

Planning theory 1

Module 1 :

Definitions of theory in general; Definitions of planning theory including theory of planning, theory in planning and theory about planning; Definition of paradigm and its various stages of development by Kuhn; Significance of planning theory; Espoused theories and theories in use.

DEFINITION OF THEORY

- ★ A set of principles on which the practice of an activity is based.
- ★ A system of ideas intended to explain something, especially one based on general principles independent of the thing to be explained
- ★ A formal statement of the rules on which a subject of study is based or of ideas that are suggested to explain a fact or event or, more generally, an opinion or explanation.
- ★ Scientifically acceptable general principle or body of principles offered to explain phenomena.
- ★ “We define planning as a process for determining appropriate future action through a sequence of choices.”
(Paul Davidoff and Thomas A. Reiner)

Theory of Planning

- Different fields of planning begin to influence each other, suggests that planning is a general approach to decision-making and is not tied to the activities of any profession or department of government.
- A theory on which a policy is based may be perfectly valid in itself, and the policy still be invalid. Ex: Thus, some models may be a perfect way of allocating residential activities. Yet policies based on them sometimes run into difficulties because a local amenity group puts up a successful fight against expansion of their village. This concludes that the planner's responsibility is to bring the governmental policies and the people together so as to make the 'theory of planning' work.

1. Normative Theory : normative theory is concerned with how planners ought to proceed rationally.
2. Positive theory of planning : the existence of concepts and instruments for relating theory to empirical reality

Source:

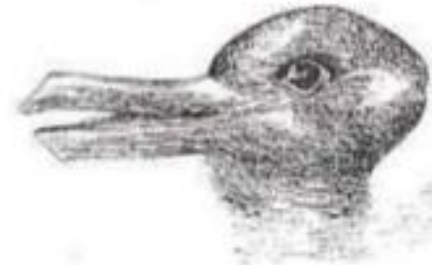
Book: A Reader in Planning Theory, Andreas Faludi

Planning : Planning is to bring scientific advice to bear on decisions concerning land and natural resources and the socio-economic impacts on these two, keeping in view societal well being.

Theories in planning	Theories of planning
<ul style="list-style-type: none">● This explains about the process of planning● This explains about tools and the techniques.● Tells us how to plan(models, concepts, techniques etc)● Ex:-CBA(Cost Benefit Analysis),projections, MCD(Multi Criteria Decision making)-land use planning	<ul style="list-style-type: none">● Explains the relationship between the planners and the citizens● Approach to analysis and goals(as planner)● Explains what to plan and why to plan● Ex:-PRA(Participatory Rural Approach),RRA(Rapid Rural Appraisal)

Definition of paradigm and its various stages of development by Kuhn

- Paradigm 'A framework of belief, usually applied to ruling theories of science'
- Paradigm shift 'A complete change from one paradigm to another, due to a major change in scientific thinking'
- The term was first used by philosopher Thomas Kuhn in his book 'The Structure of Scientific Revolutions' (1962)
- Kuhn used the duck/rabbit illusion to show how a paradigm shift could lead to you seeing the same information in a completely different way



What is a paradigm shift?

A paradigm shift is a way of looking at something differently.

We are stepping “outside the box”.

When we make a paradigm shift we can see, think, feel and behave differently.

Example:

