actions are done (i.e., if you do an action does it necessarily mean that you cannot do another action)?

Multiple Objectives

☐ Can these actions be designed to contribute to other objectives (e.g., economic diversity, poverty reduction, improved literacy, environmental sustainability)?

☐ What is the opportunity cost of not implementing this action?

☐ Will the action improve quality of development making the local area better, not just bigger (quantity of development)?

Sustainability

☐ What are the long-term effects? How will it impact future generations?

☐ Is there waste and pollution? Can this waste be reused or recycled? Can it be minimized?

☐     Are their issues of fairness that will need to be addressed?

☐     Will this action have undesirable or inequitable impacts (consider the marginalized, poor, youth, children, women, local businesses, the environment)?

Public Costs and Finances

☐     What public services are required and how will these be paid for?

☐     What is the likely effect on finances, both revenues and long-term costs?

If necessary, return to the group and refine the grouping further. Get additional feedback and confirm. Planning Tool #15 Evaluating Alternatives – Technical Analysis

## Planning Tool #15:
# Evaluating Alternatives –
# Technical Analysis

| Resources required | Pens, cards and large felt pens for participants, flip charts, tape. |
|---|---|
| Suggested time requirement | 1-2 hours for initial evaluation; 1 to 2 hours for evaluation and discussion. |
| Rationale and Comments | Before evaluating strategy options against stakeholder preferences or values (see Tool 16), all the consequences of the proposed alternatives on the group's objectives need to be established, to the best of the group's ability and the available resources. A consequence table, or objectives by alternatives matrix, is a good way to organize this information and allow for a technical evaluation of the alternatives. It also allows for the alternatives and potential tradeoffs to be identified, reviewed, discussed, and consensus-building options to be developed. |
| Procedure | Follow steps described below. |

## Day One
1.  Review alternatives proposed.
2.  Review objectives agreed to.
3.  Working with a small group of stakeholders, determine how well each alternative has the potential to achieve each objective. Place a score between 1 and 5 in each corresponding box in the consequence table where:

    **5 = HIGH**
    **4 = HIGH/MEDIUM**
    **3 = MEDIUM**
    **2 = MEDIUM/LOW**
    **1 = LOW**

    A score of 5 indicates that an alternative will significantly impact an objective; a 3 suggests that the alternative may indirectly impact an alternative; and a 1 is likely to have no impact whatsoever. For simplicity's sake, use only whole numbers. Colour code for simplicity, if necessary.

## Day Two
4.  On the following day, review and validate the information in the consequence table with the entire stakeholder group. In circumstances that require clarity or differences of opinion exist, ask the following questions:

    ☐ What are the likely impacts of this project or action on the objectives – how are indicators affected?

    ☐ What are the key uncertainties or key information that is missing?

☐ Are there studies or additional work that could be done to provide key insight/information into how the alternatives impact the objectives?

5. If it seems likely that the group cannot agree on a particular score in the consequence table, find a middle ground for the time being. Let the group know that the scores will likely change as the analysis moves forward with swing weighting

6. See if any of the alternatives are 'dominated'. If one alternative scores the lowest for every objective then it is technically dominated.

7. Cross out technically dominated strategy options or strategy options the group agrees it does not want to pursue. Also cross out 'practically dominated' strategy options that the District is incapable of pursuing due to constraints (e.g. developing a sports stadium may have the biggest and most positive impact, and be agreed to by all participants, but if it is too expensive it is 'practically dominated' by the constraint imposed by limited resources).

8. Re-assess alternatives and develop new, better options based on the evaluation if necessary.

9. Ensure that the group understands that this is only the beginning of analysis, and that the scores of each alternative are only a component of the assessment process. Do not get bogged down trying to achieve consensus during this step.

## Sample Consequence Table

> This is the 'business as usual' condition. It comes from measures established in Step 5 and the Diagnostic Report.

