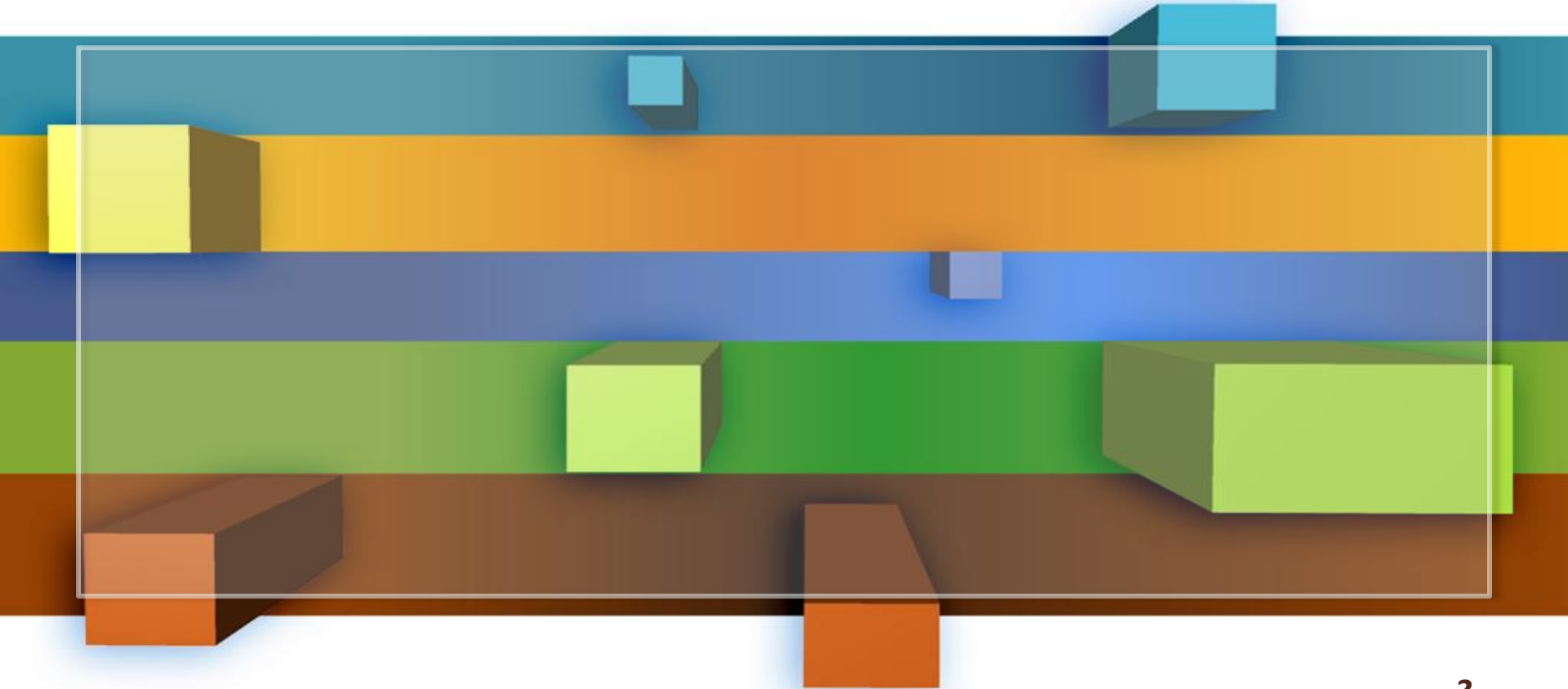




Planning:

Concept, Chronology,
Framework & Methodology

What is Planning





A **GOAL** WITHOUT A
PLAN IS JUST A **WISH**.

- Antoine de Saint-Exupery

What is Planning



A hand is holding the right side of a laptop screen. The screen is black and displays the text "Failing to plan is planning to fail!" in a white, serif font. The laptop is silver and has "Prestige X1000" printed on the bottom bezel. The background is a plain, light-colored wall. There are decorative orange and blue shapes at the top and bottom of the image.

