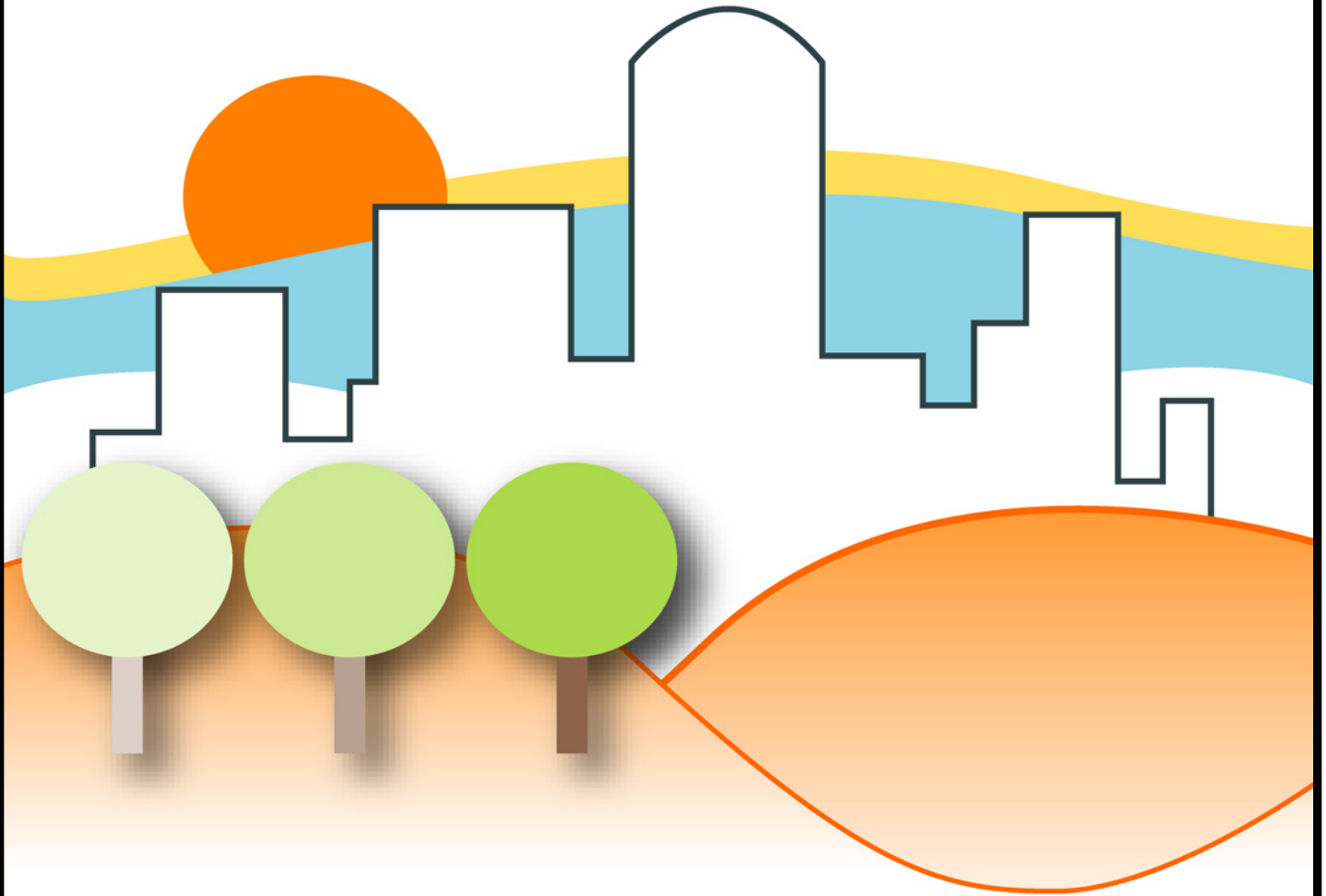


# Community Capacity Building Planning Resources for Neighbourhood Renewal



**Action for  
Neighbourhood  
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# About Action for Neighbourhood Change

Action for Neighbourhood Change is a unique learning initiative that explores and assesses approaches to locally-driven neighbourhood revitalization that can enhance the capacity of individuals and families to build and sustain strong, healthy communities.

Working with local residents, not-for-profit agencies and public and private sector partners, Action for Neighbourhood Change combines local resources in new ways to develop creative, locally-based solutions for sustainable community development and neighbourhood revitalization.

Action for Neighbourhood Change is active in Surrey, Regina, Thunder Bay, Toronto and Halifax.

For more information, please visit [www.anccommunity.ca](http://www.anccommunity.ca)



This is one of a series of tools Tamarack has developed to aid communities during the key stages in the development of the ANC project.

Tools are based on Tamarack's experience and have been shaped and modified by communities to ensure they remain relevant to the local experience.

Please note that this tool can be downloaded free of charge. Hard copies of the tool are available for \$10 to cover the cost of reproduction and mailing. To order a hard copy of this tool, please email [tamarack@tamarackcommunity.ca](mailto:tamarack@tamarackcommunity.ca).



# Table of Contents

<b>About this Guide.....</b>	<b>2</b>
<b>Introduction.....</b>	<b>3</b>
<b>Theoretical Framework.....</b>	<b>4</b>
<b>Overview.....</b>	<b>6</b>
<b>Pre-Planning.....</b>	<b>7</b>
<b>Pre-Planning Resources.....</b>	<b>9</b>
<b>Community Capacity Building Planning Process.....</b>	<b>11</b>
<b>Community Capacity Building Planning Process Resources.....</b>	<b>14</b>
<b>Community Action.....</b>	<b>19</b>
<b>Community Action Resources.....</b>	<b>21</b>
<b>Learning and Change.....</b>	<b>26</b>
<b>Learning and Change Resources.....</b>	<b>28</b>
<b>Glossary of Terms.....</b>	<b>29</b>

# About this Guide – A Living Document

This tool, Community Capacity Building Planning Resources for Neighbourhood Renewal, was prepared to help the staff and volunteers involved in the Action for Neighbourhood Change (ANC) initiative implement a community-based planning process.



The tool is designed to help staff and volunteers reflect upon and contribute to the action research process. As such, it is a living document that is upgraded periodically based on information and suggestions provided by ANC participants.

Before preparing the upgraded version of this resource, ANC participants were surveyed for ideas, improvements and relevant reference material. The final version of the report, prepared in July 2006, represents the collective wisdom of ANC participants and sponsors.

## Tool components

- a) A theoretical framework for the ANC approach to planning
- b) An overview of the planning process
- c) A glossary of terms

Brief descriptions of the pre-planning, capacity-building planning process and community action components are provided. Resource documents and web links related to each element of the framework are also provided, giving a wide range of ideas and experiences for ANC participants to use. The resources are primarily relevant to effective planning practices, although several general documents have been included because they are particularly useful to understanding community development work.