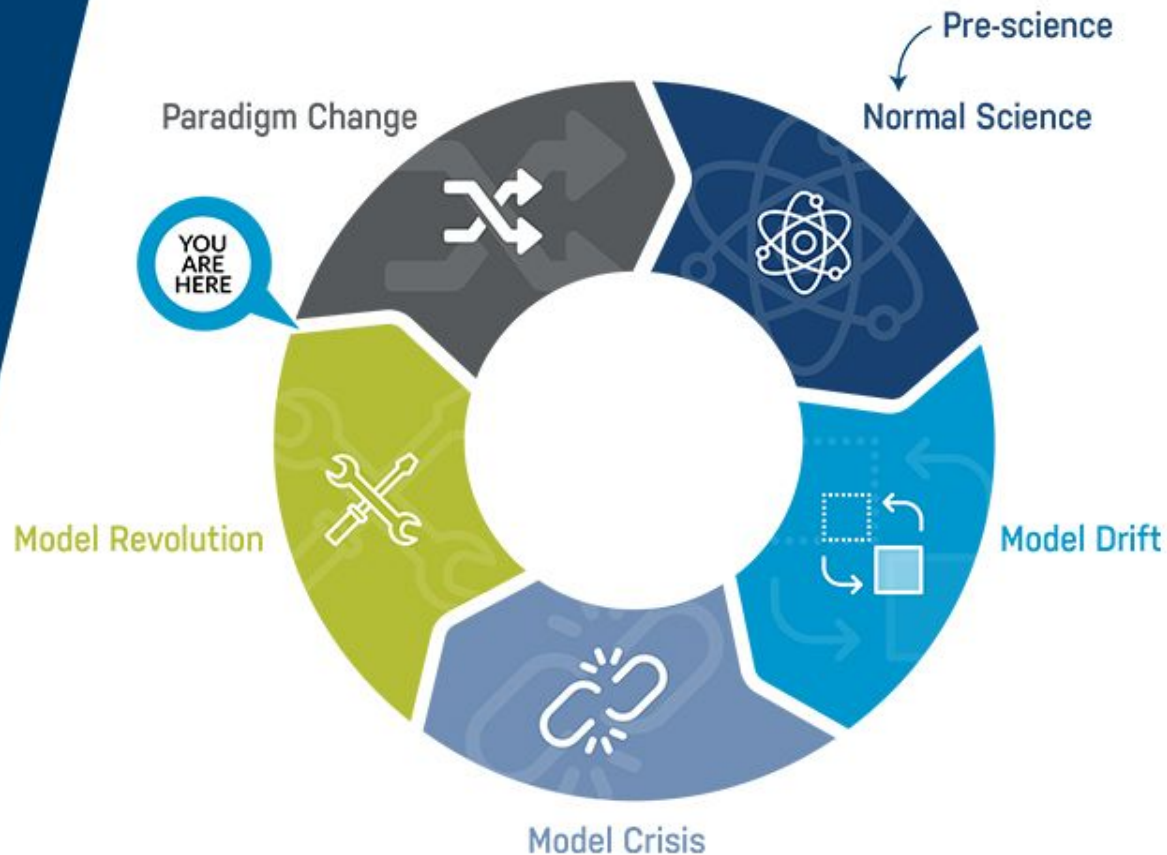
Ptolemy thought the earth was the center of the universe.

