Ecosystem of Planning Definitions & Hierarchy:
Including Placemaking

"The Wauwatosa Papers #2"

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Background

On July 27, 2017, University of Wisconsin Professor Emeritus Steven H. Grabow and University of Wisconsin-River Falls Specialist Todd W. Johnson met in Wauwatosa, Wisconsin with the purpose to draft a formal and a working definition of community placemaking grounded in the fields of urban design, community development, and planning. As part of that investigation, it became clear that community placemaking is part of a larger ecosystem of planning. In order to provide fundamental concepts and definitions related to planning and change processes within the context of community placemaking, Grabow and Johnson developed the following objectives.

<u>Objectives</u>

- To provide a base understanding of key concepts and definitions of planning from a research based perspective.
- To share these concepts and definitions, in a hierarchical framework, to those interested in the understanding and application of foundational "change process" concepts and definitions.
- To build on these concepts with the creative placemaking community.
- To introduce University of Wisconsin-Extension community development, planning and placemaking resources to a broader community of scholars and practitioners.
- Recognize that this is clearly an introduction of these concepts and definitions, and there is a prodigious research base behind this work.

Change Process Fundamentals

As a resource in providing assistance to community organizations and groups interested in positive community change and community development, the University of Wisconsin-Extension applies well-tested and research-based approaches and protocol for helping a community to take meaningful action. Using specific processes which are tailored to specific needs enables the "change agent" to be targeted in using the most effective process in placemaking activities. Research on community capacity building describes the importance of providing a framework for successful ways to lead change. A model for building community capacity recognizes the conceptualization of "purpose based actions" as a very useful framework for organizing and describing the approaches, strategies, skills, tools, and roles required in taking action and achieving results (Hinds, 2008).

Hinds identifies five primary purpose-based processes in leading purpose-based action and change. While an effective change agent and facilitator uses many different processes, these five fundamental purposeful activities or purpose-based actions have been adapted to guide and frame possible placemaking initiatives and these include: learning, research, planning and design, operating and supervising and evaluation. Knowledge of these five approaches and associated skills, tools and roles bolster the effectiveness of change agents and ultimately help communities achieve their intended purposes. Each of the five purposeful activities has a distinct process methodology or approach (Hinds, 2008).

In summary, community development and complex community transformation (called Transformational Education by University of Wisconsin-Extension) requires the integration of high end process (purposeful activities or purpose-based actions) and high end content and community knowledge. These powerful framework ideas have been adapted as a way to organize and describe ways to lead placemaking initiatives (Grabow, 2016). The application and examples of placemaking activities are summarized as:

<u>Purposeful Activities</u>

- Community Learning Activities
- Community Research/Assessment Activities
- Community Evaluation/Assessment Activities
- Community Visioning and Planning Activities
- Combination of Activities

While this white paper emphasizes "planning and design" as its focus, this section on "change process fundamentals" is important context for overall understanding of placemaking (and creative placemaking) processes.

Roles in Community Development

University of Wisconsin-Extension resources identify roles for both the community development professional and community members in placemaking (Grabow, 2016). A role means performing a set of functions through a collection of appropriate connected behaviors. During the course of any community development program or project, the professional will likely play a variety of roles that may include diagnostician, teacher, content expert, applied researcher, evaluator, planner, project manager, team leader, conflict resolver, facilitator and more. In dynamic community development, the particular roles may also be played my members of the community. Essential early and up-front roles that typically involve the community development professional is the situation assessment or diagnosis, done in conjunction with community members, along with the careful process design for the most promising response to the situation.

Format of White Paper

This white paper meets its purpose and objectives by providing context around change process fundamentals and roles of key participants in community development. A very short list of definitions related to planning process is provided along with another brief list of planning named "types of planning". These planning process examples are listed in a general hierarchical fashion to illustrate the relationships among the various types of planning. To demonstrate the research base for this white paper, a bibliography and references are provided. And finally a detailed technical appendix and supportive resources that contains definitions, glossary of terms and other support documentation to this white paper is included. This white paper is not intended as a rigorous training document. Over the years, the University of Wisconsin-Extension has provided multi-day training sessions for many of the planning approaches listed (i.e. 4 day training on strategic planning, 3-day training on placemaking, series of training sessions on comprehensive planning, 2-day training on community capacity building, etc.).

Process Definitions

In order to establish a hierarchy of planning, Grabow and Johnson used the research literature to develop a set of hierarchal levels: model, approach, strategy, and skills & technique/tools/methods.

