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PLANBAROMETER
IMPROVING THE QUALITY OF PLANNING

17-00719

CONTENTS

INTRODUCTION

The PlanBarometer project, initially known as the white paper on planning, emerged from resolution CRP/XV/01 of the Regional Council for Planning (CRP) of the Latin American and Caribbean Institute for Economic and Social Planning (ILPES) at its fifteenth meeting in Yachay (Ecuador) on 19 November 2015. ILPES took on the task of creating a guide on good practices in national, subnational and sectoral planning processes that incorporates instruments, approaches and methodologies for finance modelling in development planning and planning processes, particularly those linked to the 2030 Agenda for Sustainable Development. This tool is meant to serve as a reference for those responsible for national, subnational and sectoral planning processes in the region's countries.

Bearing in mind the reality of planning in the region and the conceptual basis developed by the Economic Commission for Latin America and the Caribbean (ECLAC), the expansion of the scope and depth of the initial model requested by the Regional Council for Planning was considered appropriate. The new tool goes one step further than the initial model, aiming to provide countries and subnational institutions with guidelines to improve their planning processes on the basis of their specific realities and objectives. It allows the comprehensive, participatory and systemic analysis of the operation and structure of development planning systems in Latin America and the Caribbean. For this reason, the name of the initiative was changed to "PlanBarometer of development planning", which is better suited to the instrument's purposes.

Despite the modifications, the original characteristics of the proposal remain intact and have been incorporated into the tool-building process. The design is based on the experience of Latin American countries and lessons learned and draws on theory and contemporaneous planning concepts, but places special emphasis on the learning arising from practice. It is also inspired by the participatory building guidelines followed by the International Organization for Standardization (ISO) which seek to emphasize and systematize the technical knowledge held by officials of the planning bodies of Latin American and Caribbean countries. However, it does not aspire to become a rigid certification and standardization system, but a guideline for use and exploitation based on self-evaluation rather than external surveillance. The original intention was to form technical committees to build this tool, but this was ultimately done through a survey of development planning experts using the Delphi method.[1] Lastly, the Regional Council for Planning underscored the need to evaluate the links between planning and the 2030 Agenda for Sustainable Development by incorporating into the PlanBarometer a mechanism to evaluate the level of inclusion of certain Agenda principles and the behaviour of the planning system based on this Agenda, with a view to strengthening its implementation and the achievement of the Sustainable Development Goals.

This document presents the outcomes of the process coordinated by ILPES in conjunction with planning entities in the region and it is divided into eight chapters. The first chapter examines the main background elements that justify the need for an instrument to characterize development planning processes and systems. The second chapter describes the proposed structure for planning process analysis, while the third summarizes the main stages and considerations of the methodology behind the PlanBarometer system, and the fourth presents the final proposed model. Chapter five introduces an analysis and explanation of the basic interpretations arising from the application of the proposed model, with a view to facilitating the understanding of the relationships between the various components,

[1] The Delphi method aims to build consensus among experts on specific themes, and is a type of qualitative analysis of opinions garnered through consultations via open-ended questions, which are later systematized in successive rounds.

dimensions, spheres, criteria and levels. Chapter six describes the system of prospective alerts built around the analysed criteria and their potential levels. Next is a glossary of terms recurring throughout the document, which homogenizes the language and underscores the need for comprehension and accurate use of concepts. The final chapter provides details of the methodological steps that ensure the appropriate implementation of the PlanBarometer to analyse processes and planning systems.

A. BACKGROUND OF THE PLANBAROMETER

Planning in Latin America and the Caribbean has undergone substantial changes in the past decade. It has re-emerged in many countries as a means of support for development policies and its functions have been modernized and adapted to political, institutional, economic and social conditions that are very different from those seen when this concept first emerged. Democratic progress in the region has played a fundamental role in re-evaluating planning, and is manifested in the acceptance of citizen participation in public activities and in the planning and building of sustainable futures, characterized by clear citizen empowerment through demands for improvement in social well-being.

The challenges and demands currently faced by the region's countries underscore the need to develop a second generation of development plans, processes and planning systems. This new modality must systematize, structure and showcase the experience gained in the past decade, in addition to addressing increasingly more complex, interconnected and dynamic social problems, which require efficient and flexible methods to design, implement and evaluate planning instruments.

While each country undertakes planning and builds its own vision of the future with different tools and objectives, there are some stylized facts which give an indication of the direction towards which the planning objectives are oriented. ECLAC, through ILPES, is conducting an exercise to monitor planning practice in the region. This exercise has facilitated the identification of stylized facts, emphasis and common characteristics observed in government plans and development agendas that are summed up below.[2]

For example, the global and regional commitments made by each country are good structured guidelines for medium-to-long-term plans and programmes. The implementation of the 2030 Agenda for Sustainable Development represents an excellent opportunity to renew commitments, agree on new objectives relevant to the region and frame them in national, subnational and sectoral planning entities, and promote cooperation between countries in order to build a regional agenda.

In the studies analysed or supported by ILPES in the past few years in terms of development or implementation, most countries set goals for growth in per capita GDP and employment, and re-establish the need to prioritize real balances (GDP, employment and real wages) without neglecting nominal ones (inflation, interest rates and exchange rates), and focus on guaranteeing the sustainability of the process (social, economic and environmental). At the same time, there is a strong emphasis on the equality, social cohesion and poverty eradication trilogy, which reinforces the comprehensive vision of development.

Bearing in mind the presently favourable conditions for development and the consolidation of planning in the region, the current proposal derives from the resolutions of the Regional Council for Planning,[3] which calls for ILPES to compile, systematize and help to disseminate the methodological innovations in development planning that are being implemented in Latin America and the Caribbean.

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2 For more detailed analysis, see Armijo (2010); ECLAC (2013); Cuervo and Máttar (2014).

3 See resolution CRP/XIV/01 adopted by the Regional Council for Planning at its fourteenth meeting (Brasilia, November 2013); and resolution 679(XXXV) "Support for the work of the Latin American and Caribbean Institute for Economic and Social Planning", adopted at the thirty-fifth session of ECLAC (Lima, May 2014).

B. STRUCTURE OF THE PLANBAROMETER

The PlanBarometer, which enables the characterization of development planning processes, is easy to use and encourages reflection that helps to shape process-enhancing decisions. It includes different input sources: the experience of member States of the Regional Council for Planning, as well as planning theory and quality standards. It also promotes the incorporation of the 2030 Agenda for Sustainable Development with the aim of shared development.

1. Analytical models

Development planning is understood in this document as a set of actions targeting the ultimate goal of community well-being. The mandate of the Regional Council for Planning highlights the need for a general analytical model for development planning. However, the thematic and conceptual complexity of the subject makes it difficult to design a single instrument that can address every detail and specificity with the required precision and efficiency. For this reason, broader scope and coverage with more detailed and specific instruments are needed.

In the work done by ILPES on development planning systems, various considerations serve as the basis of the analytical structure proposed for the PlanBarometer. The first relates to planning as the technical, political and administrative expression of the actual context and the wishes of the community organized into coherent, efficient and logical frameworks. Another consideration involves the major planning challenges in Latin America and the Caribbean at three levels: (i) intra-State, (ii) intertemporal and (iii) intersectoral (ECLAC, 2017). These elements fall under two analytical models:

(i) **National development planning model.** This model is considered the basis of analysis as it involves planning as a political, technical and administrative phenomenon. It seeks to identify the basic elements needed to define the relationship between the political, technical and administrative processes of development planning, and places emphasis on government and State instruments, which are an expression of the objectives and measures needed to achieve a certain level of development.

(ii) **Subnational development planning model.** This model is understood as the facilitator of a more precise approach to the challenge of multi-level development planning, identifies the relationships between national and subnational planning, and seeks to strengthen linkages and coordination between different State levels. At the same time, it incorporates links with global and regional commitments as a relevant level of analysis.

This document includes a proposal of the national and subnational development planning models, which have been validated in applied exercises and agreed on with planning experts in the region (see section C).

Both models include criteria and levels that are analysed according to their spheres and dimensions. The elements of these models are as follows.

2. Criteria

The PlanBarometer model comprises a set of explanatory factors called criteria, which are the central unit of analysis and defined as the aspects that influence or determine the quality of development planning. Examples of criteria are: stakeholder analysis, traceability, feedback or updating mechanisms, inter-agency coordination and the timeframe of planning (see section D for criteria details).

3. Levels

Each criterion is made up of different levels that reflect the existing situation or conditions at the moment the methodology is applied. The real situation is always taken into account when criterion levels are determined. However, complementary exercises may use an ideal or desired situation as a benchmark.

The number of levels is not the same for each criterion. There are a minimum of three and a maximum of five, and the higher the level, the better the quality. The gradation of levels is determined in two ways:

(i) By complexity: elements described in one level are not necessarily included in the next, but the criterion changes and increases in complexity.

(ii) By accumulation: factors increase and accumulate, so elements described in one level are included in the next level along with new factors, and so on.

4. Spheres

Each criterion belongs to a specific sphere of analysis that may be an instrument, a process or a system. The sphere is a benchmark used to interpret the level of the criterion under analysis.