The glossary of terms at the end of this tool provides definitions of important technical terms used in the neighbourhood planning process.

# Introduction

Action for Neighbourhood Change will assess how locally-driven neighbourhood revitalization strategies can enhance the capacity of individuals and families to build and sustain strong, healthy communities.

The project's approach to planning is based on action research, community capacity building and support from external agencies and associations. The experience with this approach to planning is extensive and such planning is currently practised in several countries, including the United States, United Kingdom, Australia and New Zealand.

ANC's approach to planning is particularly well-suited to neighbourhood revitalization work. Literature on neighbourhood revitalization indicates that effective planning requires a combination of applying systematic research and organization procedures as well as the ability to make spontaneous decisions based on an in-depth understanding of local conditions. The research and planning processes of action research and community capacity building provide this necessary combination of well-defined procedures, along with the required flexibility to adapt to unique characteristics of the neighbourhood.

This report introduces community planners and volunteers who implement neighbourhood revitalization planning processes to a broad range of information that describes the practice of action research and community capacity building, as well as the experience of applying this approach in neighbourhoods. Links to organizations doing similar work are also provided.

**Do no harm. Ask the question,  
Will this initiative help more than hurt?**

— J. McKnight, *The Careless Society*, 1995.



# A Theoretical Framework for ANC's Approach to Planning

ANC's focus on action research is most closely associated with what John Friedmann has described as planning for social learning (PSL). PSL is similar to Mintzberg's learning approach to strategy development, as described in his recent publication, *Strategy Safari: A Guided Tour Through The Wilds of Strategic Management*.



PSL, as a form of community work practice, consists of **political strategy and tactics** that help to remove barriers to change, **theories of reality** that tell us what the world is like, and **values** that inspire and direct the action. The approach to planning adopted by ANC shares all three components of PSL.

## a) Political strategy and tactics

ANC's political strategy at the neighbourhood level focuses on creating a strong neighbourhood organization with the capacity to represent the neighbourhood's interests, establish and work effectively with partner organizations external to the neighbourhood, and provide resources and practical assistance to make the desired changes in the neighbourhood.

At the regional and national level, the political strategy for ANC involves examining the experience in neighbourhoods with policy representatives within government to create policies and programs that will provide optimal support for neighbourhood revitalization work.

## b) Theories of reality

ANC theories of reality are manifested in a theory of change that describes the group's assumptions and view of the neighbourhood's condition.

## c) Values

The emphasis on community capacity building in ANC reflects the belief that residents have the capacity to develop the neighbourhood's assets for neighbourhood revitalization. In particular, ANC views the fostering of democratic processes, learning, and the development and support of community leadership and community organizations as critical to effective planning.

The principal focus of PSL is also shared by ANC — that is, **neighbourhood action** or purposeful activity undertaken by an individual or group within the neighbourhood or by organizations involved in the development of the neighbourhood. The action taken by the group provides the experience required for learning. Mintzberg’s description of this process is similar to the process anticipated by ANC. It is a constantly emerging and informal process that is difficult to quantify. The experience of attempting to change the existing situation provides the learning and capacity to be more effective.

For social learning to occur, collaboration within and between task-oriented groups must be effective and ongoing. The collaboration includes project tasks, as well as the maintenance of healthy group behaviour. The learning primarily takes place in small groups, through face-to-face interactions.

The learning follows a pattern called double-loop learning and begins with a desire to examine conflicts and other types of problems in the neighbourhood. The examination leads to an assessment of the neighbourhood’s assets and needs, and eventually to the creation of a neighbourhood plan and new strategies for action.

The key to successful community building is to discover the community’s capacities and assets, ... connect them to one another in ways that multiply their power and effectiveness, and begin to harness local institutions that are not yet available for local development purposes.

— H. Kretzman and J. McKnight in S. Morse, *Smart Communities*, 2004.



# An Overview of the Planning Process

## The three phases of the ANC planning framework

- 1) Pre-planning
- 2) Capacity building planning process
- 3) Community action

In each phase of the neighbourhood's planning and development, a process of learning and change occurs.

In this resource, the phases are described as three distinct and separate components of a planning process, but you will be often working on more than one phase at a time. For instance, a project in the neighbourhood may be launched before completing the planning process because the people involved in the community development process believe it is important to demonstrate to the neighbourhood that concrete change is possible in the short term.





# Pre-Planning

# 1

## Purpose

**Pre-planning** work determines the feasibility of successfully launching a PSL process in the neighbourhood.

## Elements

Pre-planning work includes tasks that will provide the information needed to launch a formal neighbourhood planning process. Two important tasks for this phase of the work include:

- a) Preparing a **neighbourhood profile** that describes the community's assets, needs and issues.

## For further information

- Frank, F., Smith A. The Community Development Handbook. Online. Hull: HRDC, 1999. [http://www.hrsdc.gc.ca/en/epb/sid/cia/comm\\_deve/cdhbooke.pdf](http://www.hrsdc.gc.ca/en/epb/sid/cia/comm_deve/cdhbooke.pdf)

This handbook, created by Human Resources Development Canada, is a guide to help communities build capacity. The guide is divided into five sections, but section three will be of obvious interest, as it discusses how to develop a working process for community development, focusing on who should be involved and to what extent.

- The Community Impact Assessment Handbook. Online. University of South Florida: Center for Urban Transportation Research, 2000. [http://www.cutr.usf.edu/pubs/CIA/Chapter\\_4.pdf](http://www.cutr.usf.edu/pubs/CIA/Chapter_4.pdf)

This chapter of the Community Impact Assessment Handbook provides a definition of community profiles, the general process for developing one, how to obtain the information required, and a checklist summarizing the various elements of community profiles.

- b) Preparing a **stakeholder analysis** to describe who needs to be involved, the position they will take regarding the proposed neighbourhood planning process and the expected changes in the neighbourhood, as well as the level of influence they will have during the planning process.



## For further information

- Stakeholder Analysis. Online. World Bank. <http://www1.worldbank.org/publicsector/anticorrupt/PoliticalEconomy/PDFVersion.pdf>

This overview defines stakeholder analysis and its components, and includes examples and summaries of the methods used to conduct such an analysis.



As well as gathering and analyzing information about the neighbourhood, it is important to determine how the project will be introduced to key stakeholders. Key stakeholders include leaders in the neighbourhood and individuals outside the neighbourhood who influence the community's development.

Making an effective introduction or entry is a critical step in the PSL process. The goal at this stage is to ensure that both community leaders within the neighbourhood and the leaders who are outside the neighbourhood (e.g. municipal council members) agree that the proposed project will be good for the community and that they will support it or at least not oppose it. If a sufficient number of key stakeholders do not support the planning process, it will likely fail.

## For further information

- Axelrod T. The Point of Entry Handbook. Seattle: Raising More Money Publications, 2002.

