

4. PREPARATION FOR LAND USE PLANNING

- Formulating the planning team
- Clarification of legal provisions
- Land use related problem analysis
- Entering into a dialogue with the participants
- Assessment of the institutional capacities
- Determining the planning area
- Capacity Building for land use planning

Formulating the planning team

- Successful land use planning requires a team to pull it together and lead the process for the community.
- Communities interviewed identified three important elements of planning team: a working group, an advisory committee, and outside help when required.
- ✓ The working group are the “doers” of the plan;
- ✓ The advisory committee approves key stages and makes decisions throughout the process; and
- ✓ External players often fill any technical skills gaps in the planning team

- The three planning team layers are described in more detail below and are by no means exhaustive of a land use planning team.
- Some communities work without any external partners and others rely on them more heavily.
- Your land use planning design might look very different from another community's, but there are some common elements that appear in most land use plans.

The planning team-working group- Answer the following questions

- What's the purpose of this plan; who's audience; what is your timeframe; and how much funding is available?
- Ensure working group members are passionate about the land use planning process and are committed to seeing the process through
- Try to have core working group members who are staff to build maximum capacity and leadership developed 'in-house' for the land use plan
- Identify one working group member responsible for leading the team and keeping the process on track
- Remain open to how well your community understands land use planning and its importance and consider if an outreach coordinator is needed

The planning team-Advisory committee

- “the advisory committee was very important. They represent the community in the land use planning process and approve many decisions that staff could not have made”
- Utilize and advisory committee to help guide the working group and make decisions on behalf of the community.
- Continuity and commitment of the advisory committee is key to the success of the planning process
- Have councilors and hereditary leaders participate on the advisory committee.

The planning team-Outside Help

- “It was important that we worked with someone familiar with our community and our culture, someone who lived near us and already understood us.”
- Hire outside help and consultants that are sensitive to your community’s unique characteristics
- Ensure your consultant is taking a role that best uses their technical skills and outside perspective (i.e. writing up the final report, facilitating visioning sessions).
- Build a role for the outside help and consultant to mentor and/or **provide technical training** that is directly tied into the development of the land use plan

- Effective outside help will ensure that their **technical skills** are utilized by the community, but not depended upon, and they will seek to leave behind the capacity for a community to implement a plan to its own.
- Check the total **consultant expenses** against possible limits imposed by some funders. Communities have spent as much as half of their budget on consultants in the past.

Clarification of legal provisions

Does your project
involve
development?

NO

NO

yes

Check if you need the
planning authority's
approval for some
details

You

planning
permission

You do not
need planning
permission

NO

Land use related problem analysis

Problem Tree Analysis

What is it?

- The Problem Tree method is a planning method based on needs, however it is not a mechanical translation of problems into objectives.
- A properly planned project addressing the real needs of the beneficiaries is necessarily based upon a correct and complete analysis of the existing situation.
- The existing situation should be interpreted according to the views, needs, interests and activities of parties concerned.
- It is essential that all those involved accept the plans and are committed to implement them.
- The Problem Tree Analysis belongs to the family of *participatory planning techniques*, in which all parties involved identify and analyze the needs together. Participatory methods aim to create ownership and commitment among the involved parties (e.g. beneficiaries, implementing organizations, local governments).

Three stages in the analysis process in the Problem Analysis method will be discussed:

- the **analysis of problems** related to the subject (the image of reality);
- the **analysis of objectives** (the image of a future, improved situation);
- the **analysis of strategies** (the comparison of different chains of objective).

There are several complementary methods to analyze a situation:

- expert studies giving answers to questions as experts conceive them;
- interviews with representatives of concerned groups and organizations providing perceptions as existing within that particular group or organization;
- a meeting, in which representatives of all parties concerned, including experts, discuss the same questions in a participatory way, often leading to an analysis, which is shared by all (e.g. Participatory Rural Appraisal).

Problem analysis

- The problem analysis is of major importance with regard to project planning, since it strongly influences the design of a possible intervention(s).
- It is the basis and the justification for the project design.
- The problem analysis includes:
 - verification of the subject of analysis;
 - identification of problems related to the subject; make an inventory of all problems perceived by all participants in the workshop;
 - establishment of a cause-effect hierarchy between the problems;
 - visualization of the cause-effect relations in a diagram.
- It is important that all participants get the chance to express the problems they experience.