These spheres can be represented as concentric circles ranging from lesser to greater complexity and provide a useful benchmark for practical application of the methodology (see diagram 1).

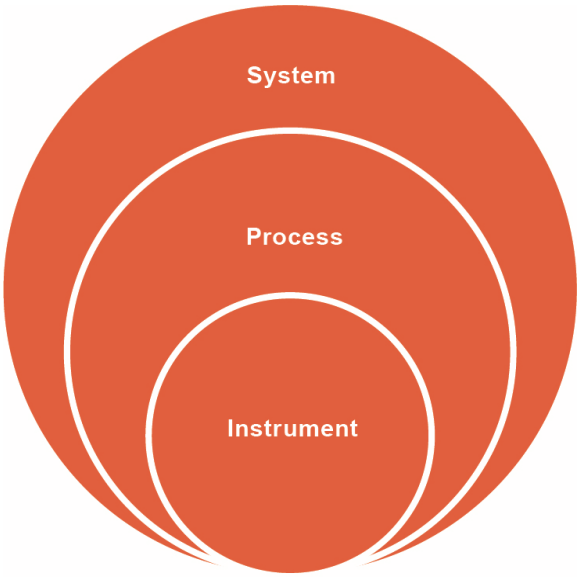
5. Dimensions

Dimensions are groups of criteria linked by similar themes. Those used in the models are as follows:

- Institutional: the facilitating or supporting elements of development planning processes.
- Design: the elements linked to the making of plans and strategies.
- Implementation: the way in which plans and strategies are put into practice.
- Outcomes: groups together factors that allow monitoring, follow-up and evaluation of the quality of planning processes.
- Global and regional commitments: includes the aspects most relevant to measuring the incorporation of the 2030 Agenda into planning systems and processes.

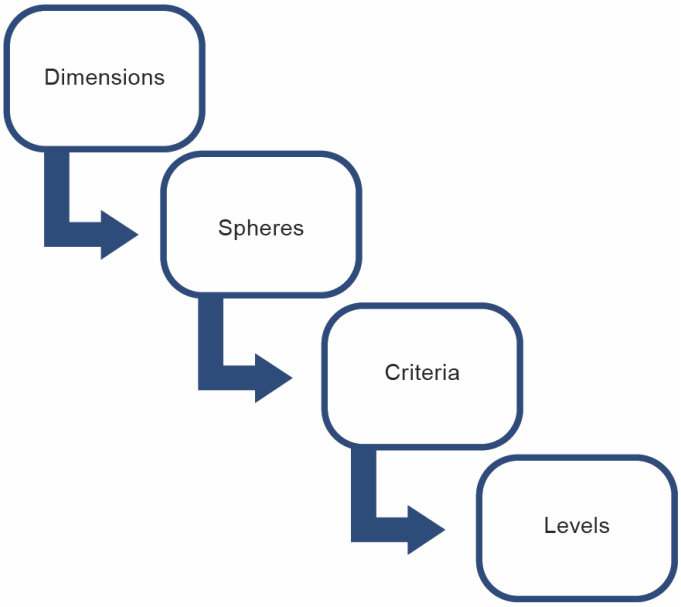
Diagram 2 summarizes the proposed structure.

Diagram 1
Development planning models: spheres of analysis



Source: Economic Commission for Latin America and the Caribbean

Diagram 2
PlanBarometer structure



Source: Economic Commission for Latin America and the Caribbean (ECLAC).

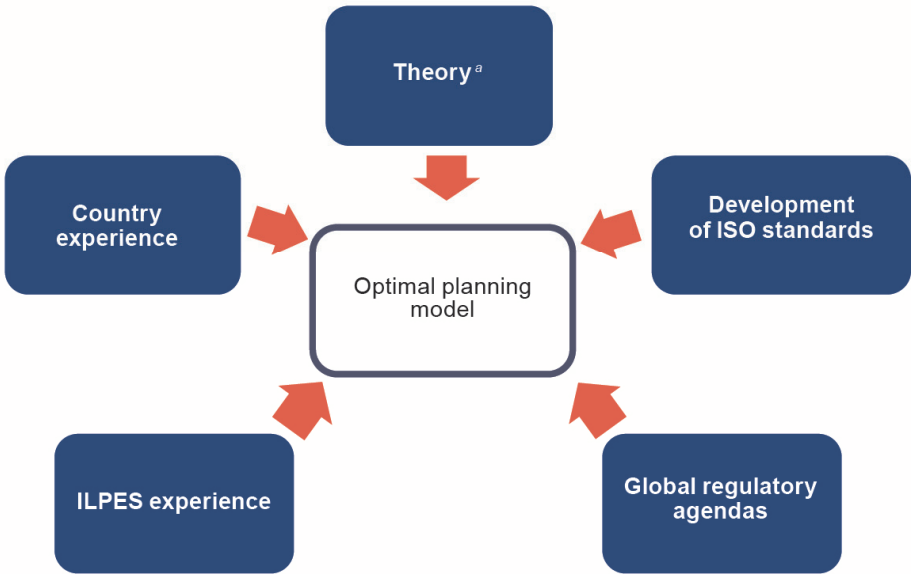
C. SUMMARY OF THE METHODOLOGY USED TO BUILD THE PLANBAROMETER

What follows is a summary of the main stages involved in building the PlanBarometer system, both in the design and preliminary validation phases. These activities were coordinated and systematized mainly by ILPES. Nonetheless, the participation and commitment of planning authorities, officials and experts of the Regional Council for Planning in workshops and activities played a key role.

1. Construction of the preliminary model

The first stage consisted of building a preliminary analytical model for subnational development planning, with 32 criteria organized into four dimensions. This initial model was built taking into account the technical cooperation processes developed by ILPES in collaboration with the region of Valparaíso (Chile), in the second half of 2014. The development of this model was based on a number of sources, including regional planning theory, local development theories and the Millennium Development Goals. The sources used to build the preliminary model are shown in diagram 3.

Diagram 3
Sources used to build the preliminary model



Source: Economic Commission for Latin America and the Caribbean (ECLAC).
[a] On the basis of P. Berke and D. Godschalk , "Searching for the good plan: a meta-analysis of plan quality studies", *Journal of Planning Literature*, vol. 23, Nº 3, Sage Publications, February 2009; B. Helmsing and F. Uribe-Echeverría, "La planificación regional en América Latina: ¿teoría o práctica?", *Experiencias de planificación regional en América Latina: una teoría en busca de una práctica* (E/CEPAL/ILPES/G. 6), S. Boisier, F. Cepeda, J. Hilhorst, S. Riffka and F. Uribe-Echeverría (comps.), Economic Commission for Latin America and the Caribbean (ECLAC), September 1981, Santiago; P. R. Niven, *Balanced Scorecard Step-by-Step for Government and Nonprofit Agencies*, John Wiley & Sons, 2011.

2. Application of the preliminary model

The preliminary subnational model was applied in a number of cases, with the aim of analysing its ability to characterize development planning processes and to evaluate the modalities of application in workshops and working meetings. The State of Jalisco in Mexico was used as a test case for this phase in the first half of 2015. The exercise produced information on the strengths and weaknesses of the initial methodological proposal, and adaptations and improvements for use in other cases. Some criteria were redefined and rearranged and the manner of conducting the workshops was fine-tuned.

- Extension of the subnational model to the national level: on the basis of the initial experiences, the original design of the subnational model was adapted to planning systems at the national level: this involved integrating new dimensions and analysis criteria, as well as considering the possibility of establishing a prospective alert system and linking it with analysis of the planning system's strengths in order to keep on track towards the goals set forth in the planning instruments. This work was carried out in the second half of 2016.

- Application of the preliminary national model to Costa Rica's planning system in the first half of 2017: valuable information was collected on the relevance of the methodological approach based on a system that is highly structured and that benefits from institutional recognition and a long operational trajectory.

- On the basis of the Costa Rica experience, recommendations were incorporated and the model was adjusted to include specific spheres (to indicate the scope of analysis for each criterion, in other words, the planning system, process or instrument). A section was also added for the justification and verification of the agreed level.

- Application of the subnational model in the State of Guanajuato (Mexico), the province of Tucumán (Argentina) and the municipality of León (Mexico). These experiences influenced the design of methodology application manuals and the specification of the criteria to include for analysis by the working groups.

3. Design and application of Delphi questions

This phase used the Delphi methodology as an analytical framework, and applied it to a group of experts appointed by the region's planning authorities, along with other experts and former students of ILPES courses. This stage was the central pillar of the collaborative work with development planning experts and officials, and allowed them to identify the main challenges of planning and to apply a reconstruction mechanism (creative destruction) to the preliminary model, which sought to identify the most valuable criteria to explain good-quality planning instruments, processes and systems in Latin America and the Caribbean.

Following the systematization of the outcomes of the first Delphi round and the application of the second round, it was possible to identify the optimal levels for each criterion and the criteria dimensions.