Failing to plan
is planning to fail!

The background features a series of horizontal bands in blue, orange, white, green, and blue. 3D rectangular blocks in various colors (yellow, light blue, light green, dark blue, orange) are placed on these bands, some protruding upwards and some downwards.

Planning- Micro View



□ Will it be impossible

- To obtain the **desired objectives**
- To judge if work is going in the **right direction**,
- whether **progress and success** can be claimed, and
- how **future** efforts be **improved**.

What is required to judge the above aspects

What is required to judge

- Effective planning,
- monitoring and
- evaluation

- 
- Without proper planning and clear articulation of intended results, it is not clear what should be monitored and how; hence monitoring cannot be done well.
 - Without effective planning (clear results frameworks), the basis for evaluation is weak; hence evaluation cannot be done well.
- 

Why PLANNING

- To know what should be done when
- To mitigate and manage crises and ensure smoother implementation
- To improve focus on priorities and leads to more efficient use of time, money and other resources
- To determine what success will look like

Why PLANNING

- ❑ Achieving development results is often much more difficult than imagined.
- ❑ What is required to improve the chances of success,
- ❑ Attention needs to be placed on some of the common areas of weakness in programmes and projects.

Planning and Programme Definition

- ❑ Properly **defined and clarified objectives** and scope of the programmes have a greater chance of success
- ❑ Reduces the likelihood of experiencing major challenges in implementation

Stakeholder Involvement

- ❑ Critical to success- high levels of engagement of
 - Users,
 - Clients and
 - Stakeholders

Planning

- Planning is a process of
 - setting goals,
 - developing strategies,
 - outlining the implementation arrangements and
 - allocating resources to achieve those goals.

