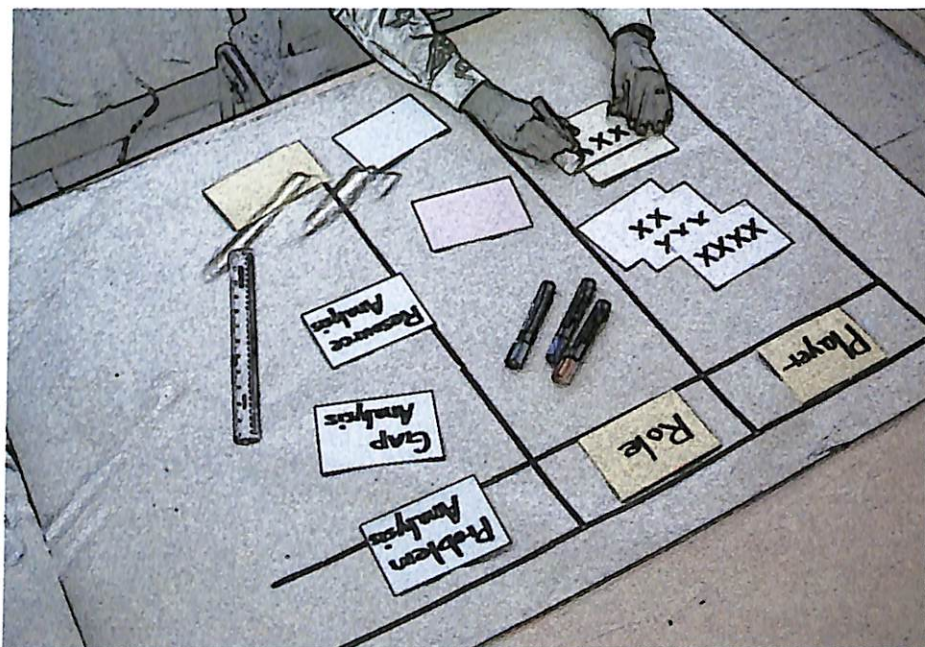


# Planning Guide

- problem analysis to implementation plan -

ISFP Technical Guide Series No. 3



March 2006

Yuichi Sato  
John Mathenge Ngatia



Intensified Social Forestry Project in Semi-arid Areas (ISFP), Kenya

## Table of Contents

Introduction	- 1
Overview of the process	- 2
Problem analysis	- 6
Player analysis	- 10
Resources analysis	- 12
Gap analysis	- 15
Drafting of implementation plan	- 18
Author's profile	- 22

**ISFP Technical Guide Series**

The Planning Guide – problem analysis to implementation plan – attempts to provide a planning tool to formulate a workable plan for policy planners and implementers. The contents have been developed through the process of the discussions in current forest policy reform and the group work sessions of the training courses on forest extension.

Intensified Social Forestry Project in Semi-arid Areas (ISFP) aims at improving the living standard of the people in semi-arid areas while enhancing sustainable environmental conservation. The objective is being achieved through capacity building of the Forest Department, promotion of its extension activities, development of practical knowledge and techniques and information sharing among the stakeholders.

Objectives of this technical guide series are to disseminate and share project outcomes and generated knowledge, as well as promote our principles on sustainability and project ownership among stakeholders. Any comments and interaction are welcome from you. We would like to walk together with you towards a appropriate intensification of social forestry.