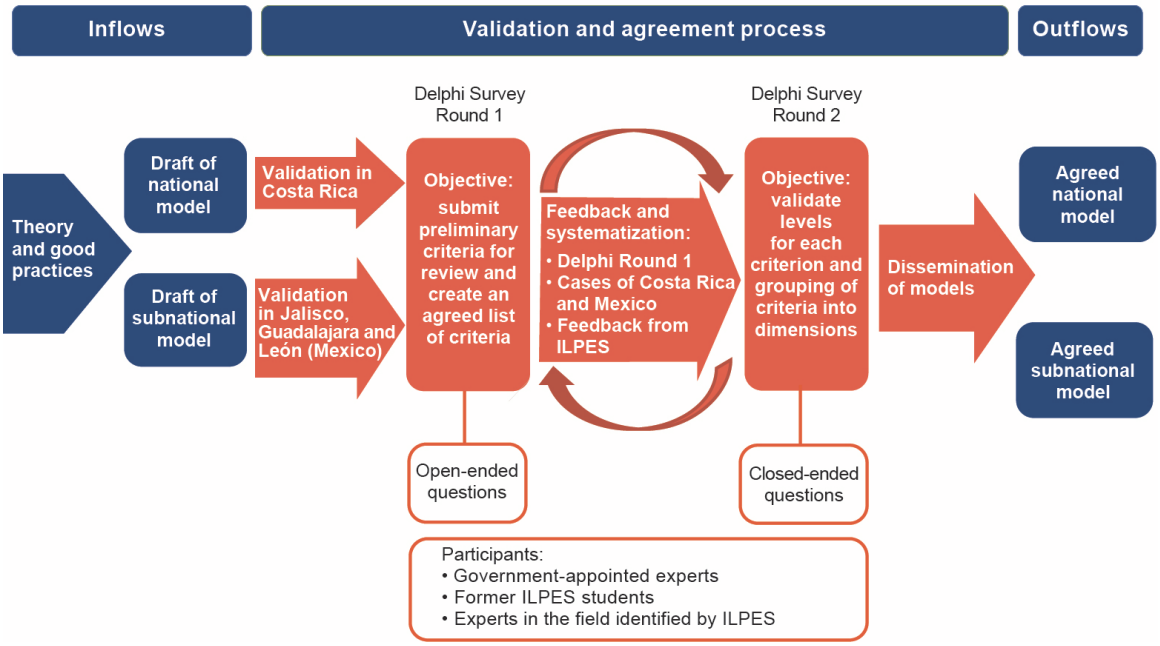
4. Consensus on the final PlanBarometer model

The model's agreed criteria were determined on the basis of the systematization of the two Delphi rounds.

This final phase also included the dissemination of the proposal in the different countries, especially those that participated actively through appointed experts' responses to the questions.

Diagram 4 summarizes the methodological process of building the tool described above.

Diagram 4
Building phases of the PlanBarometer



Source: Economic Commission for Latin America and the Caribbean (ECLAC).

5. Summary of the Delphi survey process

Given the importance of this survey in the building of the PlanBarometer, this section summarizes the most significant aspects of the process.

(a) Structure and outcomes of the survey

Round 1:

- Evaluation of the importance of the preliminary model's criteria in determining the quality of development planning (mandatory questions, on a scale from 0 to 3).
- Identification of new criteria for possible inclusion (optional questions).
- Identification of the circumstances of the planning process and the main challenges faced (optional questions).

Round 2:

- Validation of the list of criteria, levels and grouping of criteria into dimensions (mandatory questions).
- Identification of the threshold for each criterion (mandatory questions).
- Prioritization of criteria (mandatory questions).

(b) Surveyed groups

- Experts appointed by the national planning authorities of the Regional Council for Planning's member States. These planning authorities were asked to designate focal points, who then selected development planning experts.
- Other planning professionals with experience in research, consulting or teaching linked to development planning in Latin America and the Caribbean.
- Former students of ILPES development planning courses in the past seven years.

Table 1 summarizes the responses recorded in the Delphi survey:

Table 1
Summary of responses recorded in Delphi survey

Surveyed groups	**Round 1**	**Round 2**	**Total**
Experts appointed by national planning authorities	31	31	31
Other professionals	42	42	42
Former students of ILPES planning courses	387	387	387
Total	**460**	**460**	**460**

Source: Economic Commission for Latin America and the Caribbean (ECLAC).

(c) Outcomes

The methodology applied to systematize the outcomes of the first round used content analysis techniques as the survey included open-ended questions. The appointed experts' responses were analysed and categories were determined that were subsequently applied to other groups of respondents (other professionals and former ILPES students). As three closed-ended questions were posed in the second round, that analysis focused on response frequency.

Figure 1 shows some of the main outcomes of the first and second rounds of the Delphi survey, which serve as the basis for the PlanBarometer models and their instruments for interpretation of results.

Figure 1

Rating average and frequency by criterion, on the basis of appointed experts' responses

A. Average of ratings

(Points on a scale from 0 to 3)

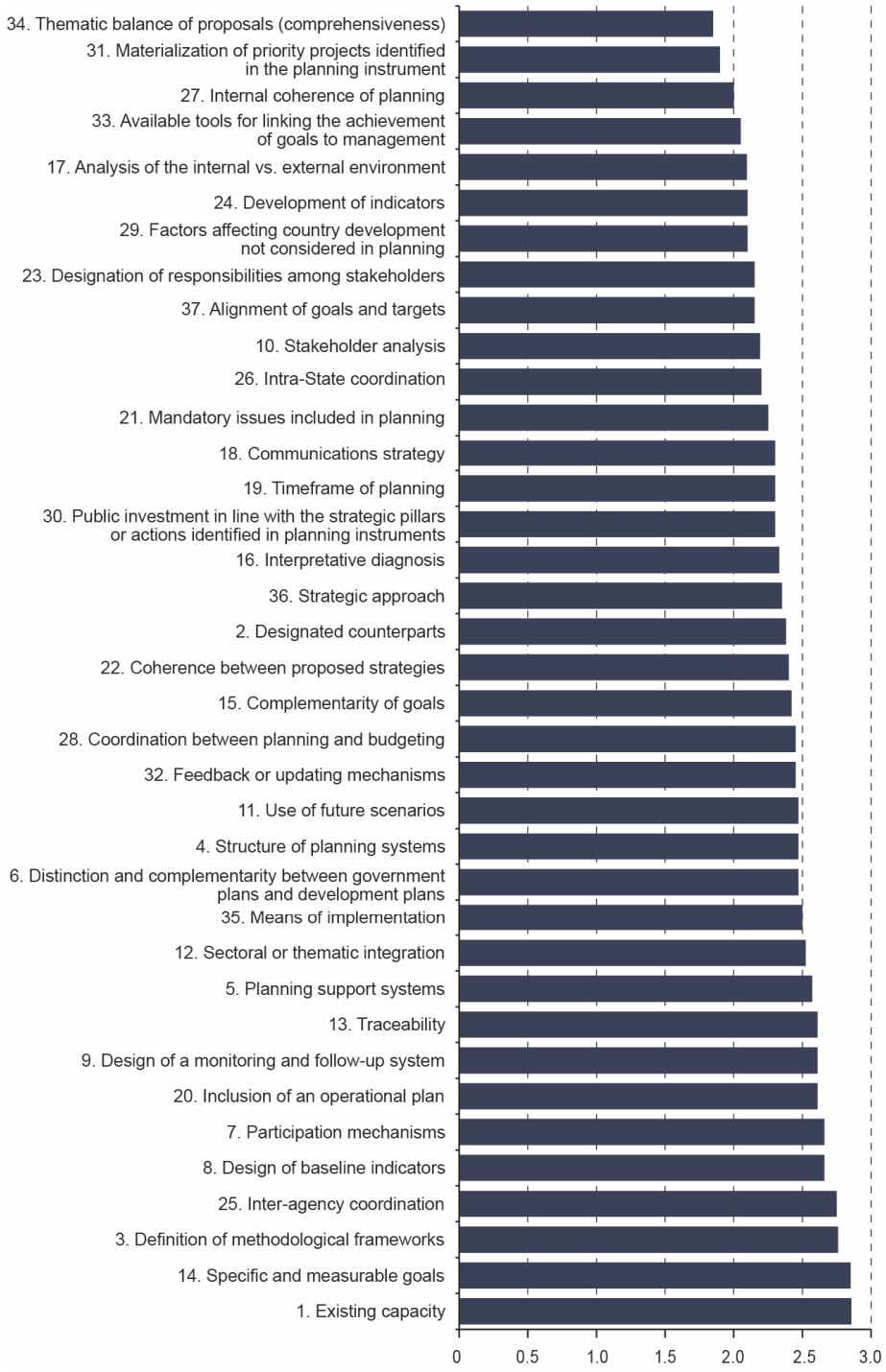
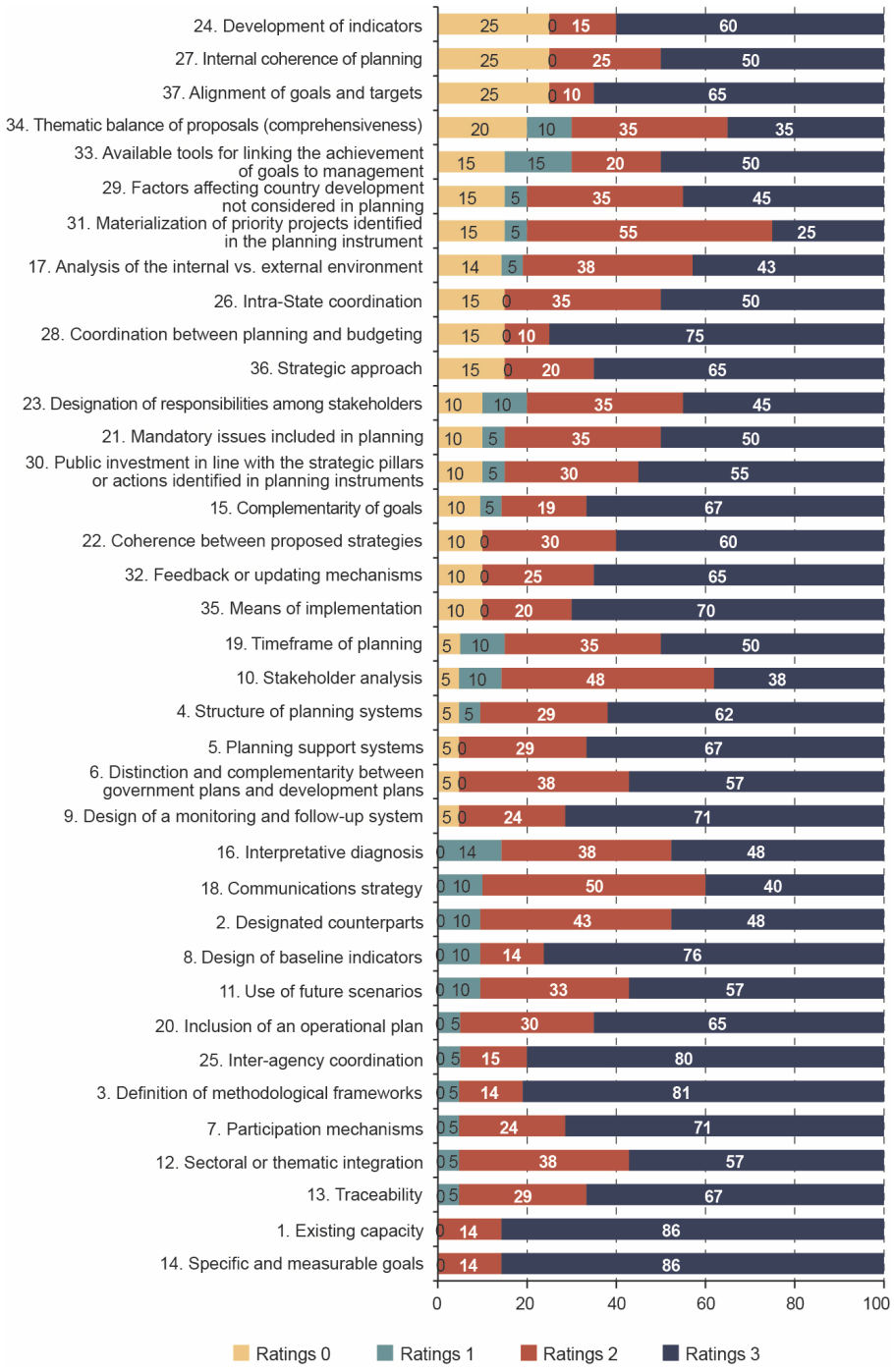