Terry Axelrod reviews how to customize the ideal point of entry (POE) for your organization. He includes practical examples of POE events for many organizations, a checklist designed to help develop a POE timeline, sample scripts for inviting stakeholders to your POE event, and much more.

The neighbourhood profile and stakeholder analysis will provide the people leading the planning process with critical information about the neighbourhood. Community assets, physical characteristics, important historical events, support for neighbourhood revitalization and links to the larger municipality will have been identified and assessed. With this information, the people leading the planning process can determine what specific approach to planning is most appropriate, and ensure that their assumptions about planning and outcomes are shared and realistic.

# Pre-Planning Resources

Allen, W., Kilvington, M. Stakeholder Analysis: Key Concepts. Manaaki Whenua: Landcare Research, 2001. <http://www.landcareresearch.co.nz/research/social/stakeholder.asp>

This document introduces stakeholder analysis and describes its various aspects, advantages and limitations. Also included are a number of resources that may benefit individuals and groups that conduct stakeholder analyses.

Building Communities Initiative: Burrows Central Neighbourhood — Community Profile Report. Online. City of Winnipeg, Government of Manitoba. [http://www.winnipeg.ca/ppd/programs/pdf/BC\\_ProfileReport.pdf](http://www.winnipeg.ca/ppd/programs/pdf/BC_ProfileReport.pdf)

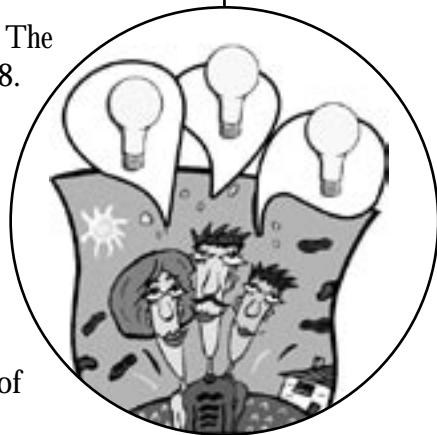
This report on the Burrows Central neighbourhood profiles the neighbourhood's community improvement program, as well as the results of a neighbourhood issues survey conducted there.

Burton, P. Community Involvement in Neighbourhood Regeneration: Stairway to Heaven or Road to Nowhere? Online. UK: Neighbourhood Centre, 2003. <http://www.bristol.ac.uk/sps/cnrpaperspdf/cnr13pap.pdf>

This literature review on public involvement in neighbourhood regeneration attempts to develop a more practical approach to the issue. Topics covered include the degree of public participation in regeneration projects, the type of planning and decision making required to implement projects, and how to make the case for involving your community.

Hesselbein, F., Goldsmith, M., Beckhard, R., Schubert, R. The Community of the Future. New York: The Drucker Foundation, 1998.

This book, published by the Drucker Foundation, outlines the challenges faced in building prosperous communities and what can be done today to prepare for the task. The book covers trends that shape the evolution of community, community values and the impact of new information and communications technologies on communities, as well as creating communities in organizations, strengthening the social fabric, and the global dimensions of community.



McKnight, J. *Building Communities from the Inside Out: A Path Towards Finding and Mobilizing a Community's Assets*. Evanston, IL: Institute for Policy Research, 1993.

This guide to asset-based community development summarizes the lessons learned from successful community building initiatives in hundreds of neighbourhoods across the United States. The guide is designed to be a practical working document and will be useful to community leaders who are interested in supporting effective community building initiatives in their communities.



Tools and Techniques for Community Recovery and Renewal: Inventory and Mapping of Community/Regional Assets. Online. Centre for Community Enterprise. 2000.

<http://www.cedworks.com/files/pdf/papers/P203PRE00.pdf>

This document contains a number of practical techniques communities are using to handle socioeconomic changes. The cases included are best practices in the Canadian context of community development. The document is intended to help communities in their quest to rebuild their local economies by drawing on the lessons learned from these case studies.

Turner, S. *Tools for Success*. Berkshire: The McGraw Hill Companies, 2002.

This book features over 90 tools designed to assist managers with various business decisions. One of the most important tools for the pre-planning process is the stakeholder analysis tool that describes stakeholder analyses, when to use them, and the approximate duration of such analyses. This book also provides an example to illustrate how to use the stakeholder mapping tool.

# Community Capacity Building Planning Process

## 2

### Purpose

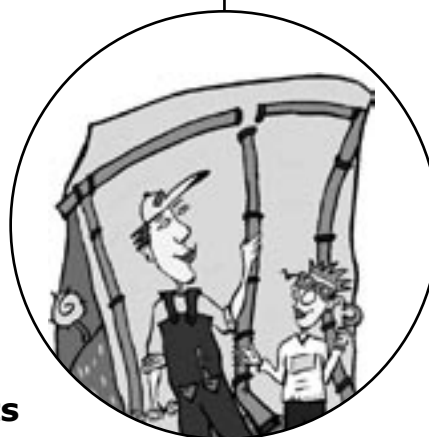
Once pre-planning is complete, the next stage of the PSL process is **community capacity building planning**. This part of the process will guide participants in making the desired changes to the neighbourhood. Action steps focus on building community will and commitment through effective community participation, learning and action.

The planning process is dynamic. Plans will be revised continually as the individuals and organizations involved in planning test ideas through projects (e.g. construction of a community park), adjustments to community services (e.g. provision of translation services) and the actions of involved public-sector institutions (e.g. municipal government). The experience of testing the ideas generated during the initial planning provides the lessons and insights to review and revise the plan, making it more useful and responsive to needs in the neighbourhood.

### Elements

The community capacity building planning process includes the following steps:

1. Reach agreement on a specific planning process.
2. Prepare an initial plan.
3. Establish a neighbourhood organization that will assume responsibility for implementing the plan.
4. Secure participation and support from regional resources, government, the private sector and the voluntary sector.
5. Coordinate a learning and assessment process that results in continual improvements to the plan and its implementation.



### The following is key for ANC project participants

- a) **Getting started:** Discussions with key stakeholders, including neighbourhood residents, should lead to agreement on how the planning work will be carried out. The questions that need to be answered at this point include the following: Who coordinates the process? How will communication with the neighbourhood be conducted? When and where will meetings take place? What is the role of external resource people?

## For further information

- Theory of Change: A Practical Tool for Action, Results and Learning. Online. Annie E. Casey Foundation, 2004. Page 14. <http://www.aecf.org/initiatives/mc/readingroom/documentstheoryofchangemanual.pdf>

This report provides a framework for creating a theory of change designed to walk communities through the development process. The report provides practical advice on creating a theory of change and using a theory of change as a companion to action.



- McKnight, J. The Careless Society: Visions of Society. New York: Basic Books, 1995. Page 12.