What is Planning

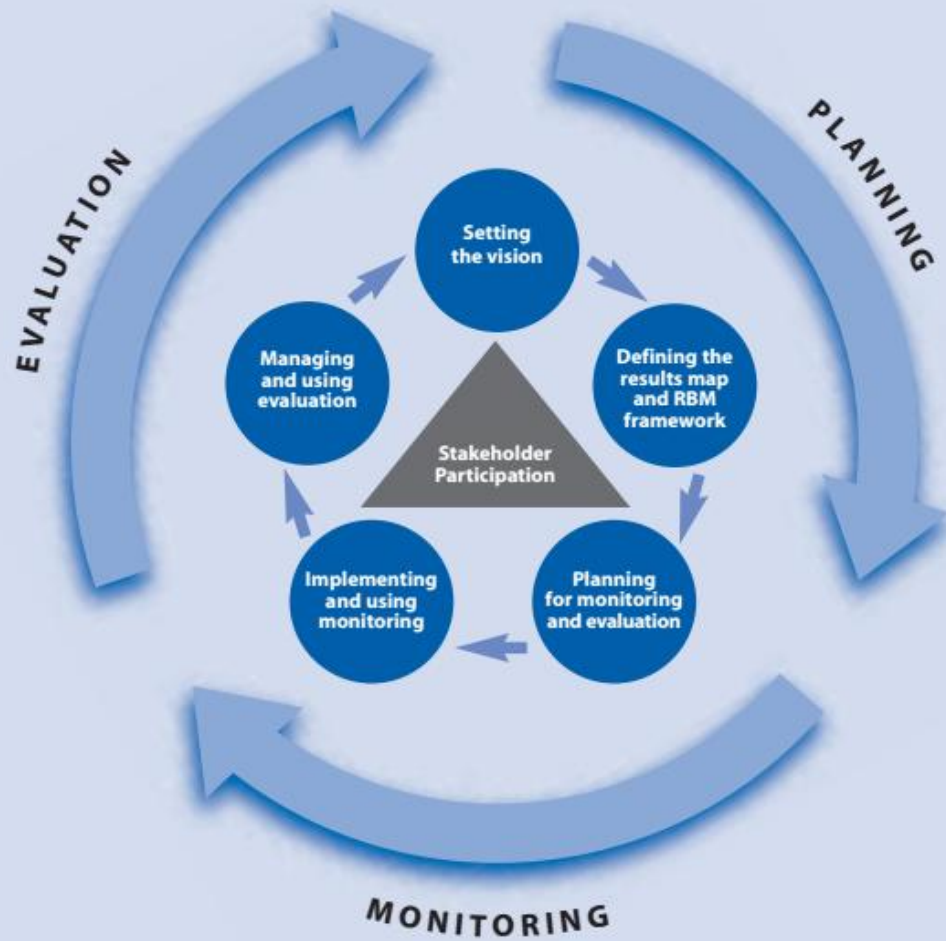


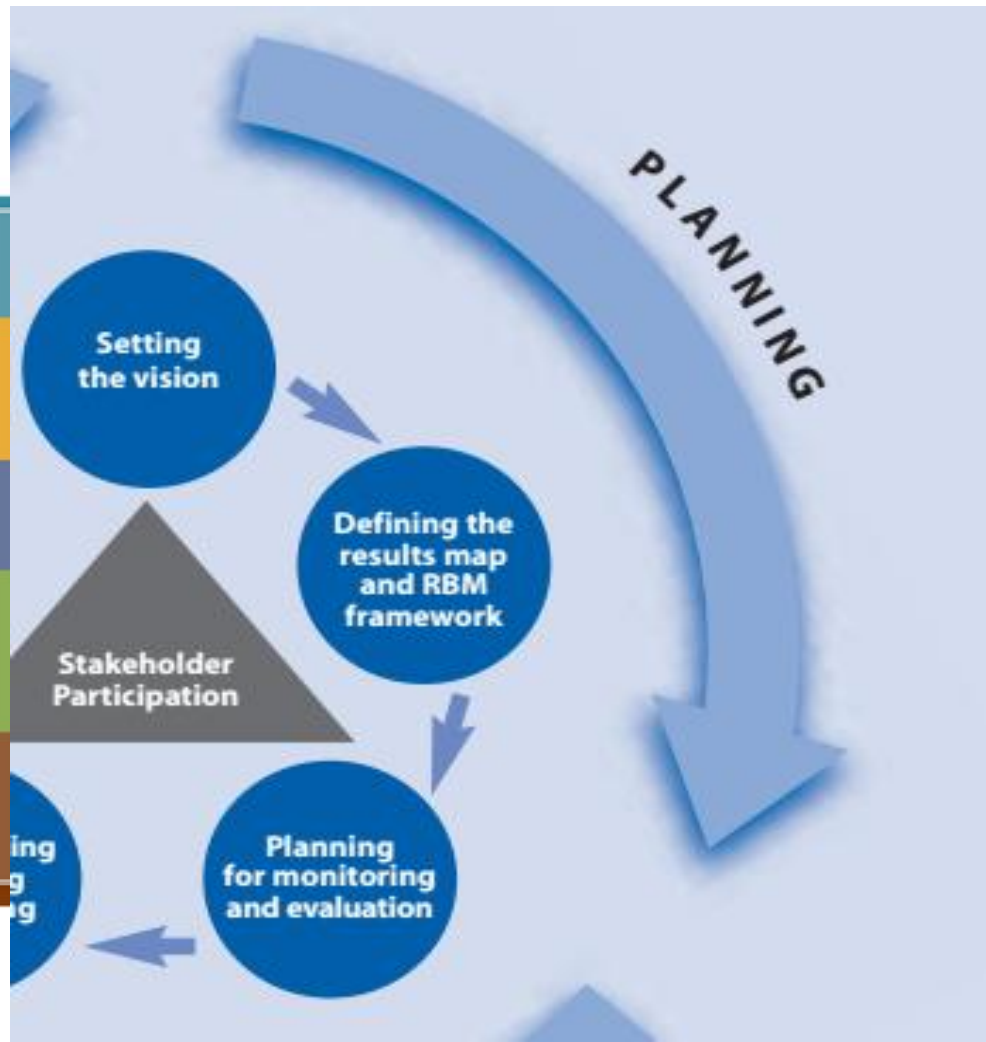
Planning

- Planning involves looking at a number of different processes
 - Identifying the **vision, goals or objectives** to be achieved
 - Formulating the **strategies** needed to achieve the vision and goals
 - Determining and allocating the **resources** (financial and other) required to achieve the vision and goals
