

Lecture 10 - 11: Planning Process - Different Stages in the Continuous and Cyclical Process

Course Teacher:
Md. Esraz-Ul-Zannat
Assistant Professor
Dept. of URP, KUET

1



July 27, 2015

ACKNOWLEDGEMENT

These slides are aggregations for better understanding of the topic mentioned in the previous slide . I acknowledge the contribution of all the authors and photographers from where I tried to accumulate the info and used for better presentation.

OBJECTIVE OF THE CLASS

- To introduce with the conceptual planning process along with conventional (International and national context).
- To know about citizen participation in the planning process.

TOPICS TO BE COVERED BY THIS PRESENTATION

- Planning
- Evolution of Planning Theory
- Systems Planning versus Master Planning
- Planning Process (Conceptual)
- Stages of Planning Process
- Stages of Planning Process (Conventional)
- Citizen Participation in the Planning Process

Planning is deciding in advance

what to do,
how to do it,
when to do it and
who to do it.

It involves anticipating the future and consciously
choosing the future course of action.

Plan should be **SMART**

Specific,
Measurable,
Achievable,
Realistic,
Time Bound

EVOLUTION OF PLANNING THEORY

- We need to distinguish three quite separate stages in the evolution of planning theory to understand the planning process.
 - The first, developed from the earliest times down to the mid-1960s – and well exemplified in the early development plans coming after the 1947 Town and Country Planning Act – could be called the master plan or blueprint era.
 - The second was ushered in from about 1960, and replaced the first approach through the Planning Advisory Group (PAG) of 1965 and the 1968 Town and Country Planning Act; it could be called the systems view of planning (System Planning).

EVOLUTION OF PLANNING THEORY

- We need to distinguish three quite separate stages in the evolution of planning theory to understand the planning process.
 - The third, which began to evolve in the late 1960s and the 1970s, is more heterogeneous and more diffuse; it may best be labeled the idea of planning as **continuous participation in conflict**. In what follows shall first describe the transition from blueprint to systems planning, and then the more complex transition to participative–conflict planning.

SYSTEMS PLANNING VERSUS MASTER PLANNING

- The change that occurred after 1960 was based on the notion that all sorts of planning constitute a distinct type of human activity, concerned with controlling particular systems.
 - Thus spatial planning (or, as it is called here, urban and regional planning) is just a sub-class of a general activity called planning.
- All planning is a continuous process which works by seeking to devise appropriate ways of controlling the system concerned, and then by monitoring the effects to see how far the controls have been effective or how far they need subsequent modification.

SYSTEMS PLANNING VERSUS MASTER PLANNING

- These older planners saw planning as concerned with the production of plans which gave a detailed picture of some desired future end state to be achieved in a certain number of years.
 - It is true that under the 1947 Planning Act in Britain, deliberate provision was made for review of the plans every five years. But the philosophy behind the process was heavily oriented towards the concept of the fixed master plan.
- New approach, embodied in Britain in the new structure plans prepared under the 1968 Planning Act, concentrates instead on the objectives of the plan and on alternative ways of reaching them, all set out in writing rather than in detailed maps.

SYSTEMS PLANNING VERSUS MASTER PLANNING

- Old planning tended to proceed through a simple sequence derived from Patrick Geddes:
 - **Survey–analysis–plan.** The existing situation would be surveyed; analysis of the survey would show the remedial actions that needed to be taken; the fixed plan would embody these actions.
- New planning approach the emphasis is on **tracing the possible consequences of alternative policies**, only then evaluating them against the objectives in order to choose a **preferred course of action**; and, it should be emphasized, this process will continually be repeated as the monitoring process throws up divergences between **the planner's intentions and the actual state of the system.**

SYSTEMS PLANNING VERSUS MASTER PLANNING

- The new concept of planning derived from one of the newest sciences: cybernetics, which was first identified and named in 1948 by the great American mathematician and thinker Norbert Wiener.
 - Rather than dealing with a completely new subject matter, cybernetics is essentially a new way of organizing existing knowledge about a very wide range of phenomena. Its central notion is that many such phenomena – whether they are social, economic, biological or physical in character – can usefully be viewed as complex interacting systems.