ISFP Chief Advisor



# Overview of the process

**The Process** to formulate a workable plan consists of five stages, namely,

Problem analysis

Player analysis

Resources analysis

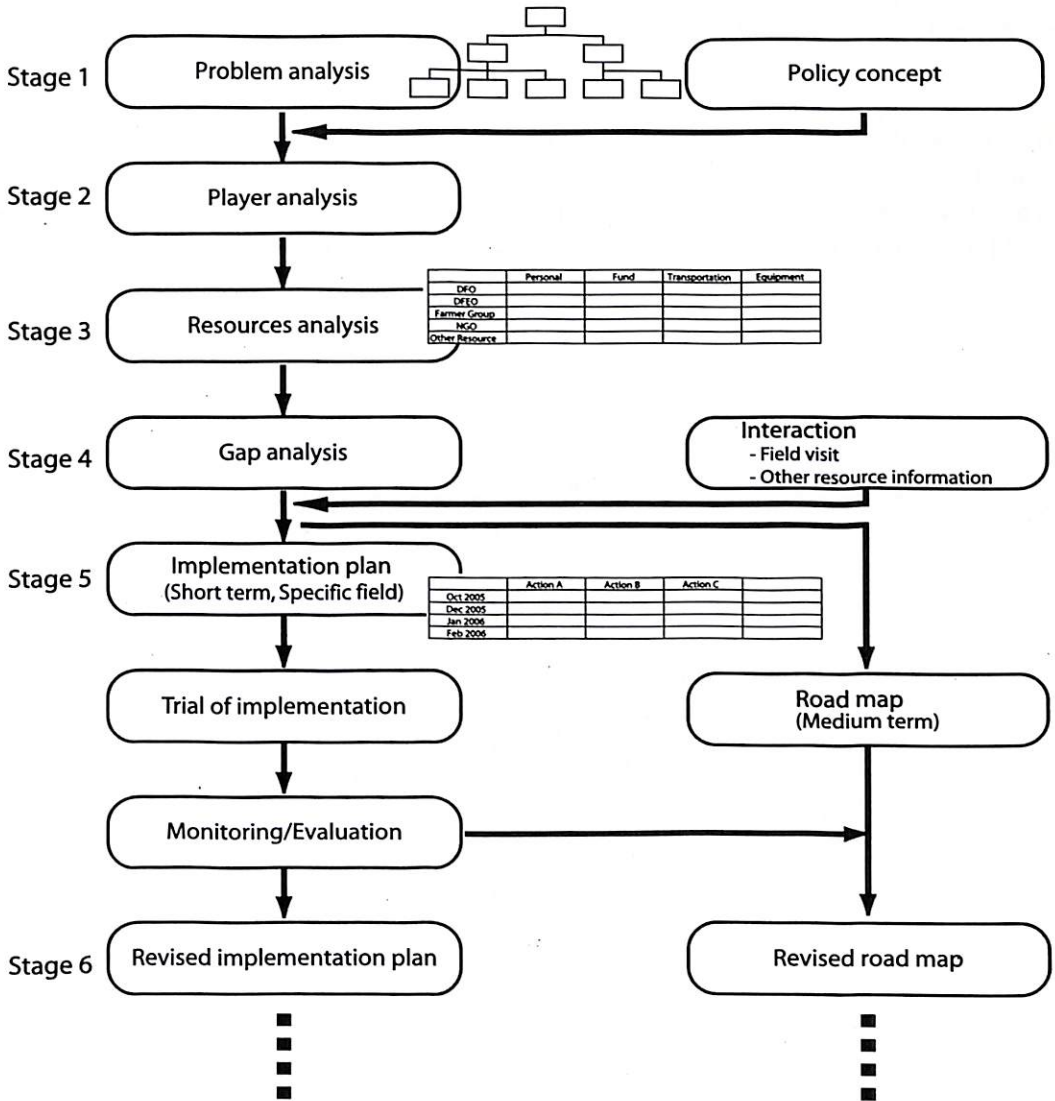
Gap analysis, and

Drafting of implementation plan

The process starts with identification of the problem issues. In the initial stage, planners identify the problems comprehensively and assess the relationships, the ease and timescale necessary to address the problem against the planned goal (*Problem analysis*). They should take into account the connection of the issues to the policy development (*Policy concept*) and players involved in implementation (*Player analysis*). The planners should understand how much resources exist and where it is situated (*Resource analysis*). One should always bear in mind that players have varied interests, priorities and approaches although addressing the same problem. In addition one should consider the level and differences between existing and required resources (*Gap analysis*). Following the outcome of the process from problems to gap analysis, the implementation plan is drafted and the timetable is indicated (*Drafting of implementation plan*). It is worthy to note that there is no perfect plan, hence the draft plan should attempt to maximize on public benefits. Once developed, the plan should be tried, monitored and evaluated for feedback and revision.