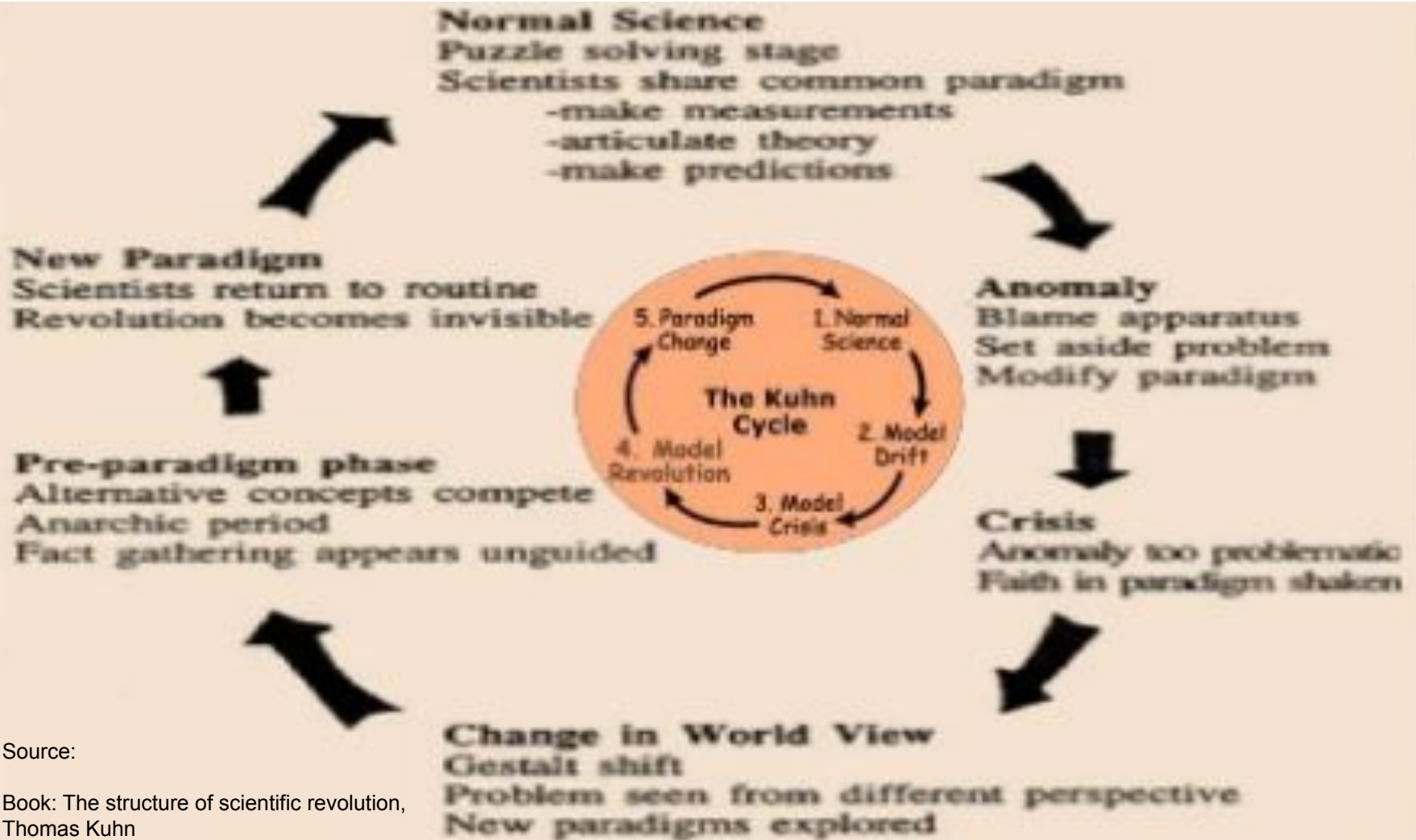
Copernicus believed the sun was the center of the universe. (a paradigm shift occurred)

Thomas Kuhn is most famous for his book [The Structure of Scientific Revolutions](#) (SSR) (1962) wherein he argued that science does not progress via a linear accumulation of new knowledge, but undergoes periodic revolutions that he called "[paradigm shifts](#)", in which the nature of scientific inquiry within a particular field is abruptly transformed.



The Kuhn Cycle





Source:

Book: The structure of scientific revolution,
Thomas Kuhn

Significance of planning theory

- The theories address different elements of planning in descriptive and normative ways.
- Economic theory, for example, is useful for understanding planning's role in addressing externalities and providing public goods
- Marxist theories of urbanization help us interpret urban phenomenon by understanding the workings of capital, but often don't provide guidance for action.
- Theories of communicative ethics provide guidance for discourse but can be naive about power.

Espoused theories and theories in use

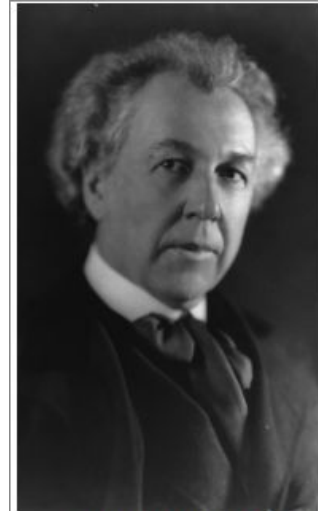
There are eight procedural theories of planning that remain the principal theories of planning procedure today: the rational-comprehensive approach, the incremental approach, the transactive approach, the communicative approach, the advocacy approach, the equity approach, the radical approach, and the humanist or phenomenological approach

Source:

https://faculty.kfupm.edu.sa/crp/alnaser/downloads/Planning_Theories_%20Siraj_Paper.pdf

Rational-comprehensive approach

- The early forms of Comprehensive Rational Planning could be described as "planner knows best" planning method.
- Planners develop a grand master plan and their view of what is ideal based on their way of thought is considered.
- Some early practitioners of Comprehensive Rational Planning are Frank Lloyd Wright and Ebenezer Howard.