> Use information from the evaluation of Alternatives A, B, & C to create a better Alternative X

| Alternatives / Ends Objectives | Alternative A (status quo) | Alternative B | Alternative C | Alternative X (combination of B &C) |
|---|---|---|---|---|
| Reduce poverty | LOW — Approx. 40% of families in poverty; trend worsening. | 1 LOW | 5 HIGH | 3 MEDIUM |
| Improve community health | MEDIUM — Infant mortality rate at 10%; high rate of cancer | 5 HIGH | 3 MEDIUM | 4 HIGH-MED |
| Improve agriculture | LOW — Poor production; few markets | 4 HIGH-MED | 1 LOW | 2 MED-LOW |
| Reduce unemployment | LOW — 200 new jobs each year; most low skill, low wage | 3 MEDIUM | 5 HIGH | 4 HIGH-MED |
| Minimize environmental degradation | MED-LOW — Some water and air pollution | 2 MED-LOW | 2 MED-LOW | 2 MED-LOW |

> Alternative A performs equal to or worse than Alternative B or Alternative C across all performance measures. Alternative A is "dominated", so we can cross it off as a low priority.

> Because environmental degradation is anticipated to be medium-low for each alternative, this objective does not contribute to the evaluation and can be taken out of the matrix to simplify the analysis. **Note:** this does not ean environmental degradation is not important, just that it does not help to make a better decision in this case.

# Planning Tool #16:
# Evaluating Alternatives using Swing Weighting

| Resources required | Pens, copies of worksheets for participants, flip charts, tape. |
|---|---|
| Suggested time requirement | 2-3 hours |
| Rationale and Comments | Important and complex decisions, with more than one objective, can benefit tremendously from structured thinking. This includes separating facts (technical information including uncertainty and risk) from values (preferences). This exercise describes a simply way to applied structured decision making to a multiple objective development problem. |
| Procedure | 1. Develop objective weights<br>2. Develop technical scores for the impacts<br>3. Combine the weights with the technical scores<br>4. Add up the combined scores to determine which strategy option is most preferred<br>5. If the results don't seem appropriate, discuss possible reasons why and come up with solutions. Also, reconsider your objective weights and discuss.<br>6. Use process and insight gained to come to an agreement on a strategy option. |

## Step 1: Develop simple objective weights

A. Begin as a group by developing a worksheet that identifies the 'worst' and 'best' impacts to the objectives from the strategy options. This information will come from the measures identified in Step 5, as well as data from the Diagnostic Report. Descriptive and proxy measures can be used alongside specific measurements. Use the template on the following page as a guide.

B. Remind all participants that they are ranking objectives to identify why they are undertaking the planning process. Alternatives or actions are only a way to have an impact on what is important, as indicated in the objectives.

C. Remind the participants that rankings are not final and there are no right or wrong answers.

D. Ask each participant to read over each of the general descriptions of the possible 'worst case' impacts and the possible 'best case' impacts for each objective.

E. Provide each participant with a blank worksheet similar to that found on the following page (Sample Objectives Prioritization Worksheet).

F. Ask the participants to rank the impacts to the objectives by first placing a 1 in the "Rank" box associated with the objective they would like to move from 'worst-to-best' first, thereby indicating the change in the objective that is most important to them, not the objective itself. Then place a 2 next to the objective they would move from worst-to-best second. And so on until they have ranked all objectives.

G. Ask each participant to place a **100** in the "Weight" box next to the objective they ranked as

most important.

H. Ask each participant to think about the relative importance of the next highest-ranked objective (#2) as compared to rank #1, and place a number that reflects this importance (e.g., if it is half as important it would receive a 50, if it was nearly as important it might receive the same weight or a 99.) Then consider each of the other changes to the objectives as compared to each other. Continue this until all objectives are ranked. **These are the "value" weights – distinct from the technical data in the indicators.**

**Example: Sample Objectives Prioritization Worksheet (ranked and weighted)**

**STEP 2**
Rank each objective according to its potential for change from the worst case to best case. Do not to rank the objective alone, but rather its potential for improving development of the District

**STEP 3**
Weight the relative importance of the change in each objective. Give the #1 ranked objective a weight of 100. Weight the remaining objectives with a score between 99 and 1. Objectives with the same value can receive the same score.