Figure 1 (continued)

B. Frequency of ratings
(Percentages)



Source: Economic Commission for Latin America and the Caribbean (ECLAC).

Figure 1.A shows the average of ratings assigned by the appointed planning experts. They are arranged from lowest to highest, with the aim of reflecting the criteria with the highest averages to explain the quality of planning processes. Overall, almost all the proposed criteria reflect an average higher than 2. The scale used is as follows:

- 0: The criterion does not add value. It is not a factor that captures the quality of a planning process.
- 1: The criterion adds little value. It is not an important factor for ensuring the quality of a planning process.
- 2: The criterion adds value. It is an important factor for ensuring the quality of a planning process.
- 3: The criterion adds significant value. It is an indispensable factor for ensuring the quality of a planning process.

The analysis of rating frequency was also considered in order to include opinions outside the average range and complemented with the responses to open-ended questions. The criteria at the top of figure 1.B reflect lower ratings but also a higher standard deviation of responses.

D. PLANBAROMETER MODEL PROPOSAL

The outcomes of the consultation and validation processes involving practical exercises and experts on the subject facilitated agreement on the structure of the analytical system and the criteria shaping the exercise for two models: national and subnational. The criteria can also be arranged in three distinct spheres of analysis, which are benchmark levels for their application. The national planning model comprises the criteria in table 2, with the corresponding sphere (S: system, P: process, I: instrument) and description:

Table 2
Sphere and description of criteria included in the national planning model

Criterion	Sphere	Description
1 Existing capacity	S	Helps to analyse the level of development of planning personnel's capacity.
2 Designated counterparts	S	Those responsible for driving, leading and coordinating planning processes. Includes those working with development planning authorities and related external institutions.
3 Definition of methodological frameworks	P	Refers to the development or application of methodological frameworks or models adapted to the actual context or to the themes addressed in development planning.
4 Structure of planning systems	S	The national planning system may be understood as the structured and integrated set of standards, institutions, processes, instruments, methodologies, mechanisms and procedures for development planning at different State levels and in national, sectoral and institutional processes.

Table 2 (continued)

Criterion	Sphere	Description
5 Participation mechanisms	P	Aims to determine whether community/society participation mechanisms are mainstreamed in development planning processes.
6 Design of baseline indicators	I	Provides input for the monitoring and follow-up system, and involves the creation of a set of indicators that describe conditions during the preliminary stage.
7 Design of a monitoring and follow-up system	S	Establishes a mechanism to determine whether plans are being implemented and the necessary updates or adjustments are being made.
8 Stakeholder analysis	P	Determines whether planning processes incorporate an instrument that identifies the primary stakeholders influencing planning and their stance on planning instruments' objectives and strategies, with the aim of anticipating support or rejection.
9 Use of future scenarios	I	Incorporates a foresight function into planning. Scenarios are interpreted as configurations of future variables that may influence the probability of strategy implementation.
10 Sectoral or thematic integration	I	Analyses the level of integration of sectoral or thematic issues into planning instruments. The aim is an understanding of the multicausal complexity and connections between sectors and themes. This criterion includes the definition of elements such as macroproblems and macrogoals that link isolated situations.
11 Methodological framework in line with plan	I	The theme or national complexity under consideration must be taken into account in the methodological basis of the planning process.
12 Traceability	I	The capacity to establish sequential links between the elements of planning instrument design during the methodological phases or stages. The planning instrument's design contains information that helps to reconstruct the instrument's inverse sequence, from the final actions to the elements that justify them in the diagnosis. There is an assessment of whether or not it is possible to establish direct or clear links from the final level of disaggregation (strategies, actions or plans, depending on the case) to the diagnosis. In this case the diagnosis would be considered as the starting point, followed by goals and indicators, then targets and strategies, and finally the operational plan. The operational plan refers to any type of planning that facilitates the implementation of strategies, and may be a programme, policy or project, for example.
13 Complementarity of goals	I	Specific goals contribute collectively to achieving a higher national goal. This criterion analyses situations to determine whether they reflect the duplication of goals, contradictions between sectoral priorities, or overlapping of goals that are similar but expressed differently, for example.
14 Specific and measurable goals	I	Goals must be defined as the future conditions to be met and at the same time must fulfil a set of quality requirements. The goals should be specific, measurable, attainable, results-based and time-bound.
15 Interpretative diagnosis	I	The explanatory value of the diagnosis must be determined and its development must be suitably linked to the territorial context by a relevant theoretical model which requires data to be processed and interpreted in line with these theoretical proposals.

Table 2 (continued)

Criterion	Sphere	Description
16 Analysis of the internal vs. external environment	I	Aims to determine whether planning instruments include the analysis of the linkages between internal and external factors that condition development; internal factors are those managed by the authorities.
17 Communications strategy	P	Strongly linked to participation and its main goal is to ensure the involvement of the greatest possible number of social stakeholders in the planning process. Various factors are taken into consideration that are grouped together to be evaluated as a whole. There is an assessment of the questions raised at each stage of the planning process, such as: What is being communicated? How is it being communicated? Who is it being communicated to? What is the purpose of this communication? This also involves information evaluation and feedback.
18 Timeframe of planning	I	The development plan proposals must provide details of the different time horizons that will be influenced or involved. These characteristics must be identified in order to adapt strategies and activities to each time horizon and to assign priorities.
19 Inclusion of an operational plan	I	Considers the specific proposals formulated as actions, policies, programmes, projects or activities that will bring the chosen strategies or goals to fruition. Evaluation takes into account the relationship between actions and goals and between actions and financing sources. The operational plan may not be included in the development plan document, but it is linked to it, given that it represents the implementation of the strategy.
20 Mandatory issues included in planning	I	A group of themes must be included in the building of the planning instrument, either on the basis of legal requirements or of recommended standards pertaining to the existence of common principles or values. These approaches must be mainstreamed in each stage and theme included in the plan (for example, gender, equality and biodiversity).
21 Designation of responsibilities among stakeholders	P	Analyses the appointment of supervisors who can establish commitments for the implementation of planning instruments' strategies and goals. The aim of this criterion is to link supervisors with policies and strategies.
22 Development of indicators	I	The fulfilment of this criterion produces a useful instrument to evaluate measurable changes in territorial conditions that are attributable to the execution of the plan.
23 Inter-agency coordination	S	One way of measuring the quality of the plan, assuming that stronger social relationships help to execute more complex tasks requiring major social change. It identifies the horizontal relationship between institutions at the same level of government.
24 Internal coherence of planning	I	Aims to analyse the degree of internal coherence of the planning instrument, in other words, whether logical links can be established between goals and operational plans. The operational plan may comprise policies, programmes or projects.
25 Coordination between planning and budgeting	S	The way to link financing with the planning instrument's goals and the operational plan defined in the instrument. Operational plans are the projects, programmes or policies deriving from the planning instrument, such as actions and activities to achieve goals and strategies. The link between the budget items and goals or operational plans should also be analysed.