Frank Lloyd Wright (Wiki)



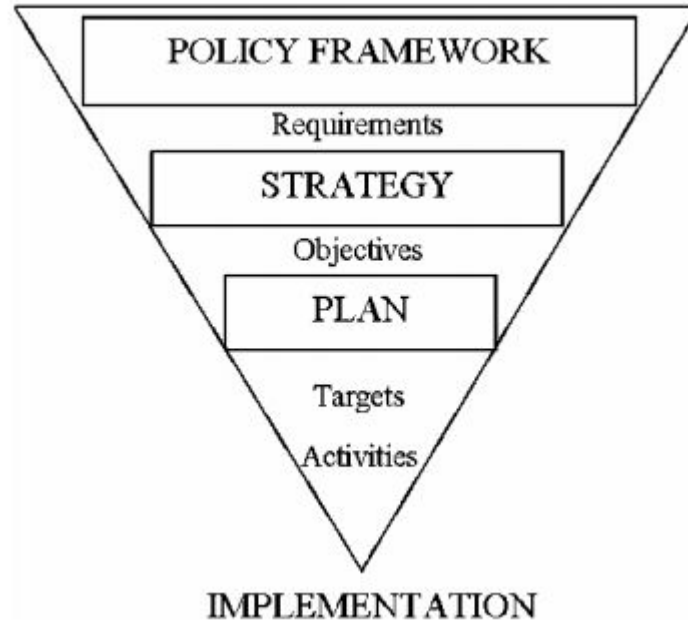
Ebenezer Howard (Wiki)

Rational-comprehensive approach

- The RCM (Rational Comprehensive Model) for planning owes its origins to Enlightenment epistemology (Sandercock, 1998; Allmendinger, 2002), as it is centred on decisions and principles that are based on reason, logic and scientific facts with little or no emphasis on values and emotions.
- Due to its tendency towards scientific method and its decision-making process, Faludi has termed it 'procedural planning theory'.
- Therefore, the planner learns from experience and can define the correct method or procedure to follow to get the correct result.
- Meanwhile Sandercock (1998) refers to the rational comprehensive model as 'technocratic planning' due to its emphasis on technical expertise and skills and its steadfast belief that technology and social science can be used to solve our problems.

Rational-comprehensive approach

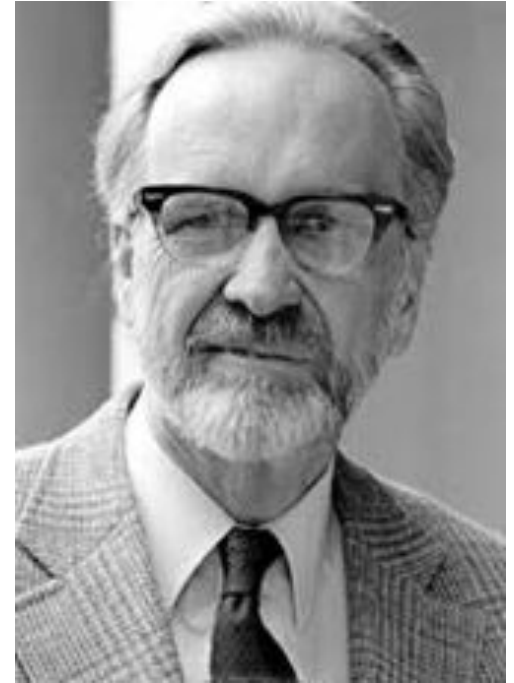
- In rational model the goals and objectives are set, policy alternative are defined and policy alternatives are evaluated at last policy alternatives are implemented.



Incremental planning approach

- Incremental planning is a pragmatic piecemeal approach to developing solutions to problems as they arise rather than planning for them in a comprehensive way as rational planning does.
- It is a means of satisficing, or settling, on a planning approach for a given problem following **Herbert Simon's** "principle of bounded rationality." The premise behind Simon's principle is that humans have a limited capacity for solving and understanding problems in comparison to the vast and expansive list of current and future obstacles that are trying to be resolved.
- As a result, we satisfice, "that is, settle for a course of action that is "good enough" for the purposes at hand (Brooks, 98)."