**STEP 1**
Consider the change that the alternatives could have on the objectives. The worst case represents no change or the current situation. The best case reflects potential results if all alternatives were pursued.

| Rank | Weight | Objectives | Worst Case | Best Case |
|------|--------|-----------|-----------|-----------|
| #1 | 100 | **Reduce poverty** | Current conditions. Approx. 40% of families live in poverty level; trend worsening. | Less than 15% (stabilized trend) of families live above poverty level |
| #4 | 30 | **Improve community health** | Medium. Infant mortality rate at 10%. High rate of cancer and heart disease. | High. Government able to provide basic services and business and social support. |
| #3 | 33 | **Improve agriculture** | Poor agricultural production; few reachable markets outside of District. | 12% increase in local business revenue. |
| #2 | 70 | **Reduce unemployment** | 200 new jobs annually, most of which are low-skill and low-wage. | 900 new jobs annually, most new jobs are considered decent. |

## Step 2: Combine value weights with technical scores

Once the value weights have been established they need to be mathematically combined with the technical data represented in the indicators. Use the example below as a reference for combining scores. Provide participants with a blank scoring worksheet and ensure that there are enough facilitators to provide support for the mathematical process.

**Example: Sample Scoring Worksheet**

| 1. Use the value weight from Step 1 | | 2. Multiply this by the technical score from Step 2 | 3. This gives you the weighted score | |
|---|---|---|---|---|

| Alternatives / Ends Objectives | Value Weight from Step 1 | Alternative B _____ | Alternative C _____ | Alternative X (combination of B & C) |
|---|---|---|---|---|
| Reduce poverty | 100 | 100 x 1 = 100 | 100 x 5 = 500 | 100 x 3 = 300 |
| Improve community health | 30 | 30 x 5 = 150 | 30 x 3 = 90 | 30 x 4 = 120 |
| Improve agriculture | 33 | 33 x 4 = 132 | 33 x 1 = 33 | 33 x 2 = 66 |
| Reduce unemployment | 70 | 70 x 3 = 210 | 70 x 5 = 350 | 70 x 4 = 280 |
| | **TOTAL WEIGHTED SCORE (Total Technical Score in brackets)** | 100+150+132+210= **592** (13) | 500+90+33+350= **977** (14) | 300+120+66+280= **766** (13) |

**4.** Add the weighted scores to get a Total Weighted Score for each Alternative

If the results don't seem appropriate, discuss possible reasons why and come up with solutions. Also, it may be appropriate to reconsider your objective weights and discuss. The point of this process is not to determine the "right" answer, but it is a way to gain insight into the decision and open avenues for negotiation and agreement on creative strategy options.

In the example above, note the importance of including value weights, provided by participants, in addition to the technical scores, provided by experts. Without the value weights the technical scores alone show three relatively equal alternatives. However, once value weights are added, Strategy Option C is by far the most preferred.

# Planning Tool #17:
# Evaluating Alternatives - Value Analysis

| | |
|---|---|
| **Resources required** | Pens, cards, and large felt pens for participants, flip charts, tape. |
| **Suggested time requirement** | 1 hour |
| **Rationale and Comments** | Before evaluating the chosen alternatives, all of the consequences of the alternatives on the objectives should be established and a consequence table used to display the results. Once the consequences are well understood and the swing weighting exercise is complete, the participants should be asked which alternative they prefer and why (i.e. why the specific impacts on objectives of certain actions are relatively more important). New and better alternatives can then be developed based on value tradeoffs between participants. |
| **Procedure** | 1. Review proposed alternatives. <br> 2. Review how proposed alternatives will impact the District's development objectives (use consequence table and discussion). <br> 3. Ask each member of the group to show their level of support for each alternative by scoring the alternative using the scale below in the completed worksheet on the following page. <br> 4. Once a good understanding of each participant's values is achieved through scoring and discussion, the group should investigate ways to improve upon the most favoured alternatives or to combine alternatives to better reflect the group's individual preferences. Everyone may not end up completely satisfied, but a better alternative should result – hopefully one that enjoys the support of the group. |