**Group Work** is recommended for the process. Group provides diverse perspectives, a wider range of experiences and broader base for information acquisition as well as a larger pool of resources, all which are crucial in the planning. In forming the discussion groups, one should consider certain factors, e.g. similarity of interests, diversity in experiences and organizations. However, individuals can also follow the process in planning.

## Process from problem analysis to implementation plan



**Planning Tools** for the process are simple, easily available and affordable. They include,

- Cards of different colours, (c.f. white, yellow, red, light green and blue)
- Felt pens (different colours)
- Mounting papers,
- Adhesive tape (c.f. selo tape, masking tape), and
- Stickers (c.f. plasticine)

Why use cards as the basic tool? Because the cards can easily be moved to the appropriate positions in accordance with any format of analysis. It provides a more creative way of thinking. When you conduct the process with a small group or as an individual, any types of stationery are useful. Let's put a mounting paper on a wall and start the process!



## Writing on the card

-- Write one problem on one card. --

---

~~Data and technical  
backup unavailable~~

Technical backup  
unavailable

No data

-- Use Key words and not long sentences --

---

~~My Institution has no con-  
tacts with the headquarters  
because we have fewer  
vehicles for transport~~

No contacts with  
headquarters.

Less transport  
available.

-- Use clear, large and legible fonts --

---

~~No contacts with headquarters~~

No contacts with  
headquarters

-- Use simple and plain wording --

---

~~Lack of adequate  
number of vehicles  
and bicycles~~

Inadequate transport



# Problem analysis

The steps in the problem analysis enable us to identify the problems with their root causes comprehensively. They also help to assess relationships between the problems and to determine the ease and timescale necessary to address the problem against the set goal. The sequence of the steps followed below assist to make the root cause clearer. Eventually, the planer is able to prioritize on the most critical and relatively easy to implement. At the end of the problem analysis, possible solutions are proposed.

## Step 1 Let's determine the goal of the plan

Let's determine *the goal* of the plan. Policy concept and your experience in previous achievements will guide the setting up of the goal. Then, write the goal on a card and stick it on the top of the mounting paper.

## Step 2 Let's identify the problems comprehensively

Let's identify *the problems* against the achievement of the goal comprehensively. Brainstorm on all types of problems related to the achievement of the goal. Then, write the problems on the cards.

Low adoption  
of agroforestry  
techniques

Inadequate  
management skill

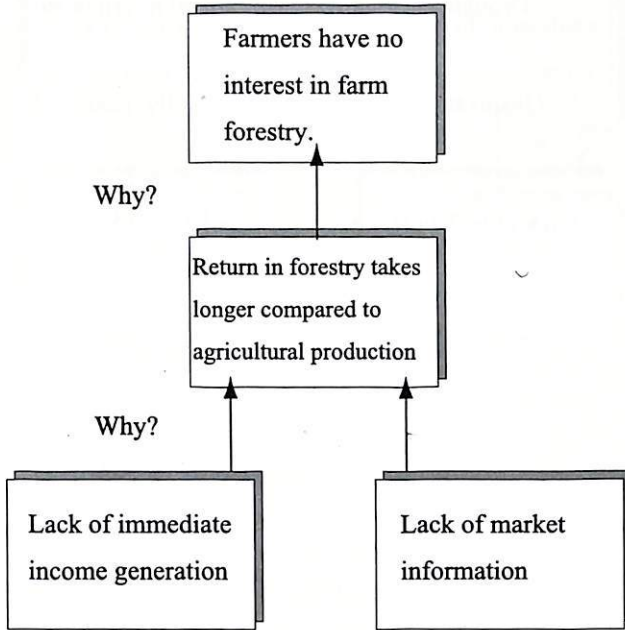
## Step 3 Let's think about the root causes of the problems

Let's think about *the root causes* of the problems in question by answering the question –why? Write each cause on a separate card. The written problem may be the obviously observable symptoms that appear on the surface.