- Charles Lindblom developed the notion of Incrementalism that closely follows the principle of satisficing.
- According to Lindblom, rational planning was ineffective, slow, and costly in responding to unforeseen changes that often arise in the world of planning.
- Through an incremental approach, decisions can be made swiftly to address current needs and problems.
- In incrementalism, decisions are made through a set of limited comparisons or alternatives and involves less analysis, which in turn lowers decision making costs.



Transactive planning approach

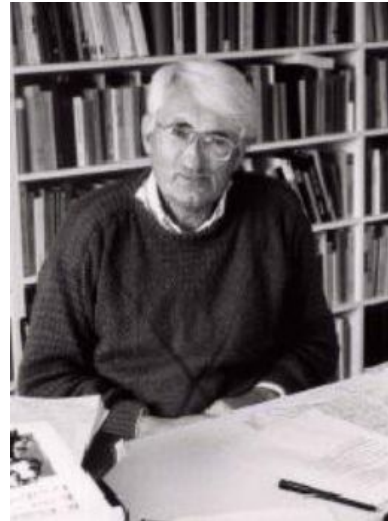
- John Friedmann (1973)
- Rejects planning approaches that view people/communities as 'anonymous target beneficiaries'
- Focuses on face-to-face contacts between planners and those affected (the people)
- More emphasis on collaboration, participation, dialogue and mutual learning than surveys and analyses
- Characterized by decentralized planning and institutions that enable people to have greater control over social processes
- Planner seen more as a Facilitator or Communicator and less as a Technician
- Effectiveness of Planning measured not merely in terms of what it does for people but also in terms of its effects on people



Communicative approach

- It questions the ends (goals) as a way to dig deeper in search for a more rational common place between the interested parties. This process facilitates the rise of questions on the issue, in hopes of better addressing deeper problems within the issue.

Jürgen Habermas born June 18, 1929 is a German sociologist and philosopher in the tradition of critical theory and pragmatism. He is perhaps best known for his theories on Communicative Rationality and the public sphere. Global polls consistently find that Habermas is widely recognized as one of the world's leading intellectuals.



Advocacy approach

- Advocacy Planning is a form of planning designed to place political power back into the hands of communities and neighborhoods that have lost it.
- As planners have knowledge and experience within the political realm, advocacy planning allows planners to provide advice to communities on a communal need and to represent these communities in the discussions with political leaders.
- An advocacy planner's main objective is to present planning regulations and information to ordinary citizens in order for the citizens to make a well-informed decision.

Equity approach

- Equity planning is a framework in which urban planners working within government use their research, analytical, and organizing skills to **influence opinion, mobilize underrepresented constituencies**, and advance and perhaps implement policies and programs that redistribute public and private resources to the poor and working class.

EQUITY

PROCESS

all groups have
access to the
resources and
opportunities
necessary to
improve the
quality of their
lives



OUTCOMES

differences in life
outcomes cannot
be predicted
on the basis of
race, class, or
other dimensions
of identity

Radical approach

- Radical planning is a stream of urban planning which seeks to manage development in an equitable and community-based manner.
- The seminal text to the radical planning movement is Foundations for a Radical Concept in Planning (1973), by Stephen Grabow and Allen Heskin.
- Grabow and Heskin provided a critique of planning as elitist, centralizing and change-resistant, and proposed a new paradigm based upon systems change, decentralization, communal society, facilitation of human development and a consideration of ecology.

Radical approach

- In 1987 John Friedman entered the fray with Planning in the Public Domain: From Knowledge to Action, promoting a radical planning model based on “decolonization”, “democratization”, “self-empowerment” and “reaching out”.
- Friedman described this model as an “agropolitan development” paradigm, emphasising the re-localisation of primary production and manufacture.
- In “Toward a Non-Euclidian Mode of Planning” (1993) Friedman further promoted the urgency of decentralizing planning, advocating a planning paradigm that is normative, innovative, political, transactive and based on a Social learning approach to knowledge and policy.