 - Outlining **implementation arrangements**, which include the arrangements for
 - **monitoring and evaluating progress** towards achieving the vision and goals

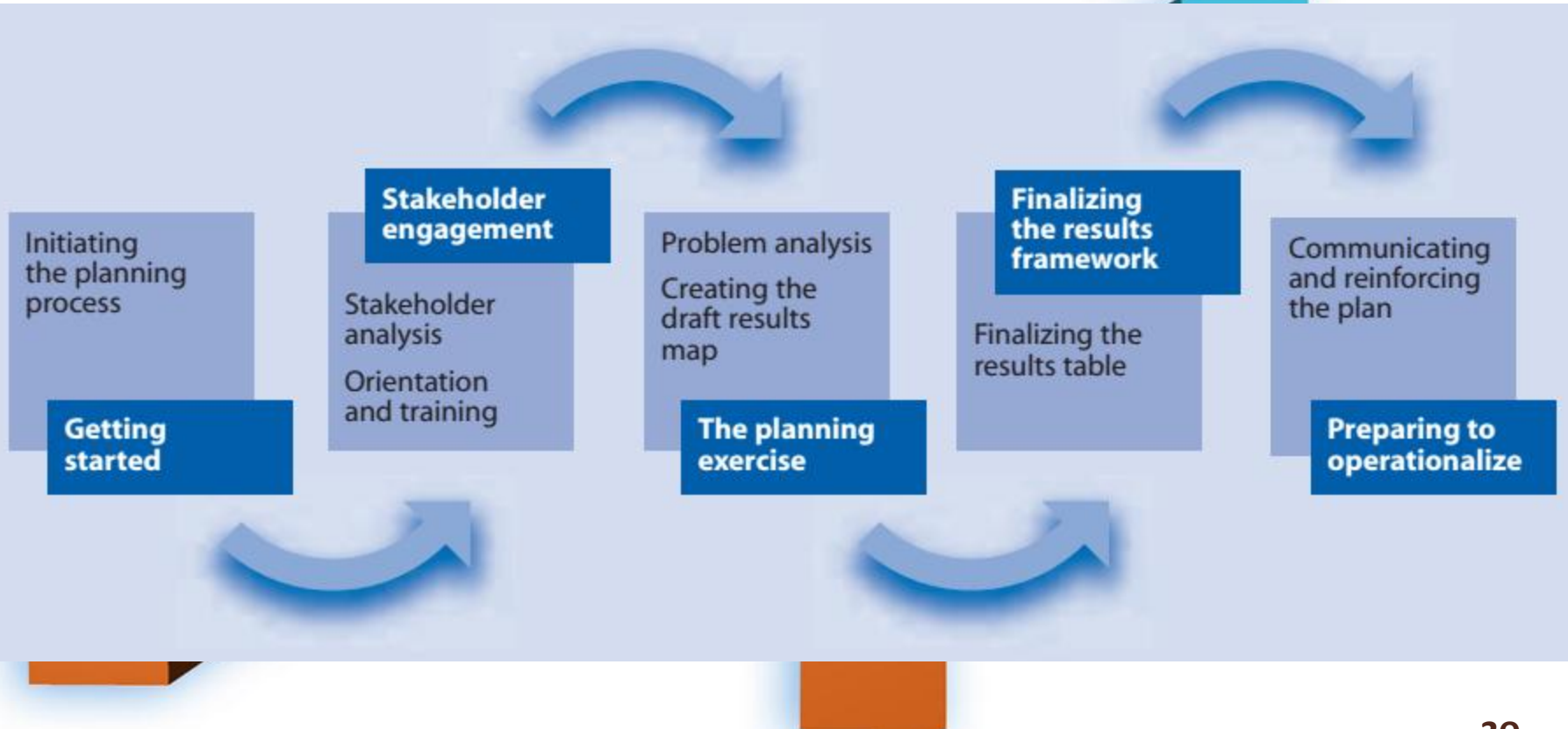
The background features a series of horizontal stripes in blue, orange, white, green, blue, and brown. 3D cubes in various colors (yellow, light blue, light green, dark blue, orange) are placed on the stripes, some appearing to float above and others below the surface.