**Step 4**

Let's consider how problem and causes relate to each other

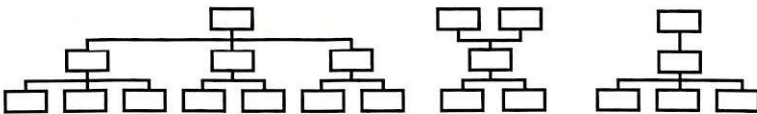
Let's consider how problem and causes relate to each other. Identify causes of each symptomatic problem and try grouping them together. The problem and causes could be related to each other in form of a flow chart. If so, rearrange the written problems and causes until the root cause is identified. Indicate the relations with arrows. The card at the bottom of the chart usually indicates the root cause.

**Step 5**

Let's stick the problem cards on the mounting paper

Let's stick the problem cards on the mounting paper, once the problems including the causes have been clearly written on the cards.

Goal: xxxxxxxx





**Step 6****Let's consider whether each problem is technically solvable**

Let's consider whether each problem is technically solvable or unsolvable. If it is solvable, it is a subject to be overcome technically. Then, indicate it on the cards.

Drought

Unsolvable

Political interference

Technically unsolvable

Lack of technical  
package

Solvable

Lack of marketing  
information

Solvable

**Step 7****Let's consider time scale in case of each solvable problem**

Let's consider time scale in case of each solvable problem. It is recommended that *Solvable-Short term* be solvable within a plan period, and *Solvable-Long term* be solvable however not within the period. If it is in short term, it is a subject to be overcome during the plan period. Then, indicate it on the cards.

Poor seed  
germination

Solvable -Short term

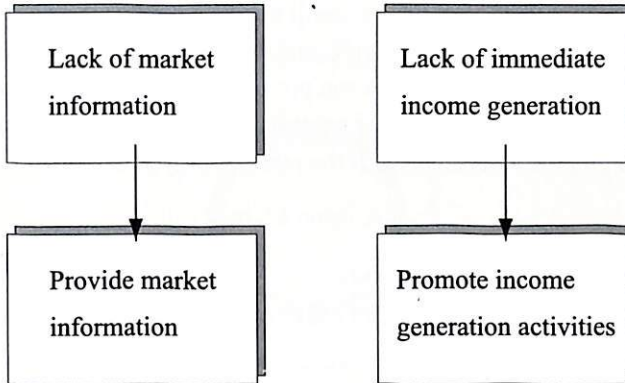
Culture and attitude  
change

Solvable- Long term

## Step 8

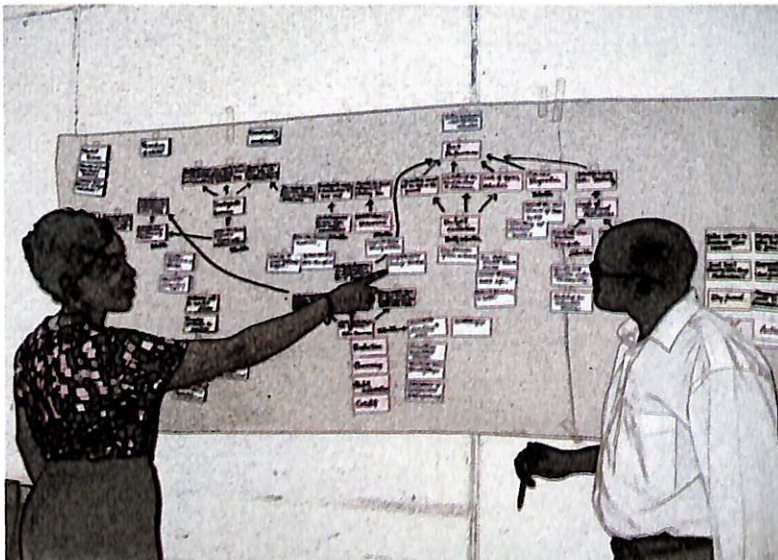
Let's give the solutions to the problems solvable in short term