Table 2 (concluded)

Criterion	Sphere	Description
26 Factors affecting country development not considered in planning	I	Analysis of the elements that may influence the achievement of targets but which were not included in the planning instrument design stage.
27 Public investment in line with the strategic pillars or actions identified in planning instruments	S	A means of estimating the relationship between the planning instrument and implementation, in other words, determining whether the priorities set out in the planning instrument effectively translate into new investment.
28 Materialization of priority projects identified in the planning instrument	P	Crucial to forming a rough assessment of the implementation of planning instruments, without developing more complex impact measurement processes.
29 Feedback or updating mechanisms	P	Mechanisms that collect, organize and provide data on planning processes. Includes mechanisms that evaluate planning processes.
30 Available tools for linking the achievement of goals to management	S	Aims to analyse the existence of institutional tools to create incentives or disincentives to achieve planning instruments' goals.
31 Thematic balance of proposals (comprehensiveness)	I	Proposals must be balanced with respect to themes and sectors. Sectoral strategies with a limited causality approach, in other words, from just one sectoral perspective, should be avoided.
32 Means of implementation	S	Ways of putting the 2030 Agenda for Sustainable Development into practice.
33 Strategic approach	I	Proposals have a strategic focus, meaning that they prioritize potential developments and prepare courses of action.
34 Alignment of goals and targets	I	Development plans should be aligned with the goals, targets and indicators of the 2030 Agenda for Sustainable Development, and although targets or indicators to measure the achievement of goals may differ, these elements are expected to facilitate comparisons and the analysis of gaps.

Source: Economic Commission for Latin America and the Caribbean (ECLAC).

The subnational model includes the abovementioned criteria as well as those presented in table 3.

Table 3
Sphere and description of additional criteria of the subnational planning model

Criterion	Sphere	Description
1.1 Methodological framework in line with territory (level of complexity)	I	Analyses whether the methodological framework is appropriate or in line with the complexity of territorial elements. Some territories may reflect major differences owing to the determining factors of their development, either through elements such as the population, which could involve heterogeneous features that result in conflict or polarization and complicate the planning process, or natural resources, which may reflect fragile conditions that prevent economic exploitation.
1.2 Intra-State coordination	S	This refers to the way the vertical levels of the State are coordinated. Although their names and configurations may vary, these levels follow a national-intermediate-local-neighbourhood rationale. From a top-down perspective, national plans must be incorporated into the planning processes of lower levels as structural components of proposals. In the bottom-up approach, demands or proposals deriving from the lower levels must be incorporated into planning processes at higher levels. Planning authorities must balance this bidirectionality in a rational manner.

Source: Economic Commission for Latin America and the Caribbean (ECLAC).

Table 4 describes the levels of analysis used to evaluate each criterion in one of the five dimensions considered in the models.

Table 4
Levels of analysis for the evaluation of each criterion

Criterion	Level of analysis
Institutional dimension	
1.1 Existing capacity	1. Low level of capacity; support from external experts (for example consultants or advisers) is generally needed. 2. Professionals responsible for developing planning instruments, but few defined and institutionally agreed processes to support planning. 3. High professional capacity; experts in the institution who can define their own methodology and processes to support planning.
1.2 Designated counterparts	1. No counterparts or actors with the capacity to take decisions in the planning process. 2. Counterparts within the institution responsible for planning. 3. Counterparts within and outside the institution responsible for planning.

Table 4 (continued)

Criterion	Level of analysis
1.3 Definition of methodological frameworks	1. No defined methodological frameworks in planning processes. 2. Generic methodological model, with no major adaptations to the national context. 3. Various methodological models adapted to the subnational context or a specific framework taking the territory's specificities into account.
1.4 Structure of planning systems	1. Different planning instruments and system components not linked to each other or to other systems. No formal planning system definition. 2. Planning instruments linked to each other, but no links with components or other systems. Formal planning system definition. 3. Planning instruments linked to each other and also to the various components of the planning system. However, no links with other systems. 4. Planning understood as a system; linked to other systems.
Design dimension	
2.1 Participation mechanisms	1. Planning instruments and processes include questions posed to citizens. 2. Planning instruments and processes include validation by citizens. 3. Planning instruments and processes include proposals by citizens. 4. Planning instruments and processes include oversight by citizens.
2.2 Design of baseline indicators	1. No baseline for each indicator. 2. Baseline for each indicator and value assigned to baseline. 3. Baseline for each indicator and its targets over different time periods.
2.3 Design of a monitoring and follow-up system	1. Planning follow-up and monitoring system limited to budget implementation monitoring. 2. Planning follow-up and monitoring system includes the development of indicators with respect to strategies. 3. Planning follow-up and monitoring system includes the development of indicators with respect to strategies and goals (from methods to impact indicators).
2.4 Stakeholder analysis	1. No relevant stakeholders that could be involved in achieving planning instrument goals are identified or characterized. 2. Stakeholders participating in the planning instrument development process identified, but not characterized, or links with them not identified. 3. Stakeholders and links with them identified; on this basis, their position on various planning instrument strategies and goals taken into account. 4. Stakeholders, links with them and their position on various planning instrument strategies and goals identified, and possible partnerships with them defined.
2.5 Use of future scenarios	1. Future scenarios not considered. 2. Future scenarios defined. 3. Defined future scenarios linked with goals or strategies.

Table 4 (continued)

Criterion	Level of analysis
2.6 Sectoral or thematic integration	1. Planning instrument issues or goals addressed separately, by sector, preventing a cause and effect assessment.
	2. Causal links between identified issues or goals, with some degree of sectoral or thematic integration of planning instruments.
	3. Issues or goals integrated into sectors or themes, and intersectoral strategies established in planning instruments.
2.7 Methodological framework in line with territory (level of complexity)	1. Methodology does not analyse or propose adaptations to territorial complexity.
	2. Methodology incorporates differences deriving from some factors conditioning development (natural resources, financial resources, people and institutions).
	3. Methodology incorporates differences deriving from all factors conditioning development (natural resources, financial resources, people and institutions).
2.8 Methodological framework in line with plan	1. No specific methodology adapted to subnational context.
	2. Elements of some methodologies adapted to subnational context.
	3. Specific methodologies adapted to subnational context.
2.9 Traceability	1. Some sequential links between operational plan, strategies and targets.
	2. Sequential links between operational plan, strategies, targets and indicators.
	3. Sequential links between operational plan, strategies, targets, indicators and goals.
	4. Sequential links between operational plan, strategies, targets, indicators, goals and diagnosis elements.
2.10 Complementarity of goals	1. Goals separated by thematic area.
	2. Goals based on general guidelines or a specific vision.
	3. Definition of goals includes analysis of each one's contribution to a higher goal and degree of complementarity.
2.11 Specific and measurable goals	1. Goals are defined in terms of an activity, not a future action.
	2. Goals are defined as a future action.
	3. Goals are defined as a future action and have some of the requirements needed to be properly framed.
	4. Goals are defined as a future action and have the requirements needed to be properly framed.
2.12 Interpretative diagnosis	1. Diagnosis gathers data and statistics with no link to a theoretical model that facilitates comprehension.
	2. Diagnosis includes data processing and a partial link to a theoretical model that facilitates comprehension.
	3. Diagnosis includes an interpretation of data processing through a comparison with a theoretical model that facilitates comprehension.
2.13 Analysis of the internal vs. external environment	1. Some internal or external elements foster or complicate the achievement of development goals.
	2. Internal and external elements foster or complicate the achievement of development goals.
	3. Internal and external elements intertwine and a diagnosis is developed to create strategies.