The Planning Process





Planning Process



Main Deliverables in the Planning

1. The initial **issues note** and draft **work plan** for the planning process (outline of activities and schedule and cost)
2. Stakeholder **influence and importance matrix**
3. List of **key problems identified**
4. **Prioritized list of problems**
5. Cause-effect diagram or **problem tree** analysis for each prioritized problems
6. **Vision statement** for each prioritized problem
7. **Results map** for each prioritized problem
8. **Results framework** for the programme or project document

1.1 The Beginning

- ❑ Prior to the first planning meeting, information should be collected on the major global, regional, country or community challenges to be addressed in the programmes to be developed.
- ❑ Possible sources of information include national development plans, poverty reduction strategies, Sustainable Development Goals (SDGs) reports, national human development reports, gender equality documents, independent evaluations and reviews, country risk assessments **etc.**
- ❑ Helps to manage expectations and ensure focus during the early stages of planning

The beginning (Contd.)

- ❑ Attention on broad areas rather than solutions
- ❑ Sectors and broad challenges such as governance, security, environment and climate change
- ❑ Initial attention to be on the nature of the challenges faced
- ❑ These may - unemployment, gender inequalities, planning and monitoring capacity
- ❑ The aim is to ensure that the areas of work identified are broadly aligned



Issues Note & Draft Work Plan

Deliverable One



NOTE AND DRAFT WORK PLAN

- ❑ In the initiation phase, the team should put together a brief **issues note** and **draft work plan**.
- ❑ The note to capture available information on critical challenges that need to be addressed
- ❑ Note may reflect
 - key priorities in national, regional or global policy and strategy documents;
 - concerns expressed by senior public and private officials or community members;
 - the findings of various analyses, such as
 - a national or regional human development report,
 - an SDG report,
 - a community needs assessment, or
 - an agency capacity assessment.

NOTE AND DRAFT WORK PLAN

- The note should have at least three sections
 - Section 1: Background and purpose of note
 - Section 2: Overview of priority issues
 - Section 3: Work plan for completing the planning exercise

Section 1: Background and purpose of note

The core team should outline the rationale for preparing the note. This would generally include:

- ❑ **Background to the note**

(why the team got together to initiate a planning process)

- ❑ **The nature of the planning process that is being embarked on**

(preparing for a Poverty Reduction Strategy Paper, SDGs, new project, etc.)

- ❑ **Which stakeholders will be involved in the exercise.**

(The process should be fluid enough to involve additional stakeholders as more information becomes available during the problem analysis phase. Once the problems are better defined during the problem analysis process, it may be helpful to conduct a second stakeholder analysis to determine which additional persons should be involved.)

Section 2: Overview of Priority Issues

- ❑ Major development challenges identified
- ❑ Groups most adversely affected
- ❑ Critical areas of capacity constraints

The overview should highlight the different impacts that the problems are having on men, women and marginalized populations.

Section 3: Work plan for planning exercise

- ❑ Overall planning process at this stage to ensure that the main issues are considered before additional stakeholders are engaged; Core team to prepare a simple outline of
 - the activities,
 - schedules and
 - resources
- ❑ The work plan should address a number of issues that the team should consider before actual commencement of the planning exercise.