John McKnight describes how capable communities have been overrun by professional services, often with devastating results. Chapters include discussions on professionalism, medicine, human service and the criminal justice system, and how they relate to community regeneration.

b) **Planning process:** Determine the research and actions required to prepare an initial plan that everyone understands and to which they are committed.

## For further information

- Planning for Change: Strategic Planning and Program Planning for Non-profit Groups. Online. Ottawa: Environment Canada and Health Canada, 2000. Page 13. <http://dsp-psd.communication.gc.ca/Collection/EN1-35-3-2001E.pdf>

This document provides a ten-step process for strategic planning. Also included are common elements of strategic planning, including creating a vision, mission, goals and objectives, as well as conducting situational analysis and evaluation.

- Nagy, J., Fawcett, S.B. An Overview of Strategic Planning or “VMOSA” (Vision, Mission, Objectives, Strategies, and Action Plans). Online. The Community Toolbox, 2003. Page 12. [http://ctb.ku.edu/tools/en/sub\\_section\\_main\\_1085.htm](http://ctb.ku.edu/tools/en/sub_section_main_1085.htm)

This document, created by the Community Toolbox, provides background information on the processes of strategic planning using the VMOSA planning process. Short for vision, mission, objectives, strategies, and action plans, VMOSA can aid community organizations in neighbourhood regeneration, specifically in developing a plan of action for community regeneration.

c) **Building a neighbourhood organization:** The next step in the community capacity building process is to establish an organization prepared to provide leadership and manage the implementation of the plan, including the formation of partnerships and an ongoing learning and assessment process. The membership of the organization comprises people from the neighbourhood (e.g., residents, business owners) and possibly representatives of agencies that serve the neighbourhood who can use resources that will assist the work of neighbourhood renewal.

### **For further information**

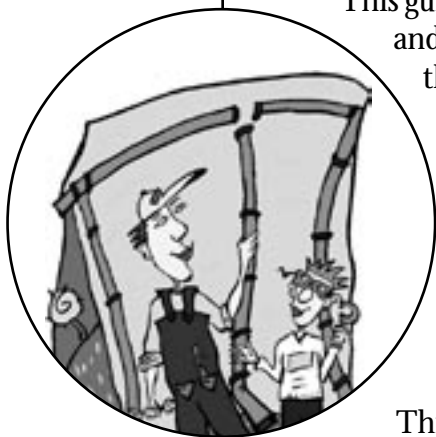
- Morse, S. *Smart Communities: How Citizens and Local Leaders Can Use Strategic Thinking to Build a Brighter Future*. San Francisco: Jossey-Bass, 2004. Page 13.

Suzanne Morse describes strategic decision-making and outlines the strategies used by leaders who work to create successful communities. Examples illustrate how the decision-making processes used by community leaders and development practitioners rely on seven key leverage points, including working together, building on community strengths, growing leaders and inventing a brighter future.



# Community Capacity Building Planning Process Resources

Allen, J., et al. Building on Assets and Mobilizing for Collective Action: Community Guide. Online. University of Nebraska-Lincoln: The Center for Applied Rural Innovation, 2002. <http://cari.unl.edu/ABCD%20Community%20Guide.pdf>



This guide helps communities develop a practical framework for building on and using existing community assets. The guide includes an overview of the asset-based approach, the steps necessary to develop and execute various community asset inventories, and a plan of action for moving through the process. The importance of celebrating community success is emphasized. An appendix of tools for implementing community development initiatives is also included.

Angelica, E. Crafting Effective Mission and Vision Statements. Saint Paul: Amherst H. Wilder Foundation, 2001.

This guide to creating or revising mission and vision statements includes a simple seven-step process for creating a mission statement and a six-step process for creating a vision statement. Worksheets are provided along with instructions and examples.

Austin, J., Hesselbein, F. Meeting the Collaboration Challenge Workbook. Online. New York: The Drucker Foundation, 2002. <http://www.pfdf.org/collaboration/challenge/pdfs/mtcc-complete.pdf>

This is a complete workbook on engaging business, with an introduction written by James E. Austin that is intended to complement Austin's The Collaboration Challenge. The workbook can be used alone or along with other resources to help non-profit organizations establish relationships with business. Relevant topics include developing a marketing approach and management plan for each potential alliance.

Community Engagement in the NSW Planning System. Online. Australia: Government of Australia, 2003. <http://www.iplan.nsw.gov.au/engagement/intro/pdf/cehandbook.pdf>

This handbook and its companion website ([www.iplan.nsw.gov.au/engagement](http://www.iplan.nsw.gov.au/engagement)) are designed as a starting point for community development practitioners interested in community engagement. Sections in the handbook include a five-step engagement planning cycle, community engagement techniques and tools, and setting the context for engagement.



Creating a Community Vision. Online. Chelsea: Commonwealth of Massachusetts. [http://www.mass.gov/dhcd/eo\\_418/007.pdf](http://www.mass.gov/dhcd/eo_418/007.pdf)

This paper describes how to create a community vision. Topics include creating the assets and liabilities inventory, the basics of creating a vision statement and how to get started, developing the community vision statement, checking the reality of the community vision statement, and examples of community vision development.

Frank, F., Smith A. The Community Development Handbook. Online. Hull: HRDC, 1999. [http://www.hrsdc.gc.ca/en/epb/sid/cia/comm\\_deve/cdhbooke.pdf](http://www.hrsdc.gc.ca/en/epb/sid/cia/comm_deve/cdhbooke.pdf)

The Labour Market Learning and Development Unit at Human Resources Development Canada created this handbook as a guide for building community capacity. Section three of this five-piece guide discusses making a plan for community development, as well as how to implement and adjust the plan as you work through the development process.

Frank, F., Smith A. The Partnership Handbook. Online. Hull: HRSDC, 2000. [http://www.hrsdc.gc.ca/en/epb/sid/cia/partnership/partnerhb\\_e.pdf](http://www.hrsdc.gc.ca/en/epb/sid/cia/partnership/partnerhb_e.pdf)

Designed to support developing partnerships, this handbook defines partnership, identifies supporting conditions, outlines the processes, and explores the skills and knowledge required to undertake a partnership.

Friedmann, J. Planning in the Public Domain: From Knowledge to Action. Princeton: Princeton University Press, 1987.

This book outlines the theory of planning and examines planning dissemination, looking at key issues and barriers for future planning. Topics include planning theory, planning as social reform, planning as social mobilization, where planning stands, and the recovery of political community.

Gastil, J., Kelshaw, T. Public Meetings: A Sampler of Deliberative Forums that Bring Officeholders and Citizens Together. Online. Kettering Foundation, 2000. <http://faculty.washington.edu/jgastil/pdfs/Kettering%20-%20Public%20Meetings.pdf>

This article explores the potential for direct exchanges between citizens and policy makers. Six case studies are examined where a community forum was created to facilitate exchange between citizens, and elected or appointed officeholders.