Table 4 (continued)

Criterion	Level of analysis
2.14 Communications strategy	1. No prior information-dissemination activities to motivate participation of the community or society in planning.
	2. Communication plan on phases of development plan, showing how people can participate in each phase.
	3. Communication plan, differentiated audiences and various strategies to inform these audiences and motivate them to participate in planning.
2.15 Timeframe of planning	1. No specific time horizon for each goal and strategy.
	2. One time horizon for all goals and strategies.
	3. Strategies and goals classified according to differentiated deadlines.
	4. Strategies and goals classified according to differentiated deadlines linked to distribution over time of policy cycles addressing development planning.
2.16 Inclusion of an operational plan	1. Activities, actions or projects partially in line with operational plan goals and strategies.
	2. Operational plan addresses all goals and strategies and identifies funding sources.
	3. Operational plan addresses all goals and strategies and identifies funding sources, supervisors and deadlines.
	4. Operational plan addresses all goals and strategies, identifies funding sources, supervisors and deadlines, and includes socioeconomic or risk assessments.
2.17 Mandatory issues included in planning	1. Addresses issues as separate themes.
	2. Includes some issues in certain stages or aspects of planning instruments.
	3. Includes issues in most stages or aspects of planning instruments, but they are not integrated.
	4. Includes mandatory issues, from diagnosis to strategies, which are integrated and consistent with stages or aspects of planning instruments.
Implementation dimension	
3.1 Designation of responsibilities among stakeholders	1. Defines responsibilities of each stakeholder on strategies.
	2. Defines responsibilities of each stakeholder on goals.
	3. Defines responsibilities of each stakeholder on goals and strategies.
3.2 Development of indicators	1. Definition of indicators only.
	2. Definition of indicators, provision of data, mainly quantitative, for some indicators.
	3. Definition of indicators, provision of data for all indicators. Includes qualitative indicators.
3.3 Inter-agency coordination	1. Common goals for different institutions.
	2. Institutions have identical functions, responsibilities and competencies.
	3. Clear mechanisms for communication between institutions.
	4. Specific decision-making groups comprising members of various public institutions.
	5. Synchronization of times, responsibilities, interdependencies and resources for the execution of actions and activities between institutions.

Table 4 (continued)

Criterion	Level of analysis
3.4 Intra-State coordination	1. National guidelines and policies not included in plan proposals. 2. National policies and characteristic conditions of territories targeted by planning included in each phase of process. 3. Proposals adapted to local context on basis of application of national policies.
3.5 Internal coherence of planning	1. No clear coherence in planning instrument elements. 2. Coherence between diagnosis and planning instrument goals. 3. Coherence between diagnosis and planning instrument goals and strategies. 4. Coherence between diagnosis and goals and strategies of planning instruments and operational plans.
3.6 Coordination between planning and budgeting	1. No budget for goals or operational plans. 2. Planning instruments have sources of funding for all goals, but not all operational plans. 3. Planning instruments have sources of funding for all goals and operational plans. 4. In addition to sources of funding for all goals and operational plans, the budget system links budget goals and operational plans.
Outcome dimension	
4.1 Factors affecting country development not considered in planning	1. No consideration of factors that may affect planning instruments. 2. Consideration of factors that may affect planning instruments, but no strategies to anticipate these factors. 3. Strategies to anticipate factors that may affect planning instruments included in those instruments.
4.2 Public investment in line with the strategic pillars or actions identified in planning instruments	1. Public investment not in line with planning instrument actions. 2. Between one third and three quarters of public investment in line with strategic pillars of planning instruments. 3. More than three quarters of public investment in line with planning instrument actions.
4.3 Materialization of priority projects identified in the planning instrument	1. No materialization of priority strategies or projects in planning instruments. 2. Materialization of some priority strategies or projects in planning instruments, with no justification relating to diagnosis or methodology. 3. Materialization of priority strategies or projects in planning instruments according to criteria relating to diagnosis, methodology or other justifications defined by the government.
4.4 Feedback or updating mechanisms	1. No feedback or updating mechanisms. 2. Limited feedback mechanism. 3. Complete feedback and updating mechanism.

Table 4 (concluded)

Criterion	Level of analysis
4.5 Available tools for linking the achievement of goals to management	1. No institutional mechanisms for incentives or disincentives relating to the achievement of planning instrument targets.
	2. Institutional incentives relating to the achievement of planning instrument targets.
	3. Institutional mechanisms for incentives or disincentives relating to the achievement of planning instrument targets.
Global and regional commitments dimension	
5.1 Thematic balance of proposals (comprehensiveness)	1. Sectoral proposals.
	2. Proposals including more than one sector.
	3. Strategic intersectoral proposals.
	4. Strategy balanced with respect to themes or sectors.
5.2 Means of implementation	1. Systemic aspects of 2030 Agenda not included in planning instrument implementation strategies.
	2. Systemic aspects of 2030 Agenda included in implementation strategies.
	3. Systemic aspects of 2030 Agenda and initiatives proposed by ECLAC included in implementation strategies.
5.3 Strategic approach	1. No evidence of analysis of strategic elements (Pareto optimality) in the formulation of integration and implementation strategies.
	2. Definition of strategic elements (Pareto optimality) in the formulation of integration and implementation strategies.
	3. Definition of strategic elements (Pareto optimality) in the formulation of integration and implementation strategies, and of steps required to achieve goals.
5.4 Alignment of goals and targets	1. No alignment of development plan goals and Sustainable Development Goals.
	2. Alignment of development plan goals and Sustainable Development Goals.
	3. Alignment of development plan goals and Sustainable Development Goals, and comparison of targets for each one.
	4. Alignment of development plan goals and Sustainable Development Goals, and comparison of targets and indicators for each one.

Source: Economic Commission for Latin America and the Caribbean (ECLAC).

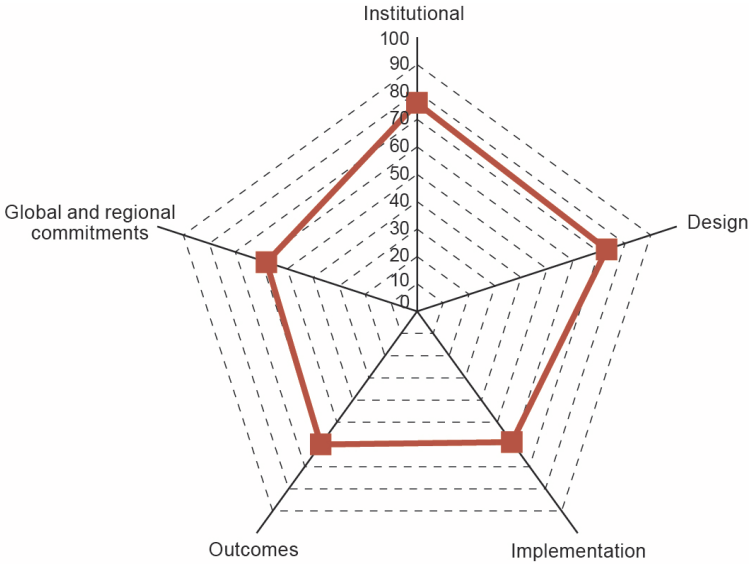
E. BASIC INTERPRETATIONS ARISING FROM THE MODEL

The design of the PlanBarometer instrument includes a set of methods and tools that facilitate the interpretation of outcomes and prompt reflection on the characteristics of development planning systems, processes and instruments.

1. Figures showing outcomes

A radar chart of dimensions provides an initial general approximation of the characteristics of the systems under analysis, as shown in figure 2, where the percentages represent the level in each dimension.

Figure 2
General approximation of characteristics of system under analysis
(Percentages)



Source: Economic Commission for Latin America and the Caribbean (ECLAC).

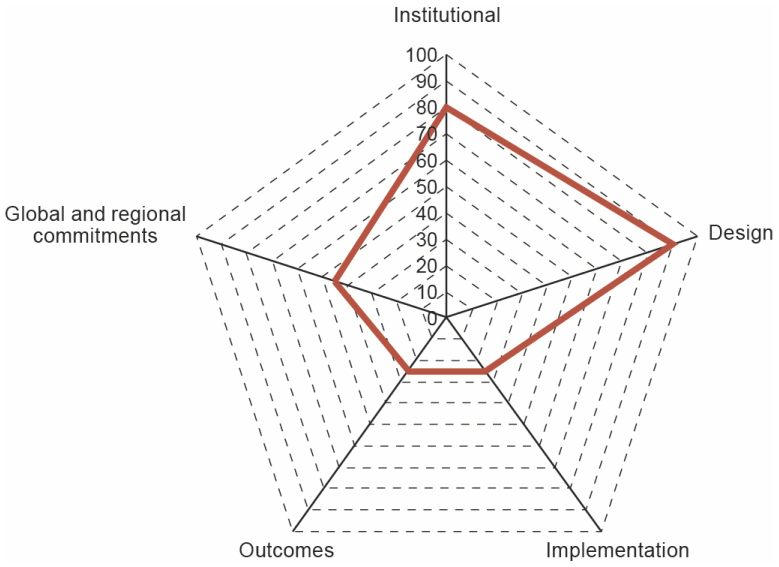
2. Types of planning system

The figure shows the structure of the planning system on the basis of criteria evaluation outcomes. Its shape reveals three system typologies, which are focused on the instrument, implementation and the budget (Armijo, 2010).

Planning systems focused on planning instruments concentrate on the development of these instruments, which are either plans, strategies or strategic guidelines. They are complemented by the review of the indicator associated with the instrument sphere. Figure 3 shows how they are usually presented graphically.