Section 3: Work Plan for Planning Exercise

Specifically, the team should ask itself:

- What is the overall time frame for planning the programme or project?
- What are the key milestones in the process that we must meet to ensure that we produce the plan within the expected time frame?
- At what stage will we finalize the monitoring and evaluation plan? (It is usually better to do this as part of the process of preparing the plan so that the same stakeholders can be involved in the process.)
- How participatory should the process be given the context within which stakeholders are operating
- What resources will be needed for the planning exercises? (e.g. facilitators, venues, resource persons, important speakers, etc.)
- Who will be responsible for the different elements of the planning process? (e.g. organizing workshops, inviting participants, contracting facilitators, etc.)
- How much will it all cost?

A sample format for the work plan

Major Steps	Who Is Responsible for Organizing?	When Will It Take Place?	Notes
Recruitment of consultant for data gathering	UNICEF	10 May 2010	Terms of Reference to be prepared by UNICEF and shared with national planning agency
Initial brainstorming exercise	Resident Coordinator	15 May 2010	Resident Coordinator's office will convene initial meeting with key counterparts to prepare analysis
Stakeholder analysis	Resident Coordinator	15 May 2010	Will be done as part of brainstorming
Invitation to stakeholders	Minister of Planning & Resident Coordinator	30 May 2010	Resident Coordinator's office will send out invitations and make follow-up calls

A sample format for the work plan (Contd.)

Planning workshop(s): 1. Orientation and training session for stakeholders	National planning agency	20 June 2010	Resident Coordinator's office will provide logistics support to the national planning agency
2. Problem analysis workshop	National planning agency	27-28 June 2010	As above, the session will include a presentation on planning with monitoring and evaluation in mind
3. Additional data gathering on identified problems	National planning agency and consultant	July 2010	(This could be part of a CCA process)
4. Workshop to complete problem analysis and finalize the results framework	National planning agency	14-15 August 2010	As above
5. Meeting to finalize arrangements for monitoring and evaluation	National planning agency	23 August 2010	As above

A sample format for the work plan (Contd.)

Review of draft results framework: 1. Review by stakeholders (or by peers)	National planning agency	31 August 2010	
2. Review by Headquarters	Resident Coordinator	15 September 2010	
Preparation of plan for communica- tion of results framework	Sub-team on communi- cations	22 September 2010	UNFPA communications office to lead

A sample format for the work plan (Contd.)

Resources	Funding	Cost	Notes
Venues	UNICEF	15,000	Possible venues – Niagra Hotel and Tunoko Hotel as they are convenient for rural stakeholders
Facilitators	National planning agency	6,000	Need facilitators well trained in participatory techniques
Communications	UNFPA	10,000	Will need communication strategy targeting different types of stakeholders and the general public
Resource persons (e.g. M&E specialist, gender adviser, poverty specialist)	UNCT	10,000	Local experts from government and NGO sector to be involved; UN organizations to explore bringing in experts from respective Headquarters
Consultants (e.g. for data collection)	Resident Coordinator	10,000	
Equipment and material	Resident Coordinator	5,000	
Other	Resident Coordinator	2,000	
Total		58,000	

Work plan – Summing up

- Useful for the core team to think in terms of a series of meetings or workshops rather than one planning workshop.
- This approach is particularly relevant for programme planning but can be useful for large or complex projects as well.
- In either case, a clear work plan with a schedule and budget is highly recommended.



Stakeholder importance and influence

Deliverable Two



1.2 STAKEHOLDER ENGAGEMENT

- ❑ Inadequate stakeholder involvement - most common reasons programmes and projects fail
- ❑ Planning process to ensure involvement of maximum stakeholders
- ❑ Opportunities be created for the various parties to hear each other's perspectives in an open and balanced manner
- ❑ Success of the programme or project, depend on representatives of the different main stakeholder groups
- ❑ A planning for a bringing stakeholders together to hear each other's views may itself be a mechanism for reducing tensions

STEP 2: ORIENTATION AND TRAINING OF STAKEHOLDERS

- ❑ Stakeholders should be made aware of what the planning process will involve
- ❑ The process will often require a series of workshops and meetings over several months to analyse the problems, commission studies, undertake research, discuss and come to conclusions on priorities and approaches, formulate a results framework, and put together a monitoring and evaluation plan.