Sustainability, Rationality and Globalization

Sustainability and rationality in planning; Components of sustainable urban and regional development; Globalization, internationalization, modernism and postmodernism debate; Pragmatism in planning; Regime theory and urban politics.

Planning and pragmatism: an introductory outline particularly involving the elimination of goal achievement in the planning process

Derek HALL

Towards Greater Pragmatism in planning:

A Growing Challenge for Planners

(a Short Paper)

Pragmatism in planning

- In 1975 William J Meyer published a book entitled Public Good and Political Authority: A Pragmatic Proposal (Meyer, 1975). (“Public Good” is a synonym for ‘particular public interest.’)

Meyer's Account of Pragmatism

From Meyer, the following points and issues can be identified:

1. Pragmatists seek to establish beliefs about the real world. This may cover facts and values; the present, the likely future; courses of action to influence and modify the future; and the consequences of taking such action.
2. As an important preliminary point concerning pragmatism, and relevant to planning, Meyer says that in attempting to get at truth, and to make judgments about it, two sides of us are at work, one logical and intellectual, and the other “passional.”

Pragmatism in planning

- “The former can be ‘coerced’ by brute facts to the point where our passions can add little to, and certainly not resist, the intellect’s firm grasp of things”. If you cannot make a decision intellectually, you must use your “passional” nature.
- 3. A proposal for a belief is a hypothesis; and a hypothesis selected from alternatives is an option. An option may be live or dead, forced or avoidable, and momentous or trivial. A genuine option is live, forced, and momentous. Whether related to facts, values, or action, unless the option is live, it is unrealistic; if it is avoidable it is unlikely to be pursued; and if it is trivial it is not likely to be worth pursuing.
- 4. Possible alternative motivations are to seek the truth, or avoid error (in effect, to do nothing). The latter is often undesirable because opportunities for improvement are missed, and you have less control over your destiny (akin to being fatalistic).

Pragmatism in planning

- 5. The pragmatic situation is where there are genuine options available, and the pragmatic spirit is to seek the truth.
- 6. Meyer invokes pragmatism for his method of ascertaining and dealing with the public interest, but this illustrates the use of the method generally and most points apply regardless of whether or not you are considering public interest.
- In his explanation, Meyer adds to 'public' and 'interest' the quality of the public interest involving genuine options, and brings in other concepts of pragmatism as well as hypotheses and options: belief and truth, doubts, logical/intellectual and passional decisions, the pragmatic situation, the pragmatic spirit, 'risk-taking,' experimenting, the avoidance of "vicious intellectualism" and "vicious abstractionism," ideas-in-use, ends-in-view, knowing and acting; testing beliefs - and verification, or revision and correction of mistakes; the idea that you "set out" from your starting point with all of your existing knowledge and a state of mind.

Pragmatism in planning

This item 6 partly corresponds to what is covered in the foregoing items 1-5, but also introduces some additional concepts:

- (a) Doubts
- (b) 'Risk-taking'
- (c) Experimenting
- (d) The avoidance of 'vicious intellectualism' and 'vicious abstractionism.'
- (e) Ideas-in-use
- (f) Ends-in-view
- (g) Knowing and acting
- (h) Testing beliefs – and verification, or revision and correction of mistakes
- (i) 'Setting out' from a starting point with all your existing knowledge and a state of mind.

7. Fact and value are dealt with in a pragmatic way.

Need for Evaluation

Evaluating Programs and Plans

- In the public sector, evaluation plays an important part in policy- and plan-making processes.
- Both processes follow a problem identification and definition phase, formulation phase, implementation phase, and evaluation phase.
- Evaluation is about determining how successful an intervention has been and the identification of areas for improvement (Pal 2014).
- It is a structured process that aims to create and synthesize information about interventions in order to make judgments regarding resultant changes
- Government interventions can take many forms. Programs and plans are two common yet distinct tools used by public sector organizations to achieve their objectives. Programs are used to actualize fairly abstract and general policies.
-

Need for Evaluation

- Programs are generally thought of as means-ends whereby resources are transformed into activities to produce an intended outcome (McDavid and Hawthorn 2006). For example, a municipality might have a policy to reduce waste in landfills. To achieve this policy objective, a recycling program could be implemented. While the scale at which programs operate can vary—for example, international, national, or local—they include a defined set of activities needed to achieve an objective

What are plans ?