## Alternatives Evaluation Scale

| | Score | Level of Support | Definition |
|---|---|---|---|
| **BLOCK** | 0 | Block | You cannot support this alternative. Minimum needs are not met. |
| **ACCEPT** | 1 | Accept with major reservations | Far from ideal but you can live with it, if necessary, in view of trade-offs between objectives. |
| **ACCEPT** | 2 | Neutral | This is acceptable although pros and cons roughly offset each other. |
| **ENDORSE** | 3 | Endorse with minor reservations | Good balance between objectives, but you have some concerns that you would like to record. |
| **ENDORSE** | 4 | Fully endorse | This alternative balances objectives appropriately and achieves important outcomes given the information available at this time. |

## Alternatives Evaluation Worksheet

Description of alternatives must be provided.

Ask participants to fill in columns.

| Brief Description of the Alternative | Score | Comments |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |

# Planning Tool #18:
# Action Planning Framework

| | |
|---|---|
| **Resources required** | Pens, cards, and large felt pens for participants, flip charts, tape. |
| **Suggested time requirement** | 1 day |
| **Rationale and Comments** | Action planning frameworks and worksheets describe in detail the actions to be undertaken as components of the chosen strategy options. They provide a logical and clear layout for understanding each action: who will do what, when, and why. |
| **Procedure** | Follow the steps for action planning and then use the action planning worksheet to document results. The resultant action plan should detail the tasks/actions listed in the strategy alternative chosen by the group. |

## Action Planning Steps

**Step 1.** Identify and clarify additional tasks/actions involved in the chosen strategy (Step 6).

**Step 2.** List the actors, organizations and individuals that need to be involved in each action and which tasks they are responsible for. Name names and be specific.

**Step 3.** Specify the resources required to complete the action (e.g., people, finances, equipment, information), confirm funding, and make sure any other pre-conditions are met.

**Step 4.** Specify time frames for each action, including financial and other resource inputs.

**Step 5.** Reconfirm implementation commitments of stakeholders (establish partnership agreements, create memorandums of understanding, and identify future action plan workshops and launch events).

**Step 6.** Identify risks, gaps and weak links in the action plan and how they will be addressed (e.g., actions or tasks for which there is no clear lead person/organization, no funding, or a lack of other key resources, capacity limitations etc.).

**Sample Action Plan Worksheet**

| Strategic Action: | | | | |
|---|---|---|---|---|
| Description: | | | | |
| Lead Organizations: | | | | |
| Supporting Organizations: | | | | |
| Ends Objective Impacted: | **Rationale & Discussion** | | | |
| Supporting Means Objectives: | **Preconditions** | | | |
| | **Risks & Assumptions  (see Planning Tool #19)** | | | |

| **ACTION PLAN** | | | | |
|---|---|---|---|---|
| **Tasks** | **Roles and Responsibility** | **Time Frame** | **Budget** | **(Potential) Funding Sources** |
| Task 1: | | | | |
| Task 2: | | | | |
| Task 3: | | | | |
| Task 4 | | | | |

# Planning Tool #19:
# Force Field Analysis of Action Plans

| Resources required | Pens and worksheet. |
|---|---|
| Suggested time requirement | 2-3 hours. |
| Rationale and Comments | It is well known that simply trying to force change through may cause its own problems: stakeholders and staff can be uncooperative if change is forced on them or limited capacity or knowledge of key technology may undermine a plan. Force Field Analysis is simply a systematic way to consider the forces that influence the Action Plan, including how to strengthen the positive forces, reduce or remove the negative forces and change the direction of negative forces to positive forces. Force field analysis can be used throughout the process, but is well suited for Action Plan evaluation. |
| Procedure | 1. Identify the forces that may impact your action plan. <br> 2. Rank them in order of importance <br> 3. Develop strategies to address these forces and help promote positive plan implementation. |

| Rank | Forces for Change | | Forces against Change | Rank |
|------|-------------------|---|-----------------------|------|