Good Improvement Planning in Relation to Neighbourhood Renewal Outcomes. Online. UK: Neighbourhood Renewal Unit. <http://www.neighbourhood.gov.uk/displaypagedoc.asp?id=1503>

This document, created by the Neighbourhood Renewal Unit, outlines the UK's local strategic partnerships improvement plan. Designed as a tool for local implementers, the resource provides a helpful checklist to strengthen neighbourhood-based improvement plans.



Hoskins, L., Lukas, C. Fieldstone Nonprofit Guide to Conducting Community Forums: Engaging Citizens, Mobilizing Communities. Saint Paul: Amherst H. Wilder Foundation, Publishing Center. <http://www.fieldstonealliance.org/productdetails.cfm?PC=10>

Community forums can be powerful tools for building community awareness and commitment, as well as for influencing policy. This book provides a step-by-step guide to planning and managing a forum with worksheets, suggestions and checklists.

Kretzmann, J.P., McKnight, J.L. A Guide to Mapping and Mobilizing the Economic Capacities of Local Residents. Chicago: The Asset-Based Community Development Institute. <http://www.northwestern.edu/ipr/publications/community/indivwb.html>

Based on the experience of several community-based organizations, this guide describes a process to help identify the current and potential contribution of residents to building the local economy. The guide consists of three parts: Part 1 describes how you build an inventory, Part 2 provides guidance on how to mobilize the capacity of individuals to contribute to economic development, and Part 3 provides a step-by-step process for community mobilization.

Kretzman, J.P., McKnight, J.L., Turner, N. A Guide to Mapping and Mobilizing the Associations in Local Neighborhoods. Chicago: The Asset-Based Community Development Institute. <http://www.northwestern.edu/ipr/publications/community/associations.html>

This guide provides a description of effective planning steps, as well as research methods for mapping. A case study describing the experience of a non-profit organization in Chicago illustrates the process. Several tools that can be used in the mapping process are provided.

Kubisch, A.C. Comprehensive Community Initiatives: Lessons in Neighbourhood Transformation. Shelterforce, 1996. <http://www.nhi.org/online/issues/85/compcominit.html>

This article examines comprehensive community initiatives (CCIs) and outlines key issues when dealing with them. Topics include learning from CCIs, establishing an institutional base, process-product and insider-outsider tensions in CCIs, and changing the way business is done at the neighbourhood level.

Land Use in Pennsylvania — Practices and Tools: Creating a Community Vision. Online. Harrisburg: Department of Community and Economic Development. [http://www.landuseinpa.com/docs/Land\\_Use\\_in\\_PA-Inventory/Land\\_Use\\_in\\_PA-Inventory-CommVision.pdf](http://www.landuseinpa.com/docs/Land_Use_in_PA-Inventory/Land_Use_in_PA-Inventory-CommVision.pdf)

This paper outlines the process of developing a community vision and covers such topics as what a community vision is, the benefits of developing a community vision for community development, how to implement a community vision, and examples of developing community visions in Pennsylvania.

Mintzberg, H., Ahlstrand, B., and Lampel, J. Strategy Safari: A Guided Tour Through the Wilds of Strategic Management. New York: The Free Press, 1998.

This book is designed to provide both practitioners and academics with an engaging overview of strategic management. The authors review each school of thought in strategic management, with chapters on the design, planning, cognitive, power and learning schools.

National Neighbourhood Indicators Partnership. Online. Washington: Urban Institute. <http://www2.urban.org/nnip/>

The Urban Institute is collaborating with 21 urban communities across the United States in developing neighbourhood information systems to assist local policy making and community building. The collaboration also wants to democratize community research by adopting methods of collecting and using information that are accessible to small, voluntary sector organizations.

Rabinowitz, P., Berkowitz, B. Building Teams: Broadening the Base for Leadership. Online. The Community Toolbox, 2003. [http://ctb.ku.edu/tools/en/sub\\_section\\_main\\_1123.htm](http://ctb.ku.edu/tools/en/sub_section_main_1123.htm)

This document contains a guide to building effective teams that can help your organization or initiative operate effectively. Topics include teams and team building, the advantages and disadvantages of teams, when team building should occur, what makes a good team, and how to build a team.

Strengthening Your Organisation: Guidelines on Best Practice. Online. HelpAge International, 2000. <http://www.helpage.org/images/pdfs/ODmanual/Strategic%20planning.PDF>

This document outlines a method for conducting strategic planning activities. Important topics include what a strategic plan is, how to develop a strategic plan, how to develop a vision and mission statement, and an overview of SWOT analysis. A case study on implementing a strategic planning workshop is also included.



Turner, S. Tools for Success. Berkshire: The McGraw Hill Companies, 2002.

This book features over 90 tools designed to assist managers with various business decisions. One of the more important tools for capacity building is the SWOT analysis tool. Included is a discussion of when to use a SWOT analysis, the number of people necessary to conduct an analysis, a SWOT analysis matrix and accompanying illustrative examples.



VOICE in Health Policy: A Guide to Collaborative Process in Health Policy Development and Their Implications for Action. Online. Project VOICE, 2005. [http://www.projectvoice.ca/English/Documents/Collaborative/collaborative\\_e\\_page02.html](http://www.projectvoice.ca/English/Documents/Collaborative/collaborative_e_page02.html)

This document contains information from three phases of the VOICE initiative, including consultations, training programs and demonstration projects. The booklet is intended to guide collaborative processes in health policy development. Its goal is to foster awareness and dialogue to support collaborative partnerships. Included is a description of six collaborative processes, including building a table for collaboration, identifying and engaging stakeholders, and supporting ongoing learning.

What is Capacity Building? Online. Toronto: The Ontario Trillium Foundation, 2005. [http://www.trilliumfoundation.org/CC/ExecSumFinal\\_E.pdf](http://www.trilliumfoundation.org/CC/ExecSumFinal_E.pdf)

This document describes capacity building within the not-for-profit sector. Published by the Trillium Foundation, the document defines capacity building, indicates why and how to study capacity building, and profiles its four pillars.

The White Paper on Land, Infrastructure and Transport: Five Factors for Successful Initiatives. Online. Japan: Ministry of Land, Infrastructure and Transport, 2003. <http://www.mlit.go.jp/english/white-paper/mlit03/p1c2s1.pdf>

Outlined in this document are five possible factors for community development groups to consider when developing effective community initiatives. Topics include voluntary participation, setting clear and appropriate goals, and using local resources more efficiently.

# Community Action

# 3

**Community action** is often viewed as the project and organizing work that comes out of the planning process. In practice, however, community action activity can and does occur at any stage in the neighbourhood renewal process.

## Purpose

Community action is the implementation of your goals and objectives within the capacity-building plan for the neighbourhood. Community action normally consists of a combination of initiatives that bring about visible improvements in the short term (one year) as well as the longer term. Short-term successes have proven to be important to building and maintaining community support and motivation to continue with the neighbourhood renewal work. Longer term initiatives require more in-depth planning and negotiations with resource providers.