Let's select the problems solvable in short term, and give *the possible solutions* to the selected problems. The solutions given could be one of the core activities of the plan. Then, write it on a card of different colour and stick it next to the problem selected.



This is the end of the problem analysis. Problems against the goal, the relationships, the ease, the timescale, and the possible solutions, in other words, proposed activities, have been identified.

Let's put a new mounting paper on the wall!



# Player analysis

The steps in the player analysis are to identify the players, their roles and the main interest or priority alongside the level of contribution of each player. Some of the players may contribute significantly in achieving the goal. Identifying players and their interests enables planners to assess the benefits or advantages of the plan can present for each player. This step points to the possible gaps in interest of players and ensure commitment of the players before implementation starts. The step saves on time and resources if the relevant players are involved from the onset.

## Step 1 Let's prepare the format

Let's prepare the following format on a mounting paper and put it on a wall.

Player	Role	Interest/ Priority	Existing Resources			

## Step 2 Let's identify the players who should be involved

Let's identify *the players*, who should be involved in the implementation of the plan. Then, write the name on a card and stick them on the left side of a mounting paper. If you can also identify the specific name of the position or division, indicate it also on the card.



### Step 3 Let's specify the role(s) of each player

Let's specify *the role(s)* of each player for the implementation. Then, write the role(s) on a card and stick it next to the player's card.

### Step 4 Let's identify an overall manager or coordinator

Let's identify *an overall manager or coordinator* out of all the players. Then, indicate it on the card.



### Step 5 Let's identify the interest or priority of each player

Let's identify the specific *interest or priority*, which each player will have. Then, write it on a card and stick it next to the card of the player's role.

Player	Role	Interest/ Priority	Existing Resources			
Forest Dpt. H.O.	xxx	xxx				
District Forest Office	xxx	xxx				
Farmer Group	xxx	xxx				
NGO (xxxx)	xxx	xxx				
Development Partner (xxxx)	xxx	xxx				

Tree planting
---------------

Income generating
-------------------

This is the end of the player analysis. Players, their roles, their interests and priorities, a manager or coordinator have been identified. Let's continue to use the same mounting paper for the next stage! .

# Resources analysis

The steps in the resource analysis are to determine the required resources and identify the existing ones with an indication of where to find the resources.

For this purpose, analysis of available resources is crucial. The planners should understand how much resources exist and where it is situated in order to decide what resources are needed, how much is available and how much to contribute, share or even borrow. The bottom-line at this level of the process is to pool resources since limitation is usually experienced in terms of technical packages, funds, technology, data, information as well as infrastructure and communication.

The planner should identify what each player can contribute and where possible to what extent or amounts. The approach reduces significantly duplication of activities and ensures that resources are well focused and are not thinly spread on the ground. The sum effect of this work maximizes output and concentrates impact to a more tangible level.

## Step 1

### Let's identify resources required for the implementation

Let's identify the items of resources required for the implementation comprehensively. If possible, specify quantity and quality of each item. Then, write each item on a card and stick them next to the player's interests or priorities..

Player	Role	Interest/ Priority	Existing Resources				
			Technical Package	Human Resource	Transport	Materials	xxxx
Forest Dpt. H.Q.	xxx	xxx					
District Forest Office	xxx	xxx					
Farmer Group	xxx	xxx					
NGO (xxxx)	xxx	xxx					
Development Partner (xxxx)	xxx	xxx					

## Step 2 Let's identify resources existing

Let's identify what kind of, and how much resources are existing now by each item and by each player. If possible, specify the name, the number and the condition. Then, write them on a card by item and by player, and stick them next to the required resources.