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## Strategy Elaboration

a)   Review the forces for change you identified above. How can these forces be strengthened?

b)   Review the forces against change you identified above. How can these forces be reduced, removed or changed from a negative to a positive?

**NOW REVISE YOUR ACTION PLAN!**

# Planning Tool #20:
# Developing a Monitoring Framework

| | |
|---|---|
| **Resources required** | Pens, matrix worksheets, flip charts |
| **Suggested time requirement** | 3-4 hours |
| **Rationale and Comments** | Monitoring is the continuous process (daily, monthly, annual) of routinely gathering information on all aspects of a project or program. It should be a collaborative process with all the stakeholders involved in some aspect: collection, evaluation, review, etc. It is used to: <br>• Inform decision-making on project implementation; <br>• Analyse the current situation; <br>• Identify problems and find solutions; <br>• Discover trends and patterns. <br>The monitoring program should regularly collect data on the performance measures determined for the objectives Step 5. In some instances (especially where the use of expert judgment or proxy data is indicated as the measure) there may be time and opportunity to collect data for additional performance measures. |
| **Procedure** | 1. As a stakeholder group, identify monitoring indicators. Refer to the objectives performance measures identified in Task 5.4 <br>2. Break into small groups and provide each with one end objective and its correlating indicators. <br>3. For each indicator, ask each group to develop a monitoring matrix sheet similar to the one on the following page. <br>4. Specify the data source, collection frequency, and documentation format, and the terms of results communication, storage, and access by completing the Monitoring Matrix. <br>5. Use the key monitoring questions below to ensure all bases have been covered. |

## What types of indicators exist?

In most cases, quantitative (statistical/number) indicators will best convey information about the state of economic, social or environmental conditions. However, subjective or qualitative indicators may also be used to enhance understanding of local impacts of economic development initiatives. In other cases, specific data will need to be gathered or a number of indicators analyzed together

in order to track performance accurately and to understand the trade-offs involved in pursuing a particular economic development strategy. New data collection programs may need to be established.

By choosing indicators that are used in other jurisdictions or areas of government, monitoring can become a useful tool for comparisons and establishing causality. Comparisons between similar communities or Districts helps to establish whether changes can be attributed to planned initiatives or are a result of external factors; establishing greater objectivity. Standardized indicators also allow for maximum use of already published data, minimizing the need for additional data gathering and information management.

## Who should be involved?

Developing a monitoring program requires assigning responsibility for regular data collection and analysis. It will often make sense for those stakeholders who have been involved in the planning process to continue to be involved in the collection of data and reporting of results to the committee and to the larger community. Involvement can vary. For example, stakeholders can:

a)  have a direct and substantive role (contributing funding, ideas, information);
b)  supportive and technical role (research, data collection, information analysis), and
c)  promotional role (lobbying, campaigning, advocating).

Project managers responsible for specific action plans may also be responsible for monitoring and reporting results. Involving local residents or volunteers in monitoring and evaluation is another approach that can serve to capture local perspectives on District development initiatives and involve the communities in (re)directing action plans and development objectives.

When should we monitor?
The timing for monitoring will differ with each project and the nature of the objectives being monitored and the indicators being used. For instance, monitoring can occur:

- Daily
- Monthly
- Annually
- Within or between project phases

Some projects may lend themselves to monthly monitoring, because indicators are gathered on a monthly basis. A more thorough performance evaluation may then occur on an annual basis until the end of the project's lifetime, when a final evaluation may be performed. Other longer-term objectives may be more appropriately monitored on a yearly basis with an evaluation at the end of 5 years. Ongoing monitoring is a reflective process: the results obtained from monitoring are fed back into the plan, influencing its future design and direction (e.g. new knowledge may cause action plans to be rethought in order to meet objectives).