SYSTEMS PLANNING VERSUS MASTER PLANNING

- The behavior of atomic particles, a jet aeroplane, a nation's economy – all can be viewed, and described, in terms of systems; their different parts can be separated, and the interactions between them can be analysed. Then, by introducing appropriate control mechanisms, the behaviour of the system can be altered in specific ways, to achieve certain objectives on the part of the controller. The point here is that it is necessary to understand the operation of the system as a whole (though not necessarily in complete detail throughout) in order to control it effectively; unless this is done, actions taken to control one part of the system may have completely unexpected effects else-where.

PLANNING PROCESS (CONCEPTUAL)

- Fundamental to the concept of systems planning – as the cybernetics-based planning has come to be called – is the idea of interaction between two parallel systems: the planning or controlling system itself, and the system (or systems) which it seeks to control.
 - This notion of constant interaction should be kept in mind throughout the following account of the systematic planning process.
 - the relationship of parts of the urban and regional system in geographical space must be the central concern of the urban and regional planner.

PLANNING PROCESS (CONCEPTUAL)

- Therefore, the urban or regional planner will never be completely **ineffective, or completely omnipotent**. The planner will exist in a state of continuous interaction with the system s/he is planning, a system which changes partly, but not entirely, as a result of processes beyond the planner's mechanisms of control.
- Planning process set out by three leading British exponents of the systematic planning approach: Brian McLoughlin, George Chadwick and Alan Wilson.
- McLoughlin's account (Figure 1a) is the simplest; it proceeds in a straight line through a sequence of processes, which are then constantly reiterated through a return loop.

PLANNING PROCESS (CONCEPTUAL)

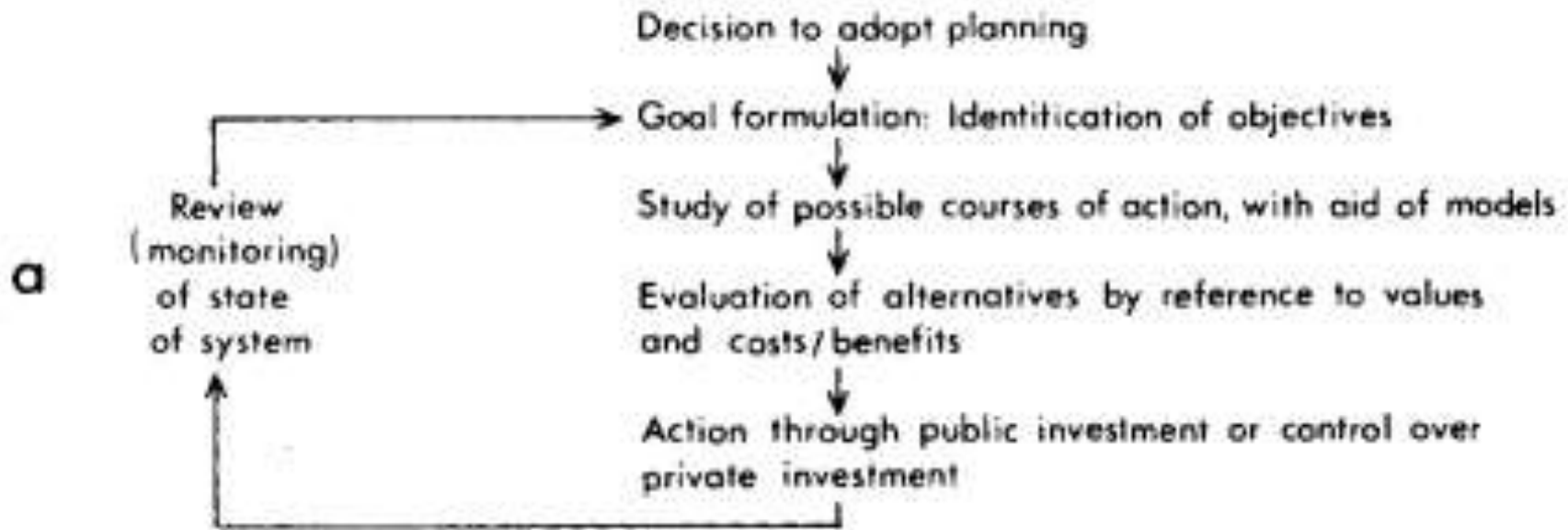


Figure 1a: Concept of the planning process: (a) Brian McLoughlin;

During the 1960s interest developed in systematizing the process of planning, with a new stress on modelling and evaluating alternative designs or courses of action. These formulations drew heavily from the sciences of cybernetics and systems analysis.