- After discussion and clarification by the ‘problem owner’ all problems should be respected.
- It is important to determine whether the different groups of people perceive the problem in the same way; if not the problem should be reformulated or split.
- For example, if the problem mentioned is ‘our family income is not sufficient’, for a woman it could mean that she cannot buy vegetables and meat, whereas for the man in the family this could mean that he is not satisfied about the yields.

Do's and Don'ts in formulation of problems

Don'ts:

- No big balloons or big vague concepts, e.g. no infrastructure
- No absent solutions (danger: you block alternatives), e.g. we have a lack of money and thus children don't go to school
- No non-existing problems, e.g. no existence of NGOs (in former dictatorial countries possibly a problem in the past)
- No formulation of interpretations, e.g. the government is lazy
- And further: explain abbreviations and jargon

Do's:

But- Be precise, e.g. there is no paved road from Mizan to Tepi

But- Instead, the problem is: school fees are not Affordable

But- The problem now is that there is no knowledge on how to run an NGO

But- The government does not issue licenses

- After a common understanding of all problems is reached, the analysis is presented in the form of a diagram, or a problem tree.
- A problem is never an isolated negative perceived situation, but relates to other problems.
- In the problem tree the relations and hierarchy among all identified problems is expressed.
- Each stated problem is preceded by the problem(s) which cause(s) it, and followed by the problem it causes itself.
- **For example:** the rice production in the low lands is decreasing due to the irrigation water not reaching the fields and due to the fact that there is an irregular supply of inputs for rice production.
- The problem of a decreasing rice production itself contributes to the problem of food shortages.

Objectives analysis

- After the problem analysis follows the analysis of objectives.
- This analysis includes:
 - the translation of the negative situations in the problem tree into a realized positive state (the objectives) for example, 'low rice production' is converted into 'improved rice production';
 - verification of the hierarchy of objectives;
 - visualization of means-end relationships in a diagram.
- Also in this step it is of importance that all stakeholders are involved.
- While transforming problems into objectives and verifying the hierarchy, discussion and feedback on the objectives is done. This helps building consensus amongst the stakeholders. It might also be necessary to reformulate some of the problems.

- **Next**, often the objective tree shows many objectives that cannot all be reached at once.
- Therefore, choices will have to be made. Certain objectives seem unrealistic, too ambitious or not feasible within the context of a possible intervention, so that other solutions need to be generated for the problem concerned.
- However **at this stage of the planning these choices are not yet made.**
- Still all possible ways (objectives) to achieve the desired future situation are considered.

3. Analysis of strategy (see further 'Strategic Options' tool)

- After having formulated the desired future situation the selection of possible interventions starts. To analyze the strategies for implementation the following steps are taken:
 - identification of the different possible groups of objectives contributing to a higher objective (clustering);
 - choice of a strategy for the intervention, choosing the scope of the project (scoping).
- In the process of clustering and scoping it is important to realize that the aim is to contribute the maximum possible to an overall objective, keeping in mind the priorities of the beneficiaries, and the limitations and possibilities of the implementing organization.
- In the diagram of objectives, the different objectives sharing the same nature can be considered to be clusters.

- The clustering should be based on common sense and should be of practical value in the planning stage.
- The clusters should be neither too broadly nor too narrowly defined.
- It concerns the identification and selection of potential alternative strategies towards realizing all or some of the objectives.
- Clusters are made based on similarity of possible future activities, region or required expertise.

- In the demonstration case these clusters are irrigation system, agricultural inputs, soil fertility and immigration.
- For each of these clusters a different type of expertise is needed.
- Out of the clusters, one (and often more) will be chosen and used as the strategy to achieve a future desired situation: the aims of the intervention.
- This is called scoping, or choosing a strategy.
- Based on a number of criteria, the most relevant and feasible strategy is selected.
- Unrealistic objectives should be excluded and objectives that certainly should be included should be prioritized.
- The criteria have to be chosen and agreed upon by all stakeholders.