## How should monitoring be documented?

A final, but often overlooked, aspect of an effective monitoring effort is the establishment of capacity and procedures for the documentation and communication of results. There are several important questions regarding documentation and communication:

☐  How will the monitoring process be documented and communicated?

☐  What happens to the data?

☐  Who gets access to it?

☐ How will it be communicated?

☐ How will the results be used and by whom?

Although documentation may seem costly or burdensome, answering the questions above and establishing the resources to document and share monitoring data will provide savings and benefits when the plan is implemented, evaluated, and revised in years ahead. A documentation program can be used to make reporting consistent and reliable. Since a great deal of information is gathered during the implementation of projects, a documentation program (guidelines, format, frequency, etc.) can ensure that this information is available for future analysis, assessment and planning exercises. Results should be regularly communicated to assess responses and to encourage awareness of, involvement in, and support for District development initiatives. This feedback will in turn become an important in the evaluation process and help stakeholders to adjust or rethink the strategic plan.

## Key Monitoring Questions:

☐ Has a monitoring framework been completed using the original objectives?

☐ Are there other monitoring specific objectives?

☐ What uncertainties are being addressed through the monitoring program?

☐ Have performance measures (indicators) for monitoring been agreed to?

☐ What is the source of data?

☐ Who is to do the monitoring, data collection and evaluation?

☐ How often is the data to be collected?

☐ How will the monitoring process be documented and communicated?

☐ What happens to the data? Who gets access to it?

☐ How will it be communicated? How will the results be used and by whom?

**Sample Monitoring Matrix**

| Manager or Staff Responsible: | | | | | |
|---|---|---|---|---|---|
| **Performance Measure** | **Correlating Project Objective** | **Baseline Measure (current situation)** | **Period 1** | **Period 2** | **Period 3** |
| | | | | | |
| Data source | | | | | |
| Data collection frequency | | | | | |
| Data collection methods (e.g. business survey, community survey, labor statistics) | | | | | |
| Parties involved and responsibilities (collection, management, evaluation) | | | | | |
| Documentation format | | | | | |
| Results: storage location, communication plan, and access | | | | | |

# Planning Tool #21:
# Proposal Writing

| | |
|---|---|
| **Resources required** | Proposal guidelines from funding organization, if available |
| **Suggested time requirement** | As needed. |
| **Rationale and Comments** | The work you have done to this point should provide all the information you need to prepare a proposal. It will simply need to be adjusted to meet the needs of each funding agency or lending institution. It is important to plan ahead and increase the chances for getting the requested funds. |
| **Procedure** | The basic first step before writing your proposal/grant would be to:<br><br>• define your project;<br>• identify the right funding sources, check eligibility criteria;<br>• contact the funders;<br>• acquire proposal guidelines;<br>• know the submission deadline;<br>• determine personnel needs;<br><br>Once you are ready to writing the proposal, put yourself in the position of the person or organization that will be evaluating it, be concise and to the point. If possible, keep it 5-7 pages or less is recommended excluding attachments. It is important to indicate that the community has a strategic plan in place and the necessary planning work has been completed.<br><br>Follow the guidelines of the funding organization or lending institution or use the outline below. |

## Outline for a basic proposal

### I. Cover Letter

The cover letter which introduces your organization and proposal and makes a strategic link between your proposal and the mission and grant making interest of each finder to whom you apply.

II. Organizational Information

☐   Brief summary of organization history;

☐   Brief summary of organization mission and goals;

- [ ] Description of current programs, activities, service statistics, and strengths/accomplishments;

- [ ] Organizations working to meet the same needs or providing similar services if they exist at all. Explain how your organization differs from these other agencies;

- [ ] Organizational (structure, partners, number of board members, full time paid staff, part-time paid staff and volunteers).