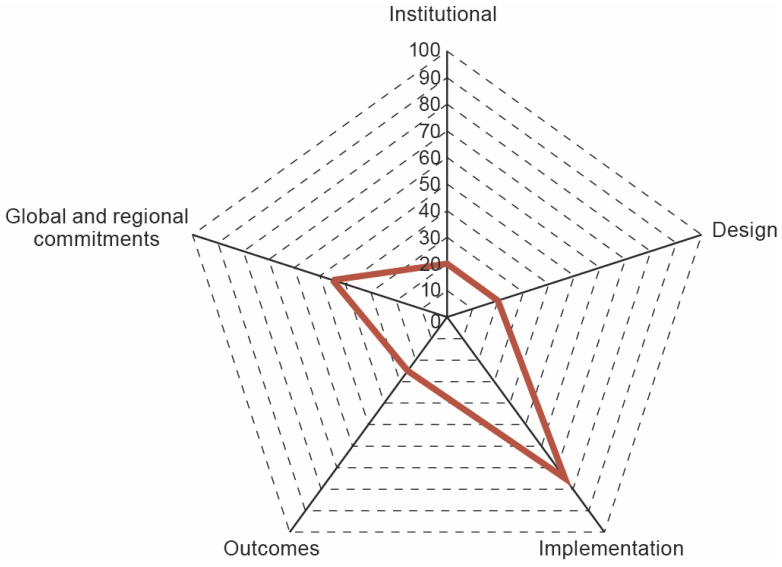
The main priority of a planning system focused on implementation is carrying out actions that address public problems. This type of planning system is usually presented as a public programme or project, as shown in figure 4.

Figure 3
Structure of planning systems focused on planning instruments
(Percentages)



Source: Economic Commission for Latin America and the Caribbean (ECLAC).

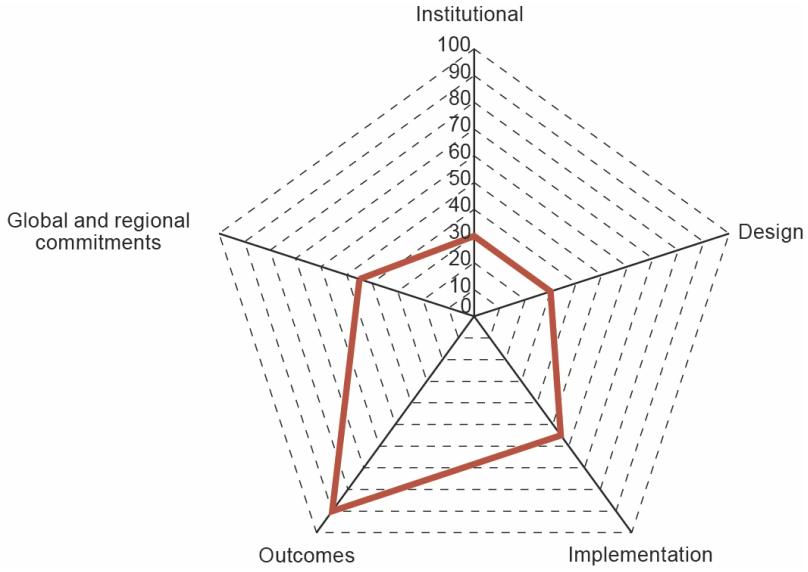
Figure 4
Structure of planning systems focused on implementation
(Percentages)



Source: Economic Commission for Latin America and the Caribbean (ECLAC).

A planning system focused on budget primarily concentrates on the use of current spending and investment resources. It is generally a short-term system and covers the budgetary cycle. Figure 5 shows this type of system.

Figure 5
Structure of planning systems focused on budget
(Percentages)



Source: Economic Commission for Latin America and the Caribbean (ECLAC).

F. SYSTEM OF PROSPECTIVE ALERTS

Prospective alerting is an instrument that identifies situations or underlying risks that could result in problems. These alerts are based on the levels reflected by a set of criteria in existing conditions.

Alerts were developed taking into account the problems seen in the workshops validating preliminary models and in the first round of the Delphi survey of experts (see table 5).

Table 5
Prospective alerts: description and criteria

Alert	Description	Criteria
1. Planning instruments are short-term (political cycle).	Planning processes, and therefore the implementation of programmes and plans, take place within a short period and seek to produce outcomes during periods of government.	2.1 Participation mechanisms 2.15 Timeframe of planning
2. Planning instruments quickly become obsolete.	Planning instruments do not include mechanisms for adaptation or incorporation of short-term factors, which means that they may become obsolete very quickly.	4.4 Feedback and updating mechanisms 2.5 Use of future scenarios 2.15 Timeframe of planning
3. Plans are not implemented; implementation of plans, projects or actions, for example, is limited.	Plans remain in the design phase, and are not translated into projects, actions, public policies or other public management instruments.	2.16 Inclusion of an operational plan 2.11 Specific and measurable goals 3.1 Designation of responsibilities among stakeholders 3.6 Coordination between planning and budgeting
4. The logic behind proposals is limited.[a]	Planning instruments do not conform to defined theoretical logic; for example, the ability to explain reality effectively.	1.3 Definition of methodological frameworks 2.9 Traceability 2.17 Mandatory issues included in planning
5. There is a limited vision of the State; planning focuses on the actions of the executive branch.	Development planning exercises focus on the actions of the executive branch, without considering the relationship between two State entities, which diminishes their validity and weakens the connection between goals and strategies.	1.4 Structure of planning systems 2.1 Participation mechanisms 2.4 Stakeholder analysis 2.14 Communications strategy

Table 5 (concluded)

Alert	Description	Criteria
6. Problems are addressed by sector with approaches that are not integrated (multicausality, complexity, limited structure).	Sectoral perspective of reality that simplifies the approach to problems, but limits the impact of actions, owing to the complementarity of comprehensive strategies and interventions. This approach creates problems with respect to coordination and linkages between institutions.	1.4 Structure of planning systems 2.6 Sectoral or thematic integration 2.10 Complementarity of goals 2.12 Interpretative diagnosis 3.3 Inter-agency coordination 3.4 Intra-State coordination 5.1 Thematic balance of proposals (comprehensiveness)
7. There is limited political will to support planning and its implementation.	Political authorities do not consider planning instruments to be a relevant framework to guide their governments or government plans. This situation reduces the legitimacy of the exercise and complicates implementation.	2.1 Participation mechanisms 2.3 Design of a monitoring and follow-up system 2.4 Stakeholder analysis 2.14 Communications strategy 4.3 Materialization of priority projects identified in the planning instrument

Source: Economic Commission for Latin America and the Caribbean (ECLAC).
[a] This alert is based on B. Helmsing and F. Uribe-Echeverría, "La planificación regional en América Latina: ¿teoría o práctica?", *Experiencias de planificación regional en América Latina: una teoría en busca de una práctica* (E/CEPAL/ILPES/G.6), S. Boisier and others (comps.), Economic Commission for Latin America and the Caribbean (ECLAC), Santiago, September, 1981.

Alerts are calculated using a method that outlines three levels of risk.

(i) Red alert: high probability of the situation occurring.

(ii) Yellow alert: medium probability of the situation occurring.

(iii) Green alert: low probability of the situation occurring.

Section H provides more details on the development and interpretation of these alerts.

G. GLOSSARY OF TERMS

Sphere: the setting or area in which each criterion is examined. The three spheres defined for national and subnational models are: instrument, process and system.

Incorporation of Sustainable Development Goals into planning: process which examines whether the Sustainable Development Goals have been included or not in planning processes (a more static vision).

Implementation of public policies that contribute to the achievement of the Sustainable Development Goals: process which shows how Sustainable Development Goals are incorporated into public policies, plans and programmes (a more dynamic vision).

Planning: management tool that supports the decision-making of social organizations and systems relating to the existing and prospective work needed to adapt to the changes and demands deriving from prevailing conditions, and to achieve greater efficiency, efficacy and quality of the goods and services they provide.

Development planning: process of defining development goals and the strategies needed to achieve them.

Development vision: transformative and structured vision of the future sought, which must be accepted as feasible.

Strategic goal: targeted achievement; the desired medium- and long-term outcome.

Specific goal: indicates the specific outcome targeted, for example, ways of contributing to the desired transformation (outcome) in the short and medium term.

Strategies: set of methods and actions implemented in order to achieve goals.

Suitably described goal: a goal that can be described as specific, measurable, achievable, results-based and time-bound.

Intertemporal aspect: public action covers different time horizons and poses the challenge of defining mechanisms that link these different horizons for planning in the long, medium and short term. Intertemporal planning may go beyond a period of government and in this case, incorporate a long-term vision. This includes management of connections, linkages, interactions and agreements between different time periods. One of the purposes of intertemporal planning is to promote stable actions and policies that are less vulnerable to changes in administration and government.

Intersectoral aspect: public action involves institutional blocks specialized in themes, areas or sectors. Planning must take into account the linkages, interactions and agreements between different sectors and specialized planning approaches, from a comprehensive perspective.

Interlevel aspect: public action takes place at levels of government of varying scope and territorial coverage. Planning must develop definition and coordination mechanisms for the different territorial levels of development planning. This includes management of connections, linkages, interactions and agreements between different levels (global, national, subnational and local).