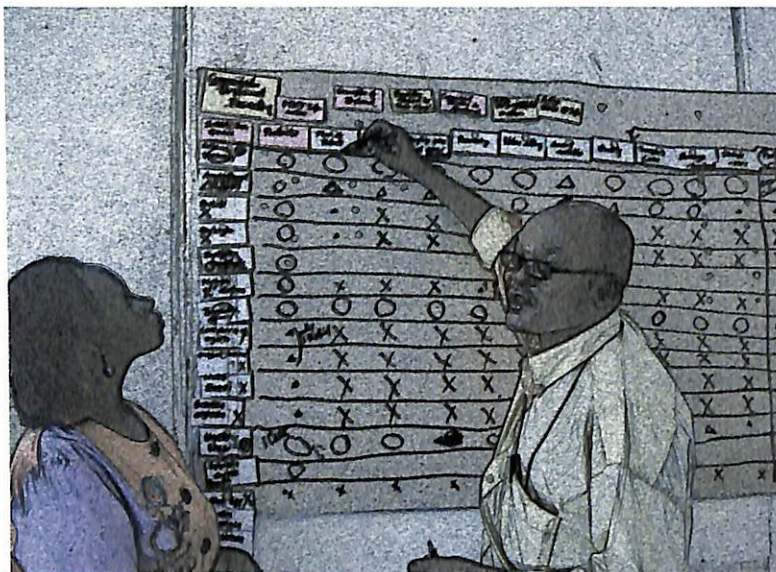
Player	Role	Interest/ Priority	Existing Resources				
			Technical Package	Human Resource	Transport	Materials	xxxx
Forest Dpt. H.Q.	xxx	xxx	xxx				
District Forest Office	xxx	xxx		xxx	xxx	xxx	
Farmer Group	xxx	xxx		xxx			
NGO (xxxx)	xxx	xxx				xxx	
Development Partner (xxxx)	Farmer Field School (FFS)			10 Groups 100 members			xxx

This is the end of the resource analysis. Items of resources required, the quality and quantity, existing items, the quality and quantity have been identified. Let's continue to use the same mounting paper for the next stage!



Let's try the other types of analysis format

You can develop the other types of the format for the analysis with cards. Such as, the right figure shows the example of the format for the Resource Information Analysis. The format clarifies what kind of and how much of the required information have been collected. Let's try!



# Gap analysis

The steps in the gap analysis are to identify how each player's interests, priorities and resources relate to each other and specifically to the goal. One should always bear in mind that players have varied interests, priorities and approaches although addressing the same problem.

During the gap analysis, the planner should consider the level and differences between existing and required resources. He/she should determine the shortcomings and bottlenecks that require additional resources. One should take into account required resources vis a vis amounts available, extent and distribution of the existing resources among players as well as expected impacts.

The aim at this stage is to identify areas where interests, perspectives and operations merge so as to concretize sharing of roles and responsibilities determined during player analysis. The step would assist in narrowing the possible gaps in players and resources. It enhances steady and stable implementation of critical activities while maximizing on shared inputs.

## **S**tep 1 Let's consider how player's interests and priorities relate

Let's consider how each player's interests and priorities relate to each other and specifically to the goal. The plan should provide some benefits to all the players. Is there any discrepancy among the players? If you find discrepancy, that is one of the Gaps. Write it on a card in different colour and stick it next to the player's card.

## Step 2 Let's find the possible solution to the discrepancy

Let's find *the possible solution* to the discrepancy. If you can not find the solution, you may not get enough cooperation from this player. Write the solution on a card in different colour and stick it next to the discrepancy card.