PLANNING PROCESS (CONCEPTUAL)

- Having taken a basic decision to adopt planning and to set up a particular system, planners then formulate broad goals and identify more detailed objectives which logically follow from these goals.
- They then try to follow the consequences of possible courses of action which they might take, with the aid of models which simplify the operation of the system. Then they evaluate the alternatives in relation to their objectives and the resources available.
- Finally, they take action (through public investment or controls on private investment, as already described) to implement the preferred alternative. After an interval they review the state of the system to see how far it is departing from the assumed course, and on the basis of this review they begin to go through the process again.

PLANNING PROCESS (CONCEPTUAL)

- Chadwick's account of the process is essentially a more complex account of the same sequence (Figure 1b). Here, a clear distinction is made between the observation of the system under control (the right-hand side of the diagram) and the planners' actions in devising and testing their control measures (the left-hand side).
- Appropriately, there are return loops on both sides of the diagram, indicating again that the whole process is cyclical. But at each stage of the process, in addition, the planners have to interrelate their observations of the system with the development of the control measures they intend to apply to it.

PLANNING PROCESS (CONCEPTUAL)

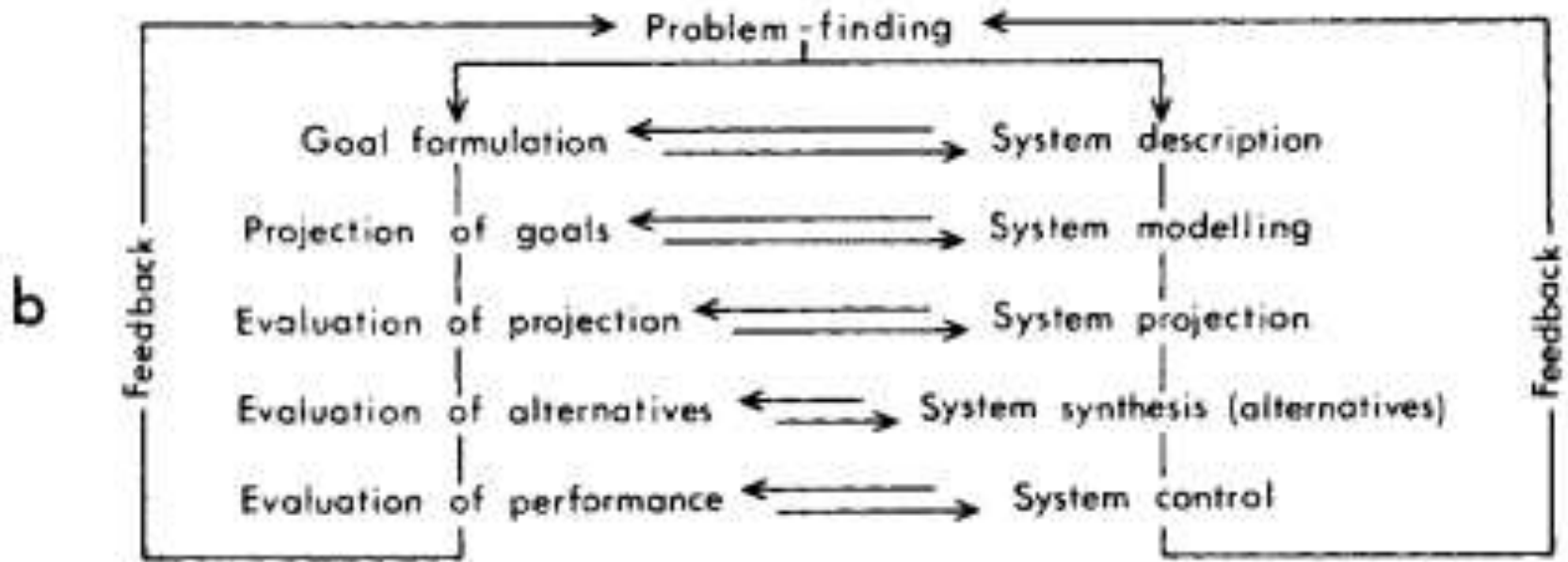
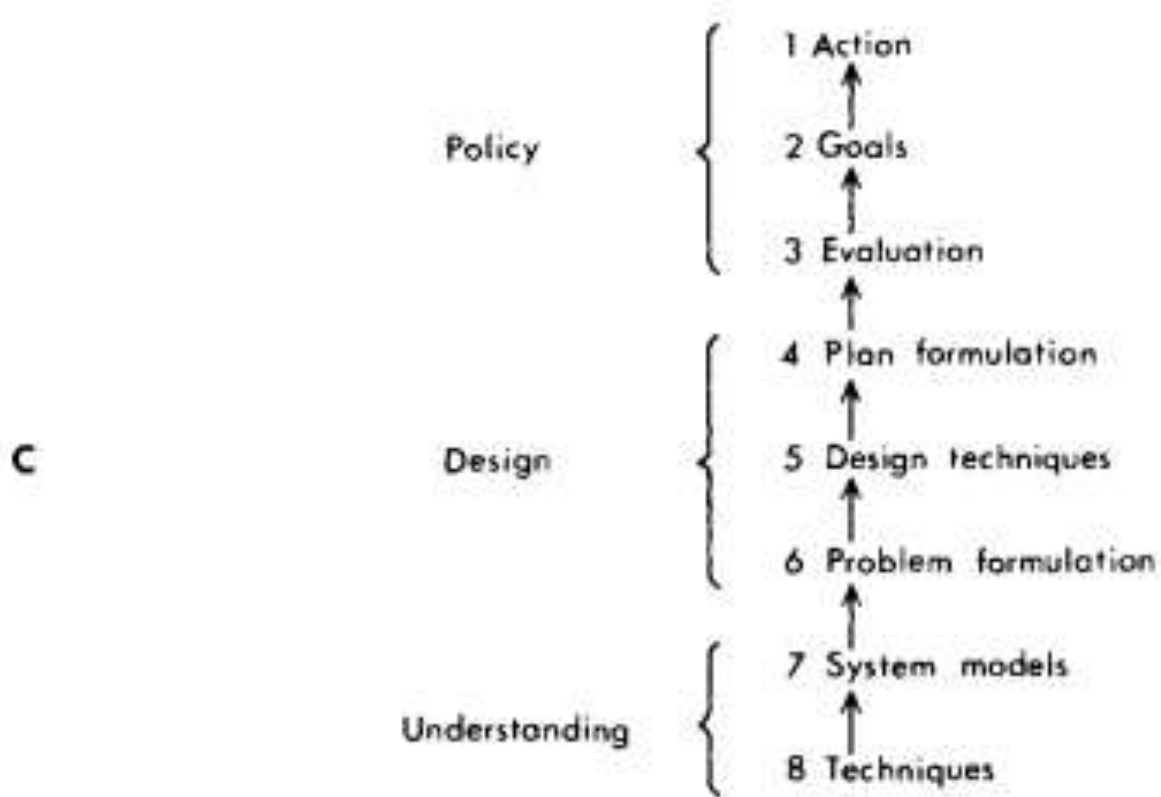


Figure 1b: Concept of the planning process: (b) George Chadwick;

PLANNING PROCESS (CONCEPTUAL)

- Wilson's account (Figure 1c) is even more theoretically complex, but again it can be related to Chadwick's. In it there are not two sides of the process which interact, but three levels presented vertically.
- The most basic level, corresponding to part of Chadwick's right-hand sequence, is simply called 'understanding' (or, in the terminology of the American planner Britton Harris, 'prediction'). It is concerned wholly with devising the working tools, in the form of techniques and models, which are needed for the analysis of the system under control.
- The intermediate level, corresponding to another part of Chadwick's right-hand side, is concerned with the further use of these techniques in analyzing problems and synthesizing alternatives which will be internally consistent.

PLANNING PROCESS (CONCEPTUAL)



NB The diagram is to be read upwards; but constant interaction takes place between all eight levels

Figure 1c: Concept of the planning process: (c) Alan Wilson.

PLANNING PROCESS (CONCEPTUAL)

- The upper level, corresponding roughly to the left-hand side of the Chadwick diagram, is essentially concerned with the positive actions which the planner takes to regulate or control the system: goal formulation, evaluation of alternatives, and actual implementation of the preferred alternative.