Examples of **possible criteria**:

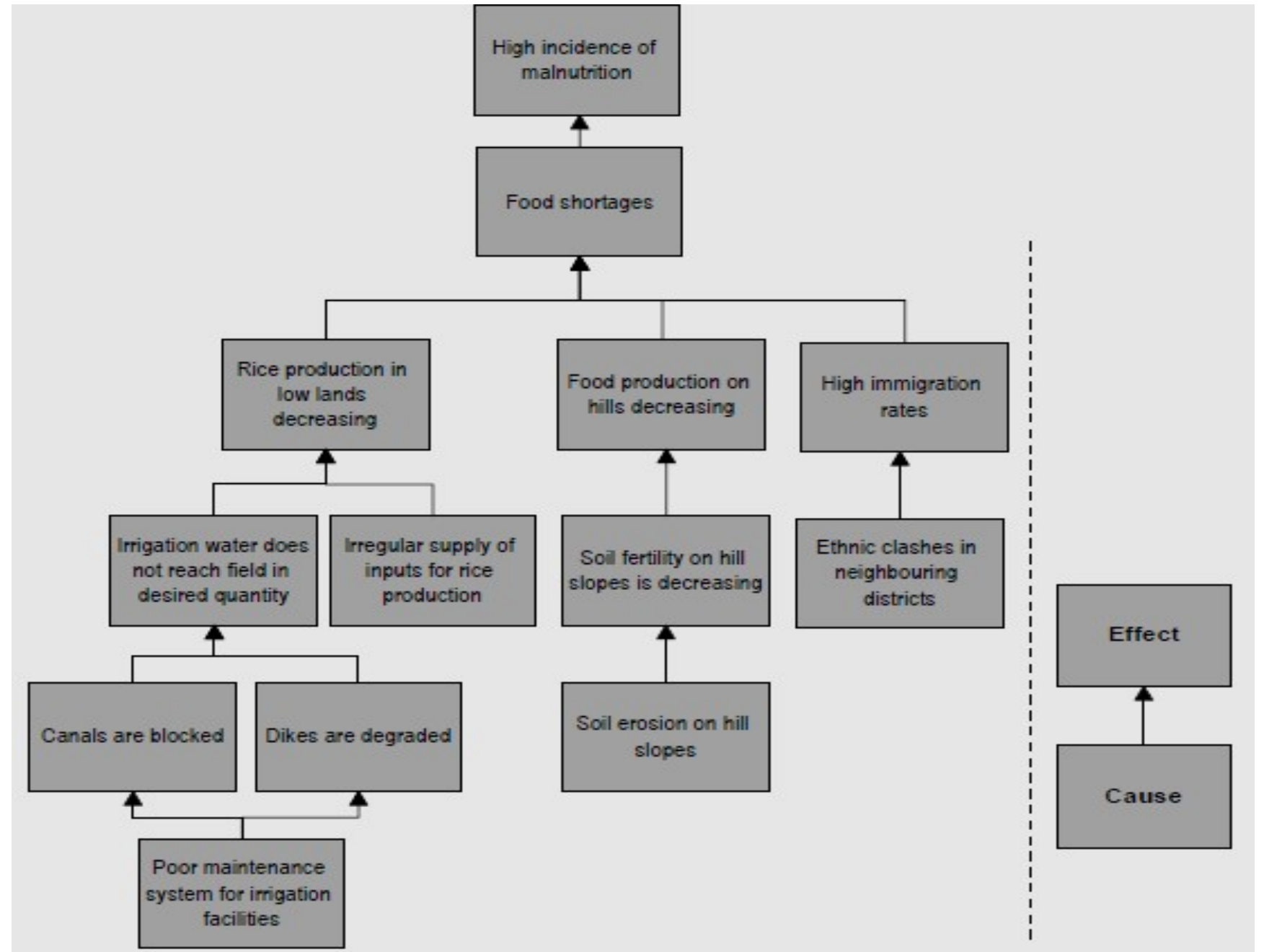
- priorities of beneficiaries - donor policy
- expertise and experience of implementing organization
- fit with mandate of government authorities, sectoral policies
- duration of implementation - contributions of different stakeholders
- urgency - available human resources, institutions
- contribution to overall objectives - available budget
- inter-linkages between clusters - shift in power relations
- positive/negative side-effects - gender and social diversity aspects
- sustainability - likelihood of success
- fit with mandate of implementing organization