STEP 2: ORIENTATION AND TRAINING OF STAKEHOLDERS

- Planning process should be provided with orientation or training on issues such as
 - gender analysis,
 - rights-based approaches to development,
 - conflict-sensitivity and analysis, and
 - capacity development

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List of Problems Identified



Deliverable Three

1.3 THE PLANNING EXERCISE

- ❑ Undertake a thorough problem and situation analysis before developing goals and objectives or planning programmes or projects
- ❑ A problem analysis is sometimes referred as a cause-effect analysis
- ❑ The analysis may help in understanding specific challenges or issues within a sector, region or community

1.3 THE PLANNING EXERCISE

- Developing a clear understanding of not only the surface problems, but also their **underlying causes** and constraints
- Determining the real size and complexity of the problem and the **relationships** between different contributing factors
- Determining how the problem affects groups (women, men, marginalized populations) or may be caused by the **unequal treatment** of different groups in society
- Determining short-, medium- and long-term interventions that may be necessary for a **sustainable** solution
- Identifying the **partnerships** that may be necessary to effectively address the problem
- Assessing the **roles** that different stakeholders may need to play in solving the problem
- Estimating the **resources** that may be required to deal with the problem and its causes



Prioritization of Problems



Deliverable Four

STEP 2: ORGANIZING AND PRIORITIZING MAIN PROBLEMS

- Several major problems may be identified in the problem identification process
- Some of the problems may appear closely related, and some may appear causes or consequences of another problem
- After the agreement on major problems, stakeholders should prioritize them.
- The aim of prioritization is to ensure that the problems are considered critical



Problem Analysis

Deliverable Five



Causes

- ❑ Brainstorm on the main causes such as policy constraints, institutional constraints, capacity weaknesses, or social or cultural norms
- ❑ Brainstorm the possible causes of the problem by asking “What is causing this to happen?”
- ❑ Drill down further by asking “Why has this happened?”

Effects

- Identifying the most direct effects of the problem
- Identifying the main indirect effects of the problem
- whether the problem affects men and women differently
- whether particular groups, such as marginalized populations



Vision for Future



Deliverable Six

CREATING THE VISION OF THE FUTURE

- Based on the problem analysis, stakeholders should engage in a process of formulating solutions.
- Exercise may simply involve rewording the problems and their causes into positive statements or objectives.
- Stakeholders should first engage in a visioning process before rewording the problems.
- The aim of this process is to visualize what the future would look like if the problems were resolved.

CREATING THE VISION OF THE FUTURE

- ❑ Visioning brings energy to the group, by thinking positively about what the future would look like
- ❑ Vision of future may identify additional ideas not have emerged if the process was confined to simply rewording problems into positive results.
- ❑ Visioning is a good way to engage members of the group who are not relating well to the more structured processes of problem analysis.
- ❑ Coming to a shared vision of the future can be a powerful launching pad for collective action.



Draft Results Map



Deliverable Seven

Questions ????



A world map is visible in the background, rendered in a light gray color against a dark gray, textured background. The map shows the continents of North America, South America, Europe, and Africa. A large, rounded red rectangle is overlaid on the map, containing the title text. Below the red rectangle is a yellow rounded rectangle containing a bullet point. At the bottom of the slide, there are decorative curved bands in red, white, and gray.

Group Work

- Prepare a work Plan

Group Work

- Prepare a work Plan
- Identify the stakeholders
- List out the problems identified
- Prioritization of Problems
- Problem Analysis
- Vision for Future

THANK YOU

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