<u>Hierarchical Levels</u>

- <u>Mode</u>l: A descriptive representation of a system (Grabow, S. H., & Johnson, T. W. - Informal Workshop, 2017).
- <u>Approach</u>: A mode of conduct with a series of (process) steps directed toward achieving desired results (Hinds, 2008. Grabow, 2006).
- <u>Strategy</u>: Pattern of actions, initiatives, policies, and tasks that respond to community issues and community vision ideas. (Bryson, 2011)
- <u>Skills & Technique/Tools/Methods</u>: Specific means for which approaches are carried out. (Hinds, 2008)

Hierarchy

After reviewing the research literature, Grabow and Johnson arranged the models, approaches, methods, and strategies into a hierarchy or ecosystem of planning definitions.

- <u>Community Vitality</u>: Model for community development (Community Vitality and Placemaking Team (CVP) Team, 2014).
- <u>Community Development</u>: Defined as a planned effort to produce assets that increase the capacity of residents to improve their quality of life. (Green and Haines, 2007)
- <u>Planning</u>: Approach for creating or modifying a system (Nadler, 1981). Here are examples of types of planning:
  - o <u>System Planning</u>: Universal approach for planning with identified phases for clarifying purpose, people involvement considerations, description of ideal future system, and development of living solutions (Nadler, 1981; Nadler and Chandon, 2004; Hinds, Grabow, et.al. 2008).
  - o <u>Scenario Planning</u>: Targeted approach for system planning for highly-constrained conditions (Hinds, 2008, Grabow, S. H., & Johnson, T. W. - Informal Workshop, 2017)
  - o <u>Strategic Planning</u>: Approach for organizational planning. (Grabow, S. H., & Hines, D. 2015)
  - o <u>Community Planning</u>: Approach that develops visions, goals, strategies, policies, and guidelines intended to direct physical, social, economic development (and preservation) within a jurisdiction (Wisconsin Smart Growth Law, 1999. In Grabow, Hilliker, Moskal, 2006).
  - o <u>Comprehensive Planning (Wisconsin)</u>: Researched-based approach to community planning that incorporates some important steps from strategic planning (Grabow, Hilliker, Moskal, 2006)
  - o <u>Placemaking (University of Wisconsin-Extension)</u>: Research-based compilation of approaches, techniques and involvement processes prompted by principles of place (Grabow, 2016). Defined as people coming together to discover and express the unique and desired characteristics of their community setting. (Grabow, S. H., & Johnson, T. W. - Informal Workshop, 2017)
    - ▪ <u>Community Design Charrette</u>: Method of placemaking with specific activities for mobilizing the community using volunteer design experts (Grabow, S. H., & Johnson, T. W. - Informal Workshop, 2017)
    - ▪ <u>Creative Placemaking</u>: Strategy with people involvement emphasis on the prominent role of artists. (NEA, 2016) Several principles of community placemaking relate to notions of creative placemaking. (Grabow, 2016)

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Appendix 1: Planning Terminology

The following planning terms are often used by the University of Wisconsin-Extension.

- <u>Purpose</u>: The mission, aim, need, primary concern, function of or results sought from a system. A purpose is what the system is to accomplish, with no emphasis on how it is to be accomplished.
- <u>Mission</u>: A clarification of an organization's purpose, or why it should be doing what it does. An organization's mission is the foundation of its vision of success.
- <u>Values</u>: Beliefs; societal, organizational and individual aspirations; how you want to be viewed.
- <u>Strategic Issues</u>: Fundamental policy questions or critical challenges that affect an organization's mandates, mission and values; product, service level or mix; clients, users or payers; or cost, financing, organization or management.
- <u>Vision</u>: An object of imagination. A manifestation to the senses of something immaterial. In planning, the perception or imagining of a desired end state, as yet unachieved, and its expression in the form of a narrative description, picture, recording, plan, model, etc. Full vision statements describe the detailed, desired future state for several functions of the desired system. The University of Wisconsin-Extension has detailed curriculum on vision.
- <u>Vision of Success</u>: A statement of what an organization should look like and how it should behave as it fulfills its mission.
- <u>Strategy</u>: A pattern of purposes, policies, programs, actions, decisions or resource allocations that define what an organization is, what is does and why it does it? Strategies can vary by level, function and time frame. Strategies are developed to deal with strategic issues or move towards the vision.

Terms Used in Many Ways

- <u>Objectives</u>: 1) The "object" of a course of action; something to be worked for or striven toward. (2) The criteria for determining how well a value is achieved. Objectives and goals operationalize values for specific situations. (Some organizations interchange the meanings of goals and objectives.)
- <u>Goals</u>:   The performance levels or amount of an objective to be attained within a specific time and cost limits. Objectives and goals operationalize values for specific situations. (Some organizations interchange the meanings of goals and objectives.)

Other Term

- <u>Principles</u>: "An accepted or professed rule of action or conduct."

Adapted by Steve Grabow, Professor/Community Resource Development Educator, UW-Extension, Jefferson County Office, September 2008.