STAGES OF PLANNING PROCESS

John Ratcliffe has shown seven stages:

1. Decision to adopt plan
2. Formulation of goals
3. Identification of objectives
4. Preparation of alternative strategies
5. Evaluation
6. Implementation and
7. Monitoring and Review



STAGES OF PLANNING PROCESS (CONVENTIONAL)

Stages in the planning process:

1. Examination of the situation and its context (Decision to adopt plan)
2. Set goals and targets
3. Set measurable objectives
4. Preparation of alternative strategies
5. Evaluation (Appraisal) of alternative strategies
6. Implementation
7. Evaluation (Post)
8. Monitoring and Review

STAGES OF PLANNING PROCESS (CONVENTIONAL)

1. Examination of the situation and its context (Decision to adopt plan)

- Decision to adopt plan is mainly taken through survey
 - Survey is conducted mainly of the area, agencies, organizations and individuals that are affected by the proposed plan, information for planned activities, available physical & human resources, information about the population, area geography, weather patterns, availability of utilities.
 - It also requires identification of any imbalance, anomaly or problem that may need to be redressed through planning.
- Example:
 - Decision of adopting plan for Khulna city; survey of city area and its organizations namely KCC, KDA, KWASA, DoF etc; survey of transport, drainage, employment, parks etc.



STAGES OF PLANNING PROCESS (CONVENTIONAL)

2. Set Goals and Targets

- Broad goals are formulated that the plan should try to achieve
 - Goals are broad idealized statements, attainable focal points but not so specific like objectives
 - Objectives are identified under goals and goals are achieved through fulfillments of objectives
 - There may be several goals of increasing difficulty or complexity.
 - Serves to focus time, energy, money and human resources in achieving set objectives
- Example:
 - “Education for all”, “Full employment by 2021”, “Digital Bangladesh by 2021”, Planned urbanization with modern facilities of Khulna City”.

STAGES OF PLANNING PROCESS (CONVENTIONAL)

3. Set Measurable Objectives

- Objectives of a plan are identified based on the goals and targets
 - Although goals and objectives have similar meanings in every conversation, they refer to different things as planning terms
 - Objectives are usually expressed in terms of some measurable quantity
- Example:
 - 95% of school-going children should have a school within 1 km from their homes
 - 98% of working-age male population should have minimum wage jobs for at least 300 days in a year
 - To prepare a modern and unique Master Plan for Khulna City
 - To prepare a list of projects for transport, housing and other related sectors for Khulna City

STAGES OF PLANNING PROCESS (CONVENTIONAL)

4. Preparation of alternative strategies

- It involves the identification of alternative courses of action that may lead to the fulfillment of the stated goals and objectives
 - Brainstorming to create plans
 - Mold integrated activities
- Procedures and resources
 - Labour
 - Money
 - Facilities
 - Equipment
- Example:
 - Elevated Express Way, City Bypass, Widening major city roads with two/multi lanes and dividers, Bus Rapid Transit (BRT) etc. may be the different alternative strategies of reducing traffic congestion and sustainable transport system of Dhaka City

STAGES OF PLANNING PROCESS (CONVENTIONAL)

5. Evaluation of alternative strategies

- This stage is like a shifting procedure through which the best possible course is selected.
 - Evaluation as a stage of planning process is the assessment of the different possible means/ways/strategies/actions/planning proposals through measurement of all the courses of action.
- Commitment
 - Changing economic situation
 - Re-assessment of available resources
 - Limit on what can be actually achieved
- Planned programme put into action
 - Materials
 - Personnel
 - Technology

STAGES OF PLANNING PROCESS (CONVENTIONAL)

5. Evaluation of alternative strategies

○ Example:

- BRT/Metro rail can be the best course of action than the other courses w. r. to cost effectiveness for sustainable transport system of Dhaka City.

STAGES OF PLANNING PROCESS (CONVENTIONAL)

6. Implementation

- This is the implementation stage of the course of action selected.
- Planned programme put into action
 - Materials
 - Personnel
 - Technology, etc.
- This entails, on the one hand, positive action on behalf of the planning authority, not only in respect of public development but also in the stimulation of desired private sector enterprises. On the other, it requires a large amount of control and regulation over development of a more regulative or restrictive nature.