- Plans play a prominent role in planning. Plans are considered the main “printed currency” of the planning profession. Plans can act as, among other things, a vision, blueprint, or land use guide for a community (Baer 1997; Ryan 2011).
- Plans can act as, among other things, a vision, blueprint, or land use guide for a community (Baer 1997; Ryan 2011). Plans can be broader than programs because they offer a vision for future development; they contain facts, goals, and policies that translate a vision into a physical development pattern (i.e., they contain a spatial element); and they address multiple community concerns such as climate change and the effort to create complete communities (Berke et al. 2006).

Need for Evaluation

What is Program?

- Programs can be part of plan implementation strategies. For example, a community might have a plan that is intended to direct development to specific areas in a community. In order to achieve this, a growth management program, which provides incentives to attract development or disincentives to dissuade development, might be introduced to implement the overall goal of the plan. It is important to note that plans are evolving instruments that must undergo continual revisions and updates in order to remain relevant to changing needs, knowledge, and experiences (Brody 2003).

Need for Evaluation

What is Evaluation ?

- Evaluation play a critical role in ensuring the applicability and relevance of both plans and programs.
- Program evaluation can be broadly defined as the “systematic assessment of the operations and/or outcomes of a program, compared to a set of explicit or implicit stands, as a means of contributing to the improvement of the program” (Weiss 1998, 4)

Key Aspects:

- First, program evaluation requires a systematic assessment that is governed by acceptable social science research methods (Rossi, Lipsey, and Freeman 2004). Evaluation is considered an empirically oriented discipline that generates information about programs in order to improve the program or guide future decisions (Pal 2014).

Need for Evaluation

- Second, there is an emphasis on both program operation and outcomes. That is, evaluation is not only concerned with program effectiveness but also the process of delivering programs such as the organizational methods used to deliver the program, program inputs (e.g., resources), program outputs (e.g., tangible measures of a program), and cost effectiveness (Howlett, Ramesh, and Perl 2009). Finally, program evaluation is used to help make programs work both efficiently and effectively (Weiss 1998), and as a means to ensure accountability and quality assurance (Cousins et al. 2014; Pal 2014).
- There are **two main types** of program evaluation—**formative and summative**. Evaluations that focus on improving the performance of a program are known as formative. A formative evaluation provides feedback in order to improve the outcomes of programs or to increase its efficiency (McDavid and Hawthorn 2006; Posavac and Carey 2007). Formative evaluations generate information to influence immediate decisions about a program, such as improving component parts and processes (Shadish, Cook, and Leviton 1991).
- Evaluations that focus on outcomes are known as summative and occur once a program is complete or substantially complete. Summative evaluations provide information to decision makers regarding whether a program has achieved its stated goals or is worthwhile to continue (McDavid and Hawthorn 2006; Posavac and Carey 2007; Shadish, Cook, and Leviton 1991).

Evaluation Approaches

Table 1. Major Approaches to Program Evaluation.

Philosophical Framework	Key Values Promoted	Key Audience	Preferred Methods
Postpositivism	Effectiveness, efficiency, causal knowledge	Decision makers	Quantitative: experiments and quasi experiments, cost–benefit analysis
Pragmatism	Management, practicality, quality control	Program managers, administrators, and other decision makers	Surveys, questionnaires, interviews, observations
Interpretivism	Pluralism, understanding, diversity	Program staff, program beneficiaries	Qualitative: case studies, interviews, document reviews
Critical, normative science	Emancipation, empowerment, social change	Program beneficiaries and other “powerless” groups	Participatory: stakeholder participation in qualitative and quantitative designs

Source: Adopted from Greene (1994).

Evaluation Approaches

Table 2. Normative Approaches to Program Evaluation.