Appendix 2: Strategic Planning Terminology

The following terms are often used for strategic planning by the University of Wisconsin-Extension.

- Approach: A mode of conduct directed in a given way toward a particular set of circumstances. An approach consists of principles of action and a methodology for operationalizing them. An approach may comprise several or many steps, and may employ a variety of tools, techniques and skills to carry out its various steps.

- Champion (or process champion): A person or group who believe in and are committed to the planning process. Champions provide the energy and commitment to follow through, and are usually the people who have primary responsibility for managing the strategic planning process from day to day. They model the kind of behavior they hope to get from other participants, and are "cheerleaders" who, with sponsors, keep the process on track and push and encourage the strategic planning team and others through difficult spots. They may or may not be the initiators of the planning process. The role of "champion" is different from the role of "sponsor" (q.v.), even though sometimes champions and sponsors may be the same people.

- External Environment: The outside environment in which an organization operates, often analyzed in terms of the opportunities and threats present and anticipated in the organization's environment. External environment factors include forces and trends, key resource controllers, competitors and collaborators. The relationship between what is considered the external environment and what is the internal environment is often fluid.

- Facilitate: To free from obstacles and difficulties; make easier; aid, assist or help bring about. More specifically, to make use of appropriate group and individual process skills, techniques and tools to assist or enable a group to implement an approach.

- Generate-Organize-Select: A three step "mini-process" that occurs in many of the steps in the strategic planning approach. A group may use various tools to generate values, ideas, solutions, measures, issues, strategies, etc. Other tools and techniques are used to organize what is generated into meaningful and more useful forms or formats. Tools of a third type are used to choose or select what items or actions actually become parts of the strategic plan.

- Goals: The performance levels or amount of an objective to be attained within a specific time and cost limits. Objectives and goals operationalize values for specific situations. (Some organizations interchange the meanings of goals and objectives.)

- Implementation: To give practical effect to; to insure actual fulfillment by concrete actions.

- Initial Agreement: An initial agreement among key internal decision-makers or opinion leaders (and sometimes key external leaders) on the purpose and worth of the overall planning effort, who should be involved in the planning effort and how they should be involved, the specific planning steps to be followed and the timing of reports. As the planning effort gets underway, amendments to the initial agreement or new agreements incorporating new participants, etc. are often needed.
- Internal Environment: The environment within an organization, often analyzed in terms of the strengths and weaknesses of the organization. Internal environment factors include resources, present strategy, and performance. The relationship between what is considered the internal environment and what is considered the external environment is often fluid.
- Mandate: Formal and informal requirements placed on an organization or program. Although some mandates may be internally imposed, through such things as articles of incorporation, the strategic planning approach focuses primarily on mandates, formal and informal, imposed by external sources.
- Mission: A clarification of an organization's purpose, or why it should be doing what it does. An organization's mission is the foundation of its vision of success.
- Mission Clarification: The aim of mission clarification is to specify the organization's purposes and the philosophy and values that guide it.
- Objectives: (1) The "object" of a course of action; something to be worked for or striven toward. (2) The criteria for determining how well a value is achieved. Objectives and goals operationalize values for specific situations. (Some organizations interchange the meanings of goals and objectives.)
- Operational: Relating to the operation of an organization. Non-strategic.
- Plan: A detailed formulation of a program of action.
- Purpose: The mission, aim, need, primary concern, function of or results sought from a system. A purpose is what the system is to accomplish, with no emphasis on how it is to be accomplished.
- Skill: A developed aptitude or ability. The ability to use one's knowledge effectively and readily in execution or performance, especially in the application of techniques.
- Sponsor (or process sponsor): A person or group who legitimize the planning process. Sponsors are typically top leaders. They have prestige, power and authority to commit the organization to strategic planning and to hold people accountable. They are not necessarily involved in the day-to-day details of the planning process (this is the role of "champions"). Sponsors typically have a vested interest in a successful outcome, and are important sources of knowledge about strategic issues and how the planning process

should time itself with key decision points. The role of "sponsor" is different from the role of "champion" (q.v.), even though sometimes sponsors and champions may be the same people.

- Stakeholder: Any person, group or organization that can place a claim on an organization's attention, resources or output, or is affected by that output.

- Strategic: Of, relating to, or marked by strategy. Very important. Relating to an organization's mission, values, mandates and vision.

- Strategic Issue: Fundamental policy questions or critical challenges that affect an organization's mandates, mission and values; product, service level or mix; clients, users or payers; or cost, financing, organization or management.

- Strategic Plan: A program of action that addresses an organization's strategic issues. Strategic plans usually incorporate the purposes and values of the organization, sometimes expressed as a mission statement; an identification of strategic issues; a strategy or strategies for addressing the issues, a vision of the organization in the future and an implementation plan.