## Elements

Community action usually takes the form of one of the following:

- a) **Neighbourhood projects:** The creation of new physical and social infrastructure (e.g. construction of affordable housing units or recreation facilities) or improvements to such infrastructure.

## For further information

- A New Commitment to Neighbourhood Renewal. Annex F: Examples of Good Practice. Online. Government of Australia: Social Exclusion Unit, 2001. <http://www.socialexclusion.gov.uk/downloaddoc.asp?id=33>

This section of A New Commitment to Neighbourhood Renewal provides examples of best practices in neighbourhood regeneration initiatives. Included are examples from housing, employment, transportation and entrepreneurship.

- Colussi, M., Perry, S. From “This EARTH: NERC & The Evolution of a Development System in Winnipeg’s North End.” Making Waves. Centre for Community Enterprise, 2004. Page 17, vol. 13, no. 1.

This Making Waves article describes the North End Renewal Corporation’s ongoing progress in revitalizing Winnipeg’s North End. The article covers the beginnings of revitalization attempts, building the base of support, gathering initial funding, extending support and developing a plan for community renewal.



b) **Adjustments to community services:** Adjustments to community services can assist with the social, educational and employment needs of the neighbourhood. Examples of such adjustments include establishing a satellite office, providing language translation services or simply adjusting the hours of operation of an office.

### For further information

- A Community Takes on Child Welfare Service Delivery: A Case Study of Community-Based System Reform in Ward Seven of the District of Columbia. Online. The Annie E. Casey Foundation, 2002. Page 16. [http://www.aecf.org/rci/cws\\_delivery.pdf](http://www.aecf.org/rci/cws_delivery.pdf)



This case study profiles how the District of Columbia's community of Ward Seven took on child welfare service delivery and includes lessons about collaboration, leadership and community building.

c) **Changes to existing systems:** This type of community action is aimed at changing entire systems of service delivery or the administration of institutions within the neighbourhood. For instance, it may involve establishing a new coordinated system of community services, where all levels of government collaborate and pool their resources.

### For further information

- Dynamic Societies and Social Change: Quality of Life in Canadian Communities. Online. Ottawa: Federation of Canadian Municipalities, 2004. Page 19. [http://www.city.greatersudbury.on.ca/content/div\\_councilagendas/documents/FCM\\_Report\\_ENG.pdf](http://www.city.greatersudbury.on.ca/content/div_councilagendas/documents/FCM_Report_ENG.pdf)

This document supports the argument that effective intergovernmental partnerships are required to improve the quality of life in deprived communities. Themes covered include demographic changes, the changing workforce, trends in civic engagement, social infrastructure for children and youth, and trends in community health, stress and safety.

- Voices from the Field II: Reflections on Comprehensive Community Change. Washington: The Aspen Institute, 2002. Page 21. Available online at: <http://www.aspeninstitute.org/AspenInstitute/files/CCLIBRARYFILES/FILENAME/0000000114/voicesIIbook.pdf>

This book focuses on methods for bringing about positive change in impoverished communities and includes a method for implementing effective community development initiatives.

# Community Action Resources

## Case Studies

A Community Plan on Homelessness and Housing in Winnipeg. Online. Winnipeg: Social Planning Council of Winnipeg, 2001.

[http://www.spcw.mb.ca/uploaded/doc\\_complan.pdf](http://www.spcw.mb.ca/uploaded/doc_complan.pdf)

The Community Plan on Homelessness and Housing, developed jointly by the Community Partnership for Homelessness and Housing and The Aboriginal Reference Group on Homelessness and Housing, provides information on areas of Winnipeg in need of affordable housing, gaps in housing resources, the research process used to develop the housing plan, the coordinated response to homelessness in Winnipeg, next steps in affordable housing and more.

Business Retention and Expansion International. PO Box 3212, Bismark, ND, 58502-3212. <http://www.brei.org>

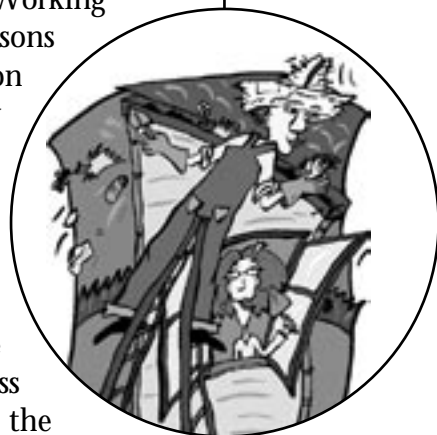
This international organization is devoted to promoting effective strategies that preserve the downtown and neighbourhood shopping districts in urban and rural communities.

Caputo, T., Kelly, K., Jamieson, W., Hart, L. A Portrait of Sustainable Crime Prevention in Selected Canadian Communities. Ottawa: Centre for Applied Population Studies, Carleton University, 2003. <http://ww4.psepc-sppcc.gc.ca/en/library/publications/research/portrait/vol1/index.html>

This report, prepared for the Federal-Provincial-Territorial Working Group on Community Safety and Crime Prevention, explores lessons learned from six communities that have sustained crime-prevention activities over time and identifies the factors that community members believe have contributed to their sustainability.

Driscoll, M., Pell, D. Strategies for Gaining Community Acceptance. Ontario: Canadian Mortgage and Housing Corporation, 2003.

Based on a workshop to help develop strategies to overcome community resistance to affordable housing and homelessness services, this document provides case studies, background on the planning-for-success workshop, and practical examples and exercises to overcome opposition to the NIMBY — not in my backyard — mindset.



Flaming, H. Utilizing the Business Retention and Expansion Program for Economic Development Planning.

[http://www.mah.gov.on.ca/userfiles/HTML/nts\\_1\\_11465\\_1.html](http://www.mah.gov.on.ca/userfiles/HTML/nts_1_11465_1.html)

This useful Canadian report provides an overview of business retention principles and strategies. It outlines the stages of the business retention and expansion program and provides examples of rural communities in which the project was piloted.



The Hauser Center for Nonprofit Organizations. Boston: Harvard University. <http://www.ksghauser.harvard.edu/>

Established in 1997, the Hauser Center conducts and distributes research on policy and operational issues relevant to non-profit and civil society organizations. The Center distributes a newsletter and sponsors a peer learning network.

Imagine Canada. <http://www.nonprofitscan.ca>

Nonprofitscan is a division of Imagine Canada. The website has links to an extensive online library, including other websites relevant to the work of non-profit organizations. The available information includes research and contacts for fundraising and project support.