## III. Purpose of Proposal / Situation

- [ ] The situation, opportunity, problem, issue, need and the community that your proposal addresses;

- [ ] How that focus was determined;

- [ ] Who was involved in that decision-making process?

## IV. Specific Activities

Specific activities for which you seek funding;

- [ ] Who will carry out those activities? (If individuals are known, describe qualifications);

- [ ] Your overall objective(s);

- [ ] Actions or ways that will accomplish your objectives;

- [ ] Time frame in which all this will take place.

## V. Impact of Activities

- [ ] How the proposed activities will benefit the community in which they will occur, being as clear as you can about the impact you expect to have;

- [ ] Long term strategies (if applicable) for sustaining this effort.

## VI. Evaluation

- [ ] How will you measure the effectiveness of your activities;

- [ ] Your criteria (measurable) for a successful action and the results you expect to have achieved by the end of the funding period;

- [ ] Who will be involved in evaluating this work (staff, board, constituents, community, consultants);

- [ ] How will evaluations be used?

## VII. Budgets

Spell out the cost to be met by the funding source and the method used to determine costs in the following categories:

- [ ] Personnel;

- [ ] Fringe benefits;

- [ ] Supplies;

- [ ] Travel;

- [ ] Equipment;

- [ ] Consultants and technical support

- [ ] Other (postage, telephone, printing etc.).

## VIII. Attachments

☐ Be sure to check each funder's guidelines. Generally the following is required:

## IX. Finances

☐ Financial statements from your most recent completed fiscal year, whether audited or un-audited;

☐ Organization and/or Projected Budget;

☐ Partnership funding, with amount, being solicited, pending or already committed.

## X. Other Supporting Materials (as required)

☐ List of board members and their affiliations;

☐ Letters of support;

☐ One paragraph description of key staff, including qualifications relevant to the specific request.

☐ A copy of any legal documents current status.

# Planning Tool #22:
# Strategy Documentation

| Resources required | As needed |
| --- | --- |
| Suggested time requirement | As needed. |
| Rationale and Comments | This tool provides a general framework for documenting the District Strategic Development Plan. It is not a Table of Contents that should be followed to the letter. It serves merely as a reference to be aware of key structural components that should be included in the DSDP. The structure should highlight the District's vision, objectives, and strategy directions in a clear and concise manner that is accessible to the general public. It should also provide documentation of the Implementation Plan, the Diagnostic Report, Monitoring Plan, and the methodology and activities of its participatory planning process. |
| Procedure | Use the outline below as a reference for structuring the draft District Strategic Development Plan, while ensuring each of the listed components are included. |

## i. Preamble
## ii. Acknowledgements
## iii. Acronyms and Abbreviations
## iv. Table of Contents

### SECTION I – Planning Process
1.1  Background
1.2  Purpose
1.3  Participants
1.4  DSDP Methodology
1.5  Structure of the plan
1.6  Schedule of Amendment

### SECTION II – Strategic Development Directions
2.1  Overview
     2.1.1  Vision Statement
     2.1.2  District Development Objectives
     2.1.3  Overview of Planning Principles, Goals and Policies
2.2  Strategic Direction (or Development Sector)
     2.2.1  Introduction
     2.2.2  Objectives and Measures for Success

## Links to Other Regional Plans

**Capital Regional District Strategic Plan - Canada**
http://www.crd.bc.ca/about/documents/strategicplan_web.pdf

**South East Queensland Regional Plan - Australia**
http://www.oum.qld.gov.au/?id=29

**Truckee Meadows Regional Plan - USA**
http://tmrpa.org/regional_plan_16.html

**Ashburton District Development Plan - New Zealand**
www.ashburtondc.govt.nz/.../6A68E28B-0694-4225-B3C4-D78AC6845FB8/21885/C04
16752SDDevelopmentPlan180705.pdf