Example: Demonstration case

1. Problem inventory

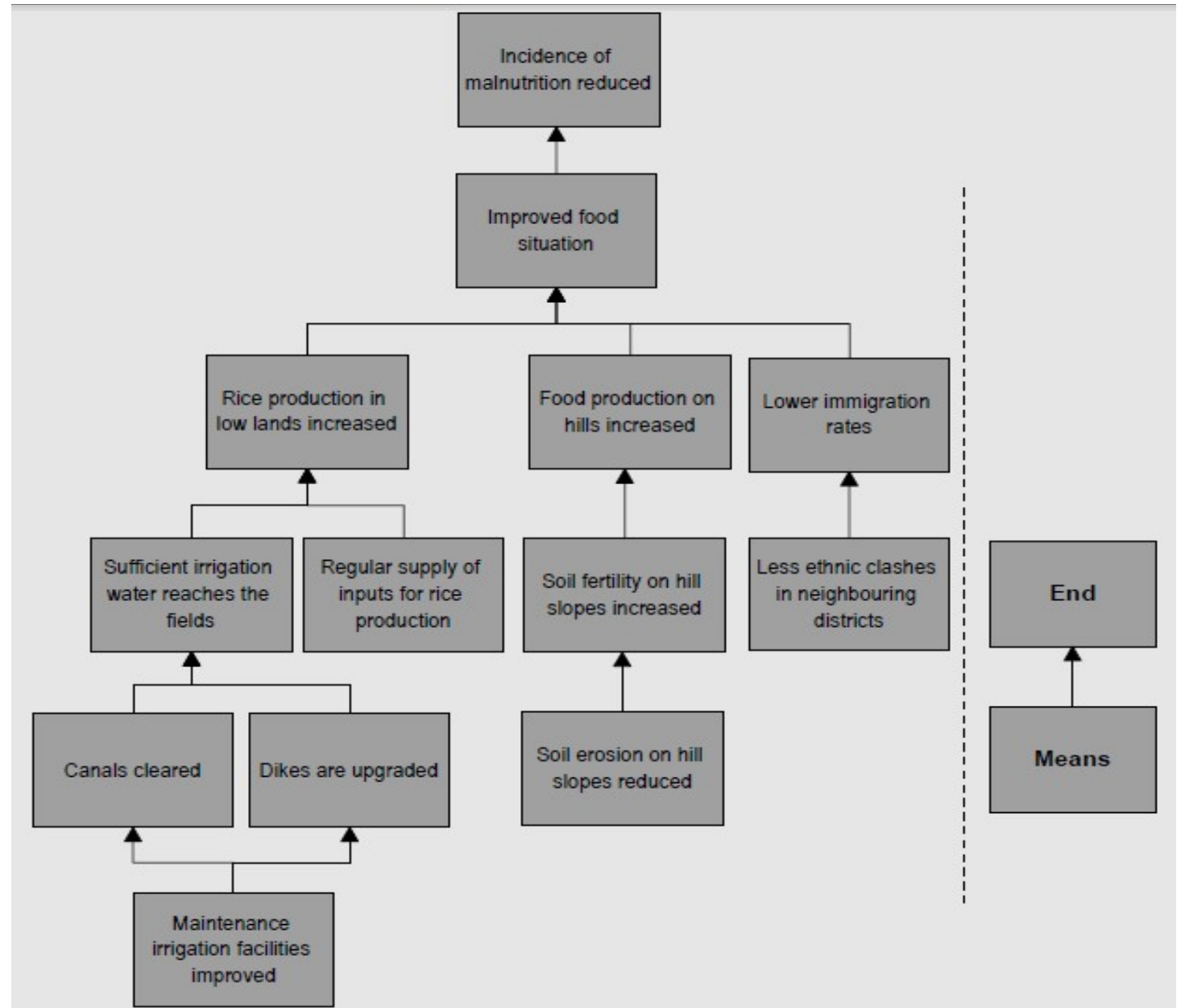
- Subject of the workshop is food security, the possible problems mentioned in relation to this subject are:
 - Food production on hills decreasing
 - Ethnic clashes in neighboring districts
 - Food shortages
 - High incidence of malnutrition
 - Canals are blocked
 - Rice production in low lands decreasing
 - Poor maintenance of irrigation facilities
 - Dikes are degraded
 - Soil fertility on hill slopes is decreasing
 - Soil erosion on hill slopes
 - Irregular supply of inputs for rice production
 - High immigration rates
 - Irrigation water does not reach fields in desired quantity