STAGES OF PLANNING PROCESS (CONVENTIONAL)

6. Implementation

○ Commitment

- Changing economic situation
- Re-assessment of available resources
- Limit on what can be actually achieved

○ Example:

- KCC has engaged private sector enterprises namely Grameen Phone, Banglalink, Robi for its city beautification under Public Private Partnership (PPP). But KCC strictly controls their designs and implementations through proper monitoring and evaluation. KDA and RAJUK can cancel any building plan if the owner violates the approved plan and design during construction. Penalty by Department of Environment (DoE) to polluting industries.

STAGES OF PLANNING PROCESS (CONVENTIONAL)

7. Evaluation (Post)

- Performance of the plan is reviewed during and after its implementation
 - What is expected?
 - What is actually achieved?
 - Evaluation = Gap between what is expected and what is achieved
 - Evaluate every two years or so
 - Measures progress towards goals
 - Dynamic not a static process
- Example:
 - Plan will be changed /modified after getting the feedbacks from the evaluation which is rarely done in Bangladesh as Planning and Implementation are done separate having no analogy.

STAGES OF PLANNING PROCESS (CONVENTIONAL)

8. Monitoring and Review

- Monitoring and review is important for bringing about necessary changes in any part of the plan, including repetition of any step or steps of the planning process.
 - Monitoring of the plan is done during its operation and implementation
- Example:
 - The authority and organization that are the custodians of the plans mainly monitor and review the plans. Their concerned Ministry i.e. KDA & RAJUK's plan by Ministry of Housing & Public Works (MOHPW) and KCC & DCC's plan by Ministry of Local Government & Rural Development Cooperatives (MOLGRDC) also monitor and review the plans. Implementation Monitoring and Evaluation Department (IMED) of the Ministry of Planning acts as the apex body of monitoring and reviewing of the plans and their parts i.e. projects of housing, road, parks etc.

CITIZEN PARTICIPATION IN THE PLANNING PROCESS

- Citizen participation is a categorical term for citizen power. It is the redistribution of power that enables the have-not citizens, presently excluded from the political and economic processes, to be deliberately included in the future.
- It is the strategy by which the have-nots join in determining how information is shared, goals and policies are set, tax resources are allocated, programs are operated, and benefits like contracts and patronage are parceled out.
- In short, it is the means by which they can induce significant social reform which enables them to share in the benefits of the affluent society.



CITIZEN PARTICIPATION IN THE PLANNING PROCESS

- It has been 40 years since Sherry Arnstein advocated “A Ladder of Citizen Participation” (1) that proposed the degrees of citizen’s participation in a planning process; however, the proposal is still valid and quoted in many textbooks of the urban planning and public policy.
- Citizen participation is not a unitary concept
- It may vary according to the needs of the decision situation
- Arnstein depicted eight rungs on the ladder (Figure 1), corresponding to the degree that citizens could share their power in the policy decision making