# Planning Tool #23:
# Evaluation 'How To'

| Resources required | Pens, paper, flip charts |
|---|---|
| Suggested time requirement | 3-4 Hours |
| Rationale and Comments | Evaluations should be undertaken in a collaborative way by the implementing agencies and the project stakeholders. External experts can also lend new eyes and experience. The goal should be to improve the project and promote learning. |
| Procedure | Establish a participatory evaluation survey to be completed by project stakeholders. Use the following examples as a reference. |

| | Evaluation Statement | Agreement Level | Comments |
|---|---|---|---|
| **E F F E C T I V E N E S S** | The planning process was satisfactorily implemented. | Low　Med　High | |
| | The planning process adequately achieved its expected results | Low　Med　High | |
| | Sufficient resources were organized to carry out the process. | Low　Med　High | |
| | The leadership and capacities of the individuals and organizations involved were sufficient. | Low　Med　High | |
| | The partnerships and networks formed will be sustained and strengthened. | Low　Med　High | |
| | The adverse impacts, both anticipated and unexpected, were adequately addressed. | Low　Med　High | |
| **E F F I C I E N C Y** | The resources could not have been used differently to produce more effective results within the estimated costs. | Low　Med　High | |
| | The same results could not have been achieved for less money or effort. | Low　Med　High | |
| | A different approach would have produced the same or better results at a lower cost. | Low　Med　High | |
| | Resources were managed in the most efficient way possible. | Low　Med　High | |

| | Evaluation Statement | Agreement Level | Comments |
|---|---|---|---|
| **C O N T E X T** | Which activities/tasks worked well in your District? | | |
| | What activities/tasks were not appropriate or applicable? | | |
| | What changes were made to the process to make it more locally applicable? | | |
| | What opportunities for broad public participation were utilized in your District? | | |
| **A D J U S T** | What needs to be changed to make the process better? | | |
| | Is a complete review of the process necessary? | | |

## Evaluation of Activities

*I believe that the activities and deliverables completed were useful and should be included future District Strategic Development Planning processes.*

**1 = strongly disagree**
**2 = disagree**
**3 = neither**
**4 = agree**
**5 = strongly agree**

| | |
|---|---|
| **Step 2 - Stakeholders & Participation** | 1  2  3  4  5 |
| Workshop #1 Stakeholder Analysis | 1  2  3  4  5 |
| Workshop #2 Participatory Planning | 1  2  3  4  5 |
| **Step 3 - Situation Analysis** | 1  2  3  4  5 |
| Data collection process | 1  2  3  4  5 |
| Diagnostic Report | 1  2  3  4  5 |
| SWOT Analysis | 1  2  3  4  5 |
| Workshop #3 Issues & Objectives | 1  2  3  4  5 |
| **Step 4 - Visioning** | 1  2  3  4  5 |
| Visioning exercise | 1  2  3  4  5 |
| **Step 5 - Issues & Objectives** | 1  2  3  4  5 |

| | |
|---|---|
| Identifying Issues | 1  2  3  4  5 |
| Issues to Objectives | 1  2  3  4  5 |
| Objectives Prioritization | 1  2  3  4  5 |
| **Step 6 - Alternatives Assessment** | 1  2  3  4  5 |
| Creating Alternatives | 1  2  3  4  5 |
| Organizing Alternatives | 1  2  3  4  5 |
| Evaluating Alternatives -Technical Analysis | 1  2  3  4  5 |
| Evaluating Alternatives –Swing Weighting | 1  2  3  4  5 |
| Negotiation of Alternatives | 1  2  3  4  5 |
| **Step 7 - Action Planning** | 1  2  3  4  5 |
| Force Field Analysis | 1  2  3  4  5 |
| **Step 8 - Strategy Documentation** | 1  2  3  4  5 |
| Implementation Plan | 1  2  3  4  5 |
| Monitoring Framework | 1  2  3  4  5 |
| Final DSDP | 1  2  3  4  5 |