Player	Role	Interest/ Priority	Existing Resources				
			Technical package	Human Resource	Transport	Materials	xxxx
Forest Dpt. H.Q.	xxx	xxx	xxx				
District Forest Office	xxx	xxx		xxx	xxx	xxx	
Farmer Group	xxx	xxx		xxx			
NGO (xxxx)	xxx	xxx				xxx	
Development Partner (xxxx)	xxx	xxx					xxx

Income generating

No IGA  
in previous plan

Promote private  
nursery

## Step 3 Let's consider whether the existing resources are well allocated

Let's consider whether the existing resources are *well allocated* compared to the required resources. If not, identify what is missing. That is one of the gaps. Write it on a card in different colour and stick it next to the player's card.



Player	Role	Interest/ Priority	Existing Resources				
			Technical package	Human Resource	Transport	Materials	xxxx
Forest Dpt. H.Q.	xxx	xxx	xxx				
District Forest Office	xxx	xxx		xxx	xxx	xxx	
Farmer Group	xxx	xxx		xxx			
NGO (xxxx)	xxx	xxx				xxx	
Development Partner (xxxx)	xxx	xxx					xxx

No pick-ups for  
material movement

Pick-ups of at least  
5 ton capacity

This is the end of the gap analysis. The relationships between each player's interest and priorities, the issue to address, resource allocation and the missing resources have been identified. We will use a new mounting paper for the next stage!

# Drafting of implementation plan

The steps in the drafting of implementation plan help to identify compulsory activities for the achievement of the goal, prioritize and categorize main and sub activities, assign roles and responsibilities to the appropriate players taking into account existing resources and balancing between interests, time schedule and volume of activities. The stage allows for consideration of additional resources, workability of the plan and the assessment of alternatives. Each level of the planning process allows the plan to identify the actual point that requires intervention.

To achieve the above, it is necessary to organize with clarity and ease the information generated through the various steps of the analysis process. The ultimate test of an effective plan is the ease with which implementation of each intervention flows.

## Step 1 Let's prepare the format and set the goal

Let's prepare the following format on a mounting paper and put it on a wall. Then, set the goal of the plan.

Goal : xxxx

Major Activities	Players	Interest/ Priority	Existing Resources	Sub - activities	Implementation Schedule		Remarks
					1st year	2nd year	
GAP							

## Step 2 Let's identify indispensable major activities to achieve the goal

Let's identify indispensable *major activities* to achieve the goal. Results of the problem analysis will guide the identification of the activities. Then, write them on the card and stick them in the blank column of the major activities.

Training of nursery establishment

Provision of land for demonstration

## Step 3 Let's identify the players for each activity

Let's identify *the players, their interests and priorities* for each activity. Then, write the players on a card and stick it in the blank column of player.

Forest Department

Farmer Group

## Step 4 Let's identify the existing resources for each activity

Let's identify *the existing resources* for each activity. Then, write the resources on a card and stick it in the blank column of the resources.

Goal : xxxx

Major Activities	Players	Interest/Priority	Existing Resources	Sub - activities	Implementation Schedule		Remarks	
					1st year	2nd year		
xxx	xxx	xxx xxx	xxx xxxx			Facilitator		
xxx	xxx	xxx xxx	xxx xx					
xxx	xxx	xxx	xxx xxx					
GAP	Forest Department		Farmer Group			Land		



## Step 5 Let's identify the sub-activities for each major activities

Let's identify *the sub-activities* for each major activity. Then, write them on the blank column of sub-activities.

## Step 6 Let's consider the time scale and the order among the activities

Let's consider the time scale and the order among the main and sub activities and draw them on the blank column of implementation schedule.

## Step 7 Let's consider additional players and resources required

Let's consider whether each of the proposed activities can be implemented with the identified players and the existing resources. If not, consider and write *the additionally required players and resources* on the cards in different colour and stick them in the black column of GAP.