CITIZEN PARTICIPATION IN THE PLANNING PROCESS

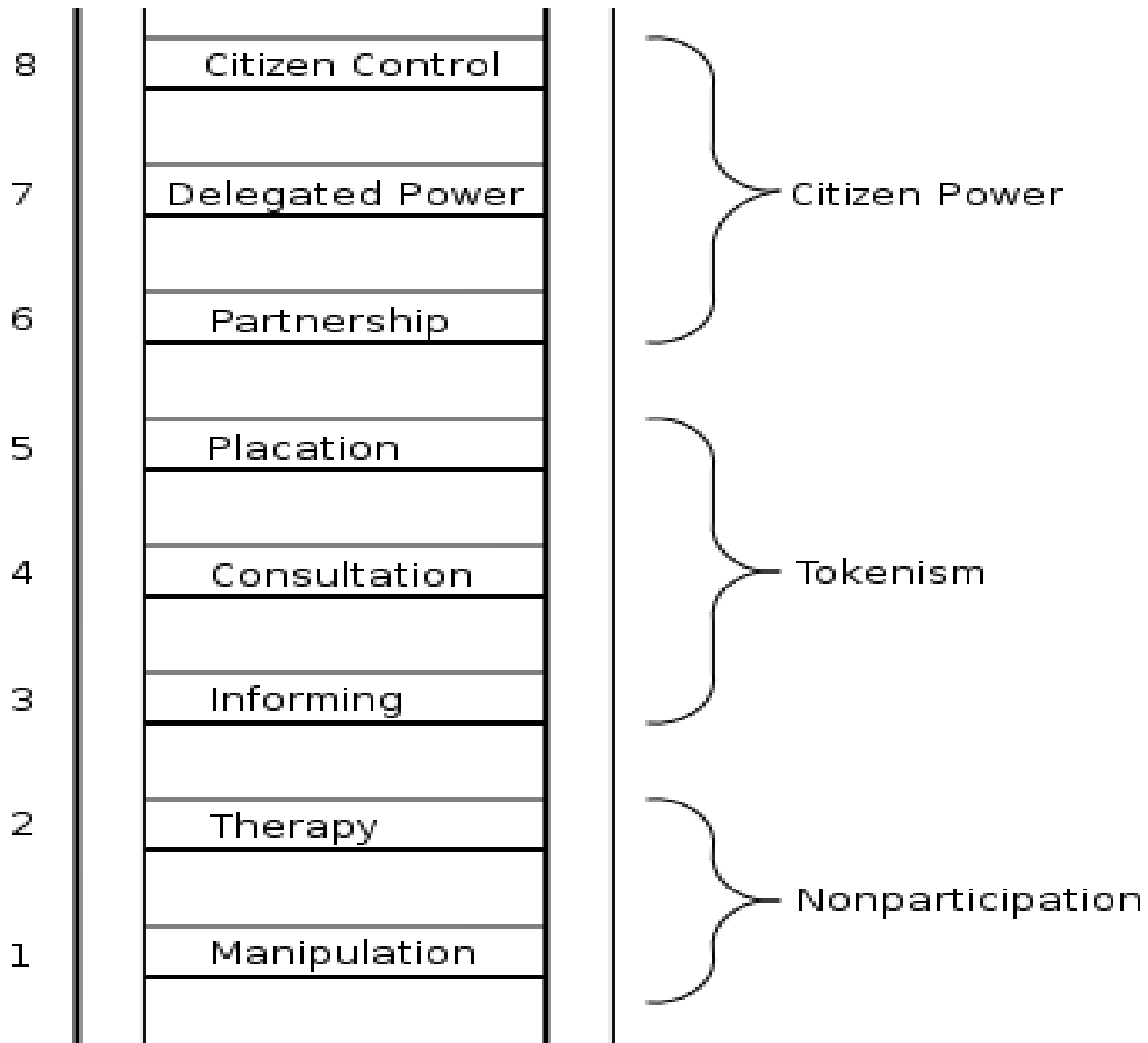


Figure 1. "A Ladder of Citizen Participation"



CITIZEN PARTICIPATION IN THE PLANNING PROCESS

1. **Manipulation** may be practiced to persuade citizens to agree with already decided plans.
2. **Therapy** refers to the practice of the public organizations to hear citizen's concerns.
3. **Informing** is the first level of the opened-up process for the planning. Information of the plan is given to citizens; however, it may often be one-way communication.
4. **Consultation** refers to the practice of obtaining the views of citizens through public meetings and questionnaires.
5. **Placation** is the level that citizens are given their opinions and views through the citizen committee. But the proposals reported by the committee may not be considered in the policy decision making.



CITIZEN PARTICIPATION IN THE PLANNING PROCESS

6. **Partnership** allows citizens to influence the outcome of the planning projects. Citizens share responsibilities through the joint planning board/committee.
7. **Delegated power** is the level that appointed citizens are granted decision making responsibilities.
8. **Citizen control** refers to the level that citizens govern the whole process of the project in all aspects.



WHAT WE HAVE COVERED....

- Planning
- Evolution of Planning Theory
- Systems Planning versus Master Planning
- Planning Process (Conceptual)
- Stages of Planning Process
- Stages of Planning Process (Conventional)
- Citizen Participation in the Planning Process

WHAT WE LEARNT

- Understanding of the urban and regional planning process both conventional and conceptual, Stages of Planning Process (Conventional), and Citizen Participation in the Planning Process.

Thanking YOU



Questions?



What Next?

Lecture 12-14:

Planning Process - Spatial Planning at the Local Level in Bangladesh