The Local Action Plan Process: A Guide for Municipal Governments. Online. Ottawa: Federation of Canadian Municipalities, 2003. [http://www.nbhub.org/hubfiles/pdf/resources/final\\_CP\\_eng\\_layout\\_2003.pdf](http://www.nbhub.org/hubfiles/pdf/resources/final_CP_eng_layout_2003.pdf)

This document outlines a framework designed to help municipal governments develop a local action plan to reduce greenhouse gas emissions. The document contains sections on identifying key stakeholders and funding, forming steering committees and working groups, and developing, implementing and evaluating local action plans.

“Making the Rebound: The Role of Business in Local Revitalization.” Making Waves. Centre for Community Enterprise, February 2005.

This issue of Making Waves examines a number of issues and stories on the role business plays in local neighbourhood revitalization. Article topics include how company towns can discover new approaches to local development and local innovation in youth entrepreneur training.

“Neighbourhoods Matter.” Ideas That Matter, Volume 3, Number 2. Online. Toronto, 2004. <http://www.ideasthatmatter.com/quarterly/itm-3-2/ITMV3N2.pdf>

This issue of Ideas That Matter focuses on community transformation and includes articles on rebuilding communities, as well as a profile of a massive revitalization effort in Regent Park, a Toronto neighbourhood.



Richard, P. "Transformed by Community Economic Development: Southwest Montreal Now has a Future as Well as a Past." Making Waves. Centre for Community Enterprise, 2005. Page 21. Volume 15, No. 1. <http://www.cedworks.com/files/pdf/papers/MW150121.pdf>

This article discusses citizen engagement and its role in community economic development and offers a profile of the ongoing efforts of RESO to rebuild Montreal's local economy.

Salsich, P.W. Grassroots Consensus Building and Collaborative Planning. Online. St. Louis: Washington University Journal of Law and Policy, 2000. <http://law.wustl.edu/journal/3/pg709to740.pdf>

This article briefly reviews some of the legal mechanisms used to foster neighbourhood collaborative planning and explores two planning models as well as the importance of developing capacity in neighbourhood collaborative planning.

Summary of Community Development and Community Economic Development in Winnipeg. Online. Winnipeg: United Way of Winnipeg, 2003. <http://www.devstudios.com/uwcommunity/downloadFiles/2003MiniScans.pdf>

This document profiles neighbourhood and community economic development initiatives in Winnipeg and identifies the major players, ongoing trends and issues.

United Ways' Community Capacity Building Stories. Online. <http://www.cpn.org/topics/community/uwaystory.html>

This document contains a list of numerous community capacity building stories intended to provide exposure to community capacity building as well as emerging practices for community development practitioners.

### **Various resources**

A Guide for Regional Communities to Take Charge of Their Future. Online. Government of Western Australia: CommunityWise, 1999. [http://www.communitywise.wa.gov.au/public\\_html/pdfs/comwise.pdf](http://www.communitywise.wa.gov.au/public_html/pdfs/comwise.pdf)

This toolkit includes a guide for community economic development, examples of how western Australian towns are creating economic growth, and an assistance directory detailing over 70 funding and assistance programs aimed at community economic development.



Bendixsen, S., de Guchteneire, P. Best Practices in Immigration Services Planning. Online. Paris: UNESCO, 2004. [http://www.unesco.org/most/migration/article\\_bpimm.htm](http://www.unesco.org/most/migration/article_bpimm.htm)

This document outlines the importance of best practices in immigration services planning. Some of the topics include which practices are best, characterizing and understanding the practices, whether to transfer a successful practice from one social environment to another, and the dissemination process.



Broadwater, G. Engaging New Audiences in Community Development. Online. Mississippi: Southern Region Community Development Institute, 2001. <http://natldiversity.extension.oregonstate.edu/download/EngNewAudinCDFinal.pdf>

This article describes methods for engaging citizens in the community development process. Main topics include principles of engagement, getting acquainted with new audiences, and the difference between consent and command as an organizing principle.

Building Sustainable Non-Profits: The Waterloo Region Experience. Online. Cambridge: Social Planning Council of Cambridge and North Dumfries, 2004. <http://www.crehs.on.ca/downloads/sustainability%20manual.pdf>

This document provides non-profit organizations with useful strategies for building their capacity and ensuring sustainability. The guide examines four distinct dimensions of capacity building and profiles the experience of Waterloo Region non-profits as a practical example of how to build capacity.

Connor, J.A., Kadel-Taras, S. Community Visions, Community Solutions: Grantmaking for Comprehensive Impact. Saint Paul: Amherst H. Wilder Foundation, 2003.

This book describes how grantmakers and funders can become more involved in community initiatives and neighbourhood regeneration. Written primarily for funders, the authors argue that grantmakers can become catalysts for community change. Chapter topics include achieving impact, strategies for funding solutions, supporting and sustaining community problem-solving, and a process for evoking community change.

Hashagen, S. Models of Community Engagement. Online. Scotland: Scottish Community Development Centre, 2002. <http://www.communityplanning.org.uk/documents/Modelsofcommunityengagement.pdf>

This article describes different models of community engagement in the community planning process and reviews theoretical community engagement concepts.

Jamieson, K., Simces, Z. Creative Spice: Learning from Communities About Putting the Population Health Approach into Action. Online. British Columbia: Social Planning and Research Council of BC, 2001. [http://www.phac-aspc.gc.ca/ph-sp/phdd/pdf/Creative\\_Spice.pdf](http://www.phac-aspc.gc.ca/ph-sp/phdd/pdf/Creative_Spice.pdf)

This report outlines the lessons learned from eleven voluntary sector projects designed to implement a population health approach in various parts of the Yukon and B.C.

Klein, H. "Health Inequality, Social Exclusion and Neighbourhood Renewal: Can place-based renewal improve the health of disadvantage communities?" Online. Australia: Australian Journal of Primary Health, Volume 10, No. 3, 2004. <http://www.latrobe.edu.au/aipc/ajph/10.3%20abstracts/Klein.pdf>

This paper discusses the link between poor health quality and community disadvantage and argues that individuals living in areas with underperforming economies and inadequate social programs have more significant health problems and shorter life spans.

The Process — Implementing Effective Interventions. Online. The Community Toolbox, 2005. [http://ctb.ku.edu/tools/bp/en/tools\\_bp\\_sub\\_section\\_67.jsp](http://ctb.ku.edu/tools/bp/en/tools_bp_sub_section_67.jsp)

This document provides a framework that illustrates five phases and twelve processes to advance community change and development. Phases include assessment and collaborative planning, targeted action and intervention, community and systems change, widespread behavioural change, and improvement in population-level outcomes.

Quarter, J., Mook, L., Richmond, B.J. What Counts: Social Accounting for Non-profits and Cooperatives. Upper Saddle River: Prentice Hall, 2003.

This book outlines the challenge of accurately measuring and evaluating the social impact of non-profit activities. Possible accounting approaches to measure the impact of non-profit initiatives are also described.

Voices from the Field: Learning from the Early Work of Comprehensive Community Initiatives. Washington: The Aspen Institute, 1997. Available online at: <http://www.aspeninstitute.org/Programt3.asp?bid=1249>.