2. Diagram of problems



3. Diagram of objectives

- This diagram, or objective tree, provides a general and clear view on the desired positive future situation.
- It is possible that problems are identified of which it is completely unrealistic to formulate an objective.
- E.g. it is not possible to transform 'heavy rainfall during rainy season' into 'no heavy rainfall during rainy season', in the first instance the problem will be maintained.
- At a later stage when the project planning is done, one can think of measures to cope with the heavy rainfall, like proper drainage system or dikes to protect.
- Important to realize is that while transforming problems into objectives one should remain realistic (is it feasible?).



4. Scoping

- Using different criteria in selecting one or more clusters the following decisions were taken:
 - **Irrigation system:** the beneficiaries indicate that this is a cluster that requires urgent intervention. Working on irrigation issues suits the policy of both the local government and the implementing agency. Besides the implementing organization has a vast experience in similar projects.
 - **Agricultural inputs:** in the workshop it was indicated that the suppliers of agricultural inputs intend to have a more regular supply, especially when the farmers are willing to pay a little more. When there will be sufficient water, the production will increase and thus the farmers will have more income to invest in agricultural inputs.
 - **Soil fertility:** working on soil fertility issues requires a special expertise and it is known that the local government and the agricultural university run a successful project on soil fertility management.
 - **Immigration:** this is probably the most sensitive and difficult cluster to deal with. The beneficiaries and the implementing organization do not see any chance for them to try and work on this issue. It is typically a task for the politicians and the government

- **Steps in the analysis and planning process at target group level**
- The below overview gives the steps that have to be taken to complete a planning process.
- The different steps serve as the basis for the subsequent chapters in this tool, as well as the ‘Logical Framework’ and ‘Assumptions’ tool.

Preparatory phase

- **Define the subject**
 - Define the subject of the OOPP workshop
- **Stakeholder analysis**
 - Analysis the parties that have an interest in the subject

Analysis phase

1. Problem analysis

- Check the subject with the stakeholders
- Make an inventory of all perceived problems
- Check whether these problems are commonly understood
- Build the problem tree (cause-effect relations)

2. Objectives analysis

- Convert the problem tree into an objective tree
- Check consistency of means-end relations, if necessary reformulate objectives

3. Analysis of strategy

- Divide the objective tree into clusters (clustering)
- Select the clusters which will be included in the intervention (scoping)
- *At this stage also use institutional analysis tools*

Assessment of the institutional capacities

- The success of land use planning depends on the capacities of all actors, particularly of the lead agency responsible for land use planning and those institutions and groups taking over the responsibilities for implementing the plan.
- The establishment of those capacities is often more complicated than expected.
- The responsibilities for planning, implementation, financial and administrative handling can be concentrated in one organization (e.g. the planning agency if in place) or split amongst two or three different organizations.
- As a general rule, the integration into existing public institutions having the official mandate for land use planning – no matter how weak they may be – should always have priority over the creation of new separate structures.
- The latter should only be considered in exceptional situations and as a temporary solution.

- Many planning agencies as any other public agencies suffer from certain deficiencies such as lack of
 - ❑ coordination,
 - ❑ insufficiently qualified staff,
 - ❑ frequent staff changes,
 - ❑ imbalance between assignments accepted and available capacities and orientation towards execution rather than planning.
- In addition, the hierarchical structures often contribute to paralyzing the initiatives of the technical personnel.
- Hence, capacity development and institutional development are key for the introduction of land use planning in most developing countries.

- Planning agencies must meet the following minimum requirements to ensure long-term sustainability of land use planning:
 - qualified personnel and equipment;
 - motivated and technically competent extension personnel;
 - long-term financial security.
- Capacity development and land use planning can go hand in hand. Individuals can learn and procedures can be developed in parallel by actually conducting a participatory land use planning and organizing its implementation.
- For this purpose, training on the job can be combined with in-class training. This provides the necessary theoretical and practical background the personnel need to continue land use planning, to update and implement plans. The joint preparation of a land use planning manual is another way to set up capacities.