Goal : xxxx

Major Activities	Players	Interest/ Priority	Existing Resources	Sub - activities	Implementation Schedule		Remarks
					1st year	2nd year	
xxx	xxx	xxx xxx	xxx xxxx	xxx xxx	— —		
xxx	xxx	xxx xxx	xxx xx	xxx xxx		— —	
xxx	xxx	xxx	xxx xxx	xxx xxxx		—	xxx
GAP	xxx	xxx xxx					

Pick-up for transportation

## Step 8 Let's consider the possibility of additional players and resources required

Let's consider whether the additionally required players and resources are possible to get. Indicate it (yes 'O' or no 'X') on the cards. If the subjects of 'no (X) card' are must for the implementation of the activities, the activities can not be completed.

### Step 9 Let's consider the options or additional activities to be covered

Let's consider *the other options or additional activities* to cover the 'no (X) card'. If you can not find any, consider to scale down the activities. Then, write the amendment on the mounting paper.

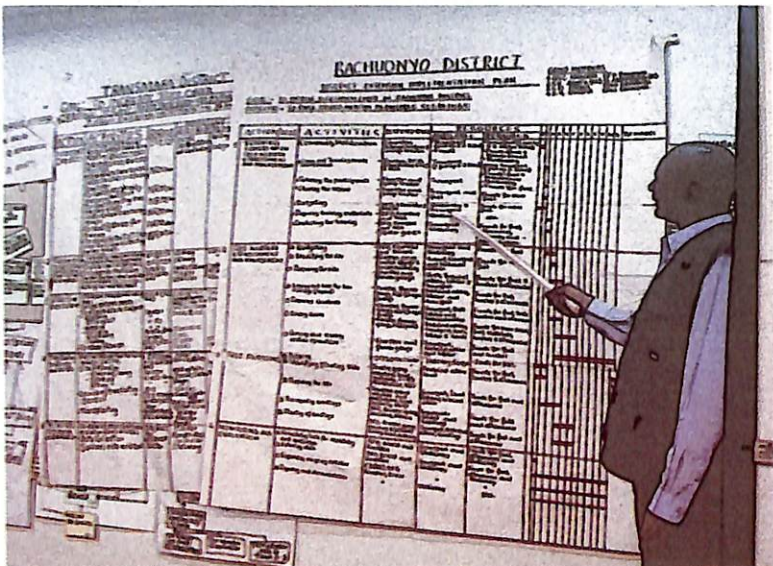
### Step 10 Let's take an overview the whole time schedule

Let's take an overview the whole time schedule of the major activities and sub-activities. Is it feasible? If not, let's improve the workability.

### Step 11 Let's evaluate whether the proposed goal could be achieved

Let's evaluate whether the proposed goal could be achieved with the proposed activities, sub-activities and the time schedule. If not, try to improve them again. If not possible, scale down the proposed goal with the proposed activities, sub-activities and the time schedule.

This is the end of the drafting of implementation Plan. How the implementation can be executed with the players, resources and time scale have been drawn. The next steps are the trials of the implementation, monitoring and evaluation. Finally, the revision of the plan will be followed. This could be helpful for you to formulate a workable plan and to implement it more operationally. Thank you for joining us!



## Author's profile



### Yuichi Sato

Yuichi is currently working for the Kenyan Forest Department, as the ISFP Chief Advisor and a forest policy expert. He is a forester and has a long and wide experience in forest planning, operation and project management in the Japanese Forest Agency where he served for 20 years and 6 years in the Indonesian Ministry of Forestry. His major interest is in forest policy development.

### John Mathenge Ngatia

Mathenge is a conservator of forests (MSc, PGD, BSc) currently working in the Farm Forestry and Extension Branch at the Kenyan Forest Department headquarters. Previously he has been involved extensively in project planning and implementation as well as community mobilization for economic resource use, such as Belgian funded project (IN-RMU). His main interests are in natural resource management through participatory approaches, capacity building and piloting on policy concepts.