Evaluation Approach	Description
Participatory evaluations	Involves the stakeholders of a program in the evaluation process. Stakeholders can be involved during any phase of the evaluation process—evaluation design, data collection, data analysis, and communication. The advantages to this process are that it empowers stakeholders, builds their capacity, and identifies locally driven issues to be explored.
Empowerment evaluations	Involves providing communities with the tools and knowledge that allows them to monitor and evaluate their own performance. The advantage of this process is that it builds community buy-in, which allows for greater evaluation use.
Collaborative evaluations	Involves building a relationship between the evaluation team and program staff with the goal of building the capacity of program staff to use evaluation results and promote program improvement. The advantage of this process is that it leads to customized evaluation designs, which reflect the nuances of the program being evaluated. It also allows for greater buy-in among stakeholders.
Developmental evaluations	Involves providing real-time, or close to real-time, feedback to program staff, thus facilitating a continuous development loop. This is useful in highly complex, ever-changing environments.

Source: Fetterman (2004), Rodriguez-Campos (2012), Patton (2011).

Evaluation in Planning

- There are two general forms of evaluation in planning: (a) plan evaluation (i.e., plan quality evaluation, plan implementation evaluation, and plan outcomes evaluation) and (b) planning evaluation (i.e., the evaluation of planning processes and of planning practice).
- While evaluating planning involves determining whether the planning process was effective, evaluating plans and their outcomes involves assessing the quality of the plan, the success of plan implementation, and the achievement of plan goals and objectives (Morckel 2010). These forms of evaluation are similar to program evaluation because they seek to improve decision making yet differ because of their emphasis on the plan, how it is created, and the outcomes generated by the plan.
- There are generally three types of evaluation in planning:
- **plan preparation:** plan preparation evaluation occurs when one solution or strategy that best addresses the planning issues, plan goals, implementation, and plan revision, objectives is chosen from among alternative proposals (Khakee 2003). plan preparation evaluation involves defining plan objectives, examining solution options, assigning costs and benefits, and anticipating outcomes (Roberts 2006).

Evaluation in Planning

- Ongoing evaluation occurs during plan implementation and focuses on the identification of initial plan outcomes as the plan implementation process evolves (Oliveira and Pinho 2010a). With ongoing evaluation, appropriate indicators have to be identified and monitored regularly to determine whether adjustments should be made to ensure successful implementation.
- **Implementation**: implementation evaluation is used once the plan is implemented and matured to determine whether the plan achieved its stated goals and objectives, and to use knowledge to improve subsequent planning efforts (Laurian et al. 2010; Khakee 2003). implementation evaluation models include conformance and performance-based approaches.
- **plan revision** : evaluation is used once the plan is implemented and matured to determine whether the plan achieved its stated goals and objectives, and to use knowledge to improve subsequent planning efforts (Laurian et al. 2010; Khakee 2003). plan revision evaluation models include conformance and performance-based approaches. A conformance-based evaluation considers whether plan goals and objectives have been realized. Evaluators focus on the outcomes of plans by examining the linkages between plans and actual development (Laurian et al. 2004). In conformance-based evaluations, plans are considered blueprints whereby plan goals translate into policies to be implemented, and thereby address a problem and yield expected outcomes (Berke et al. 2006; Laurian et al. 2010)

Evaluation in Planning

- Cost-benefit analysis (CBA) was the dominant evaluation method for many years because of its ability to measure the incidence of benefits and costs generated by a plan in monetary terms (Alexander 2006b). While an influential analytical tool in specific circumstances (i.e., technical decision making), planning practitioners found the monetary value and market orientation of CBA too restrictive.

Conclusion

- Evaluation is founded on the principles that government interventions need to have demonstrable benefits and that decision makers must be held accountable for their actions. In the realm of planning, evaluation is used to assess plans, the planning process, and the outcomes generated by plans, while taking into consideration the institutional context within which planning operates. This is different from program evaluation, which has a broader focus that extends into many fields such as health, education, and social services.
- Finally, research about the uses of evaluation in planning practice is needed. This includes exploring the institutional and political contexts that influence the use (and misuse) of evaluation. In order for researchers and planners to develop appropriate evaluation methodologies, a better understanding of the factors that support and inhibit the use of evaluations in practice is needed.

Complete Fifth module http://www.emcdda.europa.eu/attachements.cfm/att_5863_EN_1_planning_evaluations.pdf

<https://www.mdpi.com/2071-1050/6/7/4246/pdf-vor>