This book describes the goals, principles and operational lessons of early comprehensive community initiatives (CCIs) and outlines some lessons learned from them. The book focuses on the tensions CCIs create, looking at both process-product tensions as well as insider-outsider tensions. Based on a series of eleven focus group discussions, Voices from the Field attempts to convey the experience of those involved in CCIs.



# Learning and Change

**Learning and change** occur throughout the PSL process. The effectiveness of planning and the chances of its success will be greater if the learning and change process is a distinct and structured activity that occurs during each phase of the planning and action cycle.

For many, learning and change are most evident during the formal planning and implementation work. Experience with the PSL approach to neighbourhood planning work has demonstrated, however, that as soon as the project's initiators start to explore the idea of neighbourhood renewal, a learning process leading to increased awareness and a commitment to action has already begun.



## Purpose

The purpose of learning and change is to help deepen the understanding of revitalization work in the neighbourhood to improve its effectiveness.

## Elements

- a) **Theory of change:** Theory of change provides a brief description of the context in which the neighbourhood revitalization work is taking place, the goals and targets that the initiative is pursuing, and the strategies that have been adopted. Theory of change presents the ideas and assumptions guiding the community-development work in the neighbourhood and explains the unfolding pathway. It serves as a conceptual baseline against which progress and lessons learned can be identified as the initiative evolves.

## For further information

- Theory of Change: A Practical Tool for Action, Results and Learning. Online. Annie E. Casey Foundation, 2004. Page 14. <http://www.aecf.org/initiatives/mc/readingroom/documents/theoryofchangemanual.pdf>

This report provides a framework for creating a theory of change designed to walk communities through the development process. The report provides practical advice on creating a theory of change and using a theory of change as a companion to action.

- b) **Learning and assessment process:** This process refers to the work undertaken to review the community capacity building and planning activities within the neighbourhood to improve effectiveness. Activities can include reflection sessions with key stakeholders, research and preparation of stories.

## For further information

- Torjman, S., Leviten-Reid E. Learning and Evaluation for Poverty Reduction. Online. Ottawa: Caledon Institute, 2004. <http://www.caledoninst.org/Publications/PDF/467ENG.pdf>

Ongoing investment in learning has been described as the basis for community and human development. This report, prepared by the Caledon Institute of Social Policy, explores this notion, as well as the role of evaluation in community development. The report outlines the role and challenges for community learning, and describes a theory of change evaluation and evaluation for continuous learning. In addition, the report discusses how to assess the progress and identify future paths for community development. The report concludes with a section on setting benchmarks for progress.

- Assessment of Evaluation Strategies and Tools for Place Management and Community Renewal Projects. Online. Australia: NSW Premier's Department, 2002. [http://www.iplan.nsw.gov.au/engagement/stories/docs/eval\\_premiers.pdf](http://www.iplan.nsw.gov.au/engagement/stories/docs/eval_premiers.pdf)

This report presents the results of a research project designed to review and assess evaluation strategies and tools used in place management and community renewal. An assessment framework is included, as is a description of common evaluation themes, tools and strategies.



# Learning and Changes Resources

Barchechat, O., Sansfacon, D. Evaluating Prevention: Elements for an Alternative Approach. Online. Montreal: International Centre for the Prevention of Crime, 2003. [http://www.crime-prevention-intl.org/publications/pub\\_109\\_1.pdf](http://www.crime-prevention-intl.org/publications/pub_109_1.pdf)

This document outlines evaluative practices of comprehensive community initiatives and applies them to crime prevention. Evaluation examples are also included.



Citizen Re:Generation: Understanding Active Citizen Engagement Among Canada's Information Age Generations. Online. Toronto: D.CODE, 2003. <http://www.d-code.com/pdfs/CitizenReGen2003.pdf>

This collection of case studies profiles organizations that engage young Canadians in their communities through various engagement strategies. Organizations profiled in the article include the Laidlaw Foundation, Canada25, Check Your Head, YMCA Calgary, World Youth Day 2005, and Meal Exchange.

What is the Balanced Scorecard? Online. Washington: The Balanced Scorecard Institute, 2004. <http://www.balancedscorecard.org/basics/bsc1.html>

This document provides a basic overview of the balanced scorecard, developed by the Balanced Scorecard Institute. Topics covered include the balanced scorecard and measurement-based management, double-loop feedback, outcome metrics, and management by fact.

What Works?: Reviewing the Evidence Base for Neighbourhood Renewal. Online. The Learning Curve, 2003. <http://www.renewal.net/Documents/RNET/Policy%20Guidance/Whatworksreviewing.pdf>

This document provides an interim assessment of what works in neighbourhood renewal, based on the experiences of the New Deal for Communities partnerships. The document identifies best practices on partnerships and examines effective interventions in housing and physical infrastructure, education, worklessness, crime and health.

# Glossary of Terms

**Action research:** Action research is a dynamic process of community development. Research is conducted to foster ongoing learning within the community for capacity building that results in some form of community-based action and further research and learning. [Adapted from McKnight, *The Careless Society*, 1995; Friedmann, *Planning in the Public Domain: From Knowledge to Action*, 1987; and Mintzberg, et al., *Strategy Safari: A Guided Tour Through the Wilds of Strategic Management*, 1998.]

**Community assets:** “Every community member has gifts, skills and capacities that communities need.” Community assets include (a) community leaders, (b) community associations and agencies, (c) skills and knowledge within the community, and (d) physical facilities and resources. [Adapted from McKnight, *The Careless Society*, 1995.]

**Community:** A current definition focuses on a group or groups of people sharing common interests that are prepared to work collectively toward achieving their common interests. [Source: Morse, *Five Building Blocks for Successful Communities, The Community of the Future*, 1998.]

**Community building:** “The key to successful community building is to discover the community’s capacities and assets, ... connect them to one another in ways that multiply their power and effectiveness, and begin to harness local institutions that are not yet available for local development purposes.” [Source: Kretzman and McKnight in Morse, *Smart Communities*, 2004.]

**Community development:** Community development historically has focused on a process of improving the quality of life in a defined place (e.g. neighbourhood). The process involves neighbourhood residents accepting the role of leaders to implement a plan that residents have created, are committed to, and in which they are prepared to invest. [Adapted from Morse, *Smart Communities*, 2004 and McKnight, *The Careless Society*, 1995.]

**Community vision:** Community vision serves as both an inspiration and a sense of what needs to be done — a guiding idea, an image of what is desired. [Source: Mintzberg et al., *Strategy Safari*, 1998.]

**Neighbourhood:** A geographic, delimited residential area with physical structures and boundaries recognized by its residents. [Adapted from Morse, *Smart Communities*, 2004.]

Additional information on these and other terms is available on Tamarack’s website at <http://www.tamarackcommunity.ca/g3s118.html>.