Institutional Responsibility and Capacity for Implementation

- The plan should be implemented by already existing institutions.
- The responsibility for implementation of specific measures depends on the sector concerned as well as on the size of the measure (financial volume) and the financial sources involved.
- If the implementation is linked to extensive financial means, there is a considerable organizational and administrative process involved.
- This additional task cannot be accomplished as a sideline by one of the participating organizations.
- The organization in charge of the completion of investments must make additional capacities available.

- Training and further education might be necessary in order to improve the capacity and motivation of the implementing organization.
- In an ideal scenario, an existing municipal or regional body takes on the leading function in plan implementation, sets up appropriate coordination mechanisms (steering committee, regional development council), delegates the implementation of specific measures (through contracting etc.) and monitors implementation (e.g. supervises the conclusion of contracts with private companies or individuals).
- If there is no suitable institution already in place, one of the participating organizations must take on these assignments.
- Usually, this has to be a public authority. If this is not likely, a new organization has to be created which is, however, temporary in nature.

- Nevertheless, it should have the necessary organizational, material, financial and personnel capacities. Irrespective of which option is finally selected, all participants must together establish the following:
 - functions;
 - responsibilities;
 - planning systems;
 - coordination systems;
 - monitoring/control systems;
 - tools and mechanisms of sanction.
- The mandate to carry out minor (pilot) measures can in some cases be transferred to civil society (self-help groups, cooperatives, farmers' organizations or local NGOs).
- Such a process requires some time – generally one to two years.

Capacity Development

- As a basic rule, existing legally (and democratically) legitimate institutions must not be undermined no matter how weak they may be but need to be strengthened. It follows that land use planning can only be done by or together with institutions in place which generally require capacity development.
- Capacity development for successful land use planning implies **improvements in a vast number of institutions** as well as **increased knowledge, new skills** and **changes in attitudes** in an even bigger number of individuals. This can be quite difficult given the jungle of competences. All institutions involved in land use planning need to define actors, roles, functions, competences and mechanisms for cooperation and coordination.
- Besides, it is important to clarify the specific need for capacity development.

Strategy:

- All institutions involved in land use planning need to agree on a joint strategy for land use planning. This implies the identification of each institution's role and contributions.

Cooperation:

- All institutions involved in land use planning need to agree on cooperation mechanisms.
- Through this discussion/negotiation they will further specify their roles and identify their individual functions and tasks.
- Once institutions are clear about their role and function, they can easily identify the qualifications their staff needs to fulfill these role and functions.

Management Structure:

- All institutions involved in land use planning need to agree on a management structure.
- This implies the identification or creation of a steering council as well as the definition of forms of communication, negotiation, decision-making etc. Again, the identification of these mechanisms also shows the need for training.

Process Design:

- All institutions involved in land use planning need to agree on the processes necessary for land use planning.
 - Which new processes have to be introduced?
 - How should they be designed?
 - How can institutions learn from experience?
 - How can a constant learning process be achieved?
- Experience shows that the combination of on the job training and in-class training is the most successful.
- Any training, in-class training included, needs to address the specific working situation of the trainees.
- All knowledge and skills that are taught need to be discussed within the national/local context.

Determining the planning area

Overview on Application Range – New Developments

- Land Use Planning: a Tool for Territorial Development
- Land Use Planning: a Tool for Sustainable Natural Resource Management
- Land Use Planning: a Tool for the Protection of Biodiversity
- Land Use Planning: a Tool for National Park and Buffer Zone Management
- Land Use Planning: a Tool for Food Security
- Land Use Planning: a Tool for Disaster Risk Management
- Land Use Planning: a Tool for Adaptation to and Mitigation of Climate Change
- Land Use Planning: a Tool for Development in a Drugs Environment
- Land Use Planning: a Tool for Conflict Prevention and Resolution
- Land Use Planning: a Tool for Responsible Land Governance

Assignment 1

Write your home town and state the land resource found in your home town or any known small catchment area

Write the major land use type in your home town , among this state the favorable and unfavorable

Recommend the best land use plan for your home town

Group Assignment 2

Prepare a land use plan for Shonga catchment following the ten steps. You must include:

- 1. Identify the land use problems in Shonga catchment and prioritize**
- 2. Identify alternative option and rank then for each identified problems**
- 3. Finally set a goal for change in land use for the catchment**