- Strategic Thinking: The application of the principles and process of strategic planning to everyday planning and decision-making. Approaching decision-making with regard to the organization's mission, values, mandates and vision.

- Strategy: A pattern of purposes, policies, programs, actions, decisions or resource allocations that define what an organization is, what is does and why it does it? Strategies can vary by level, function and time frame. Strategies are developed to deal with strategic issues.

- Strategy Change Cycle: A process for strategic planning and management. It includes: setting the organization's direction, formulating broad policies, making internal and external assessments, paying attention to the needs of key stakeholders, identifying key issues, developing strategies to deal with each issue, planning review and adoption procedures, implementing planning, making fundamental decisions, taking action and continually monitoring and assessing the results.

- Strategy Reassessment: A review of strategies and the strategic planning process, which is conducted once implementation is underway, often as a part of the implementation process itself. Strategy reassessment is a prelude to a new round of strategic planning.

- SWOT Analysis: An analysis of an organization's internal and external environments, in which strengths and weaknesses (internal) and opportunities and threats (external) are identified and assessed.

- Tactical: Of, or relating to small-scale actions serving a larger purpose or mission, carried out with a more limited or immediate end in view.

- <u>Timeline</u>: A means for allocating, organizing, and inter-relating blocs of time for designated activities. A tool for the same, making use of phases, milestones, deadlines, etc. to guide the planning, implementation, evaluation or other process.
- <u>Tool</u>:   A means for performing an operation or necessary in the practice or vocation. More specifically, the means, process, by which an individual or group achieves the purposes and accomplishes the tasks necessary to complete a step in the strategic planning process. Tools can be grouped by what they do, e.g. tools for generating ideas, tools for organizing ideas and tools for selecting ideas.
- <u>Values</u>: Beliefs; societal, organizational and individual aspirations.
- <u>Vision</u>: An object of imagination. A manifestation to the senses of something immaterial. In planning, the perception or imagining of a desired end state, as yet unachieved, and its expression in the form of a narrative description, picture, recording, plan, model, etc.
- <u>Vision of Success</u>: A statement of what an organization should look like and how it should behave as it fulfills its mission.

Source: David Hinds, Professor Emeritus, University of Wisconsin-Extension. (University of Wisconsin Extension, Strategic Planning Program, Program Materials)

Appendix 3: Definitions of Planning Concepts

The section includes a summary of selected definitions and insights which are compared to provide evidence of the many similarities and subtle differences in the definition of these important concepts.

- Community Vitality: Defined as the community's collective capacity to respond to change with an enhanced level of participation (a process) with aspirations for a healthy and productive community (an outcome or vision of success). (Grabow the Community Vitality and Placemaking Team, 2014)

- Community Development (University of Wisconsin-Extension): Defined as a planned effort to produce assets that increase the capacity of residents to improve their quality of life. (Haines, 2009; Green and Haines, 2007)

- Community Development: Framed-The development of community tries to enhance the social realm and relationships between people (Summer, 1986. In Hinds, 2008). Development in community is viewed as enhancing an existing entity with physical and tangible outcomes (Hinds, 2008).

- Community Development: Defined and framed by most practitioners as an outcome (physical, social, and economic improvement in a community) and by most academicians as a process (the ability of communities to act collectively and enhancing the ability to do so). (Phillips and Pittman, 2009)

- Asset Based Community Development: Defined as a strategy or specific community development approach that builds on the assets that are already found in the community and mobilizes individuals, associations and institutions in order to create local economic and community opportunity. (Andresen, 2014 as adapted by Grabow)

- Community Economic Development: Defined as actions to improve the economic situation of local residents (income and assets) and local businesses (profitability and growth); and enhance the community's quality of life as a whole (appearance, safety, gathering places, and sense of positive momentum). (Temali, 2002)

- Economic Development: Defined as the creation and implementation of strategies to promote the economic well-being of the community. (Shaffer, Deller and Marcouiller, 2004)

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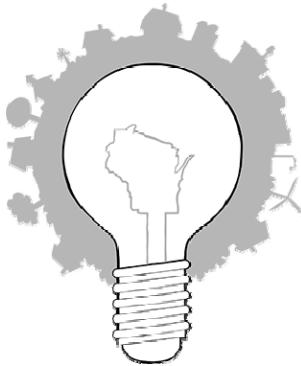Temali, Mihailo. *The Community Economic Development Handbook.* St. Paul: Amherst H. Wilder Foundation, 2002.

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The Wisconsin Idea

The University of Wisconsin's direct contributions to the state: to the government in the forms of serving in office, offering advice about public policy, providing information and exercising technical skill, and to the citizens in the forms of doing research directed at solving problems that are important to the state and conducting outreach activities.

— Jack Stark, "*The Wisconsin Idea: The University's Service to the State*"