



# **BUILDING BRIDGES**

between citizens and local governments  
to work more effectively together

## **THROUGH PARTICIPATORY PLANNING**

### **Part II - TOOLKIT**

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## FOREWORD

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

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

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

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

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

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

**Anna Kajumulo Tibaijuka**

**Executive Director**

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

## PERSPECTIVE

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

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

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

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

Just remember, this is a voyage of discovery!

### Front-line Learning Opportunities

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

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

# COMPONENT ONE

## TRAINING DESIGN TOOLS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

***Title of your presentation***

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

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

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

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***Questions to your audience***

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### ***Concept***

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

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

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

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

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

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

#### ***Time Required***

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

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

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

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

- 30 minutes to discuss in plenary session the process and results of the contracting session.
- Two hours for the planning session.

预览已结束，完整报告链接和二维码如下：

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