Multi-year budgets: mechanisms for programming spending and public investment over a period of more than one year. They are used to stabilize the financing of investments beyond the annual budget period.

Planning system: the set of functions, institutions, procedures and instruments that establish development goals and strategies through the coordinated contribution of a group of institutions to design and implementation. Planning systems are a suitable response to the pursuit of institutionalization of the process.

Alignment: the adhesion of a development plan or other planning instrument to a set of established principles or goals at a higher or complementary level. In other words, when the development process of a planning instrument incorporates all elements of the agenda and a similar plan is established.

Coordination: joining up of two or more different pieces of public policy, so that at least one of them maintains some flexibility. Coordination is understood as the joining up of a development plan or other planning instrument and the system's components.

Coherence: in the planning context, there should be a logical relationship between the vision, general and specific goals, strategies, programmes, actions and targets of public policies deriving from any planning instruments that make up the system.

Exclusive competencies: those which, when exercised, correspond exclusively to each level of government, in line with the constitution and the law. Generally, the greater the number of exclusive competencies, the greater the autonomy of the corresponding government level. There are also specific competencies. When an exclusive competency derives from subnational institutions, no other level of government may intervene, unless this is to provide support at the express request of the State government.

Shared competencies: those in which two or more levels of government are involved and that share complementary functions or interdependent phases in the processes involved. The law indicates the specific function and responsibility corresponding to each level. They are also known as concurrent competencies, and normally correspond to subjects that are not specific or exclusive to local life or to sectors, which the State considers still lack the capacity to be fully exercised by State entities as they can be exclusively delegated.

Delegable competencies: those which one level of government can grant to another level, by mutual agreement and in line with the procedure established by law, after which the former remains obligated to refrain from taking decisions on the subject or delegated function. The delegating entity maintains ownership of the competency and the receiving entity exercises the delegation during the agreed period. The municipal government must express its agreement and the transfer must be accompanied by the resources needed to carry out the entrusted activity. For example, the secretary of transport in State government delegates the tasks of designing and implementing interurban routes.

Target: expresses the level of measurable performance that an indicator has attained.

Indicator: measure to establish the degree of achievement of goals.

Traceability: the ability to recognize the logical links between the stages or phases of a planning process (diagnosis, goals, strategies and actions).

H. METHODOLOGY OF APPLICATION OF THE PLANBAROMETER TO CONCRETE CASES

1. General principles of the exercise

What follows is the presentation of general and specific instructions for applying the PlanBarometer tool in a specific country or territory. There are a number of important considerations that guide the analysis and facilitate the interpretation of outcomes.

1. The planning system, understood as a set of components (institutions, norms and stakeholders, for example) that function in a comprehensive and standard manner, is the general basis of analysis for the characterization of planning processes. Nonetheless, each criterion has a priority sphere of application in which it is most directly expressed in reality.
2. The goal of the tool is fundamentally institutional self-evaluation, with an emphasis on planning instruments, processes and systems. Therefore, the outcomes of its application are highly useful for developing reflection, dissemination and improvement exercises for planning systems.
3. Bearing the previous point in mind, the call for application of the characterization tool must be made preferably by the authorities that guide planning at the different levels of application. This derives from the need for participants with sufficient knowledge of the different components, actors and processes involved and, at the same time, for these participants to be able to make improvements.
4. It is necessary to identify the components of the planning system and seek stakeholders who are representative of these systems.
5. The practical application of the PlanBarometer tool focuses on the sensible and participatory analysis of each criterion making up the model used. The analysis must be carried out in groups, encouraging a participatory discussion which provides group members with opportunities for reflection, deliberation and mutual learning.
6. The aim of the group analysis is to agree on the level that best reflects the state of each criterion discussed. One very important point to consider is that the analysis must focus on the real context of planning, its elements, components or relationships, and not on the ideal or formal context.
7. The actual context mentioned in the previous point is estimated by identifying the level corresponding to the criterion. Levels represent various degrees of complexity of each criterion and range from basic or less complex expression (lower values) to better or more complex expression (higher values).
8. The discussion on the justification for the selection of a given level for a criterion should be recorded, in order to identify the elements that shape subsequent interpretations of outcomes.
9. On the basis of the application of this tool, it is possible to obtain an overview of the different dimensions involved in development planning. The outcomes reveal the whole and the parts and facilitate decisions on how to improve, consolidate or change development planning processes and systems.

2. Organization of practical application

The application of the tool is participatory, through a workshop which brings together planning process experts or officials. As the composition of discussion groups influences the outcomes of the tool's application, special care must be taken to identify or reduce the bias that could derive from the participants' different profiles.

This proposal is designed to include two-day practical workshops. The timeline proposed in table 6 helps to organize activities and determine working times and spaces.

Table 6
Timeline of planning workshop

	Day 1	**Day 2**
9 – 10.30 a.m.	Presentation of workshop objectives and organization of working groups	Systematization of the outcomes by coordinators
Break		
11 a.m. – 12.30 p.m.	Workshop 1. Identification of planning problems	Workshop 3. Analysis of the closing of structural gaps
Lunch		
2 – 3.30 p.m.	Workshop 2. Evaluation of the PlanBarometer model's criteria	Workshop 4. Presentation of the main outcomes of the workshops
Break		
4 – 5.30 p.m.	Analysis of charts, minimum levels and prospective alerts	Conclusions and commitments to improvement

Source: Economic Commission for Latin America and the Caribbean (ECLAC).

3. Profile of participants and roles

Activity coordinator

A group coordinator is needed to run the workshops and serve as a guide throughout the process. An expert in development planning from a planning authority is suggested.

Assistant/secretary

It is important to take note of the responses and discussions in workshops. Hence, if the coordinator is unable to do so owing to a large number of participants, someone will need to assume the role of secretary to record all group discussions.

Participants

The tool is applied through discussion groups in which participants share all their knowledge of development planning and discuss the key variables presented in the tool and their state in the analysed territory.

The ideal composition of the group of participants is as follows:

- Two representatives of a development planning authority.
- Two representatives of planning divisions of ministries or sectoral departments at the national or subnational levels (municipality, State or region), depending on the applied model.
- Two representatives of the subnational or national governing bodies, depending on the model applied, elected by popular vote (entity comprising elected representatives that jointly govern with the highest authority).
- Two representatives of a board or participatory mechanism specialized in planning at the corresponding level.
- One representative of a civil society organization linked to planning instruments (for example, one that has participated in the development of a plan or is implementing one).
- One representative of authorities at the national or State level in case of application at the local level (when the subnational model is applied).
- One representative of the association of municipalities (when the subnational model is applied).
- One expert from a university or research centre that has worked on or contributed to development planning.

This proposed group of 12 participants should be divided into two groups of six persons each. Each group must include at least three public officials and two other representatives of the organizations or entities mentioned. If this is not possible, the exercise should be applied to a total of no less than eight people in one or two groups, always bearing in mind that discussion and group reflection are indispensable, which means that under no circumstances should the exercise be individual.

Participatory workshop groups follow a different structure, with the formation of groups of persons with similar characteristics. For example, a group of officials from sectors linked to the implementation of plans, another associated with civil society, or another with a group of private institutions or businesses. This structure reveals whether there are relevant differences in the consideration of planning system elements. Nonetheless, some groups may be less able to substantiate their opinions as they may not have enough experience or information. The use of this format is justified insofar as the aim is to observe the differences deriving from various points of view, but more time is needed to explain the planning system and its components.

4. Stages of the practical application of the PlanBarometer system

(a) Organization of prior information

Before applying the tool, all planning instruments comprising the development planning system —formal or not— must be incorporated:

- Existing and previous development plans
- Methodological background for creating the development plan
- Government programmes
- Territorial plans (when the subnational model is applied)
- Sectoral plans
- Projects, policies and programmes deriving from development plans[4]
- Annual budgets
- Rules relating to subnational or national planning systems
- Existing working mechanisms or entities in different public institutions and levels of government

The activity coordinator will be responsible for making this information available to all workshop participants.

Taking into account the design of the PlanBarometer, in which the systemic model is applied generally, the organizing team can systematize the background of each component of the system.

Depending on the number of participants, the coordinator should hold workshops in one or more rooms. If there is more than one group, rooms must be set up to allow discussion and group reflection.

(b) Preparation of inputs for workshops

The following inputs or materials are required:

- Computers (one per group)
- A projector
- Flashcards
- Markers
- A board to stick flashcards on (as well as adhesive tape or thumbtacks, depending on the material the board is made of)

[4] The actions carried out to implement the development plan which affect the number of public institution programmes.

5. Execution of workshops

In general, workshops use the brainstorming methodology, unless it is considered necessary to use another technique. The sequence of activities is as follows:

(a) Workshop 1: analysis of development planning issues (60 minutes, day 1)

The first activity aims to generate an open discussion on the main difficulties faced in development planning in the area under analysis. The groups must answer the following questions posed by the coordinator:

- Identify five main problems currently facing development planning in the area under analysis.
- Link or group these problems on the basis of similar themes.

The end product of this first workshop is a group of problems that helps to identify the most frequent concepts and their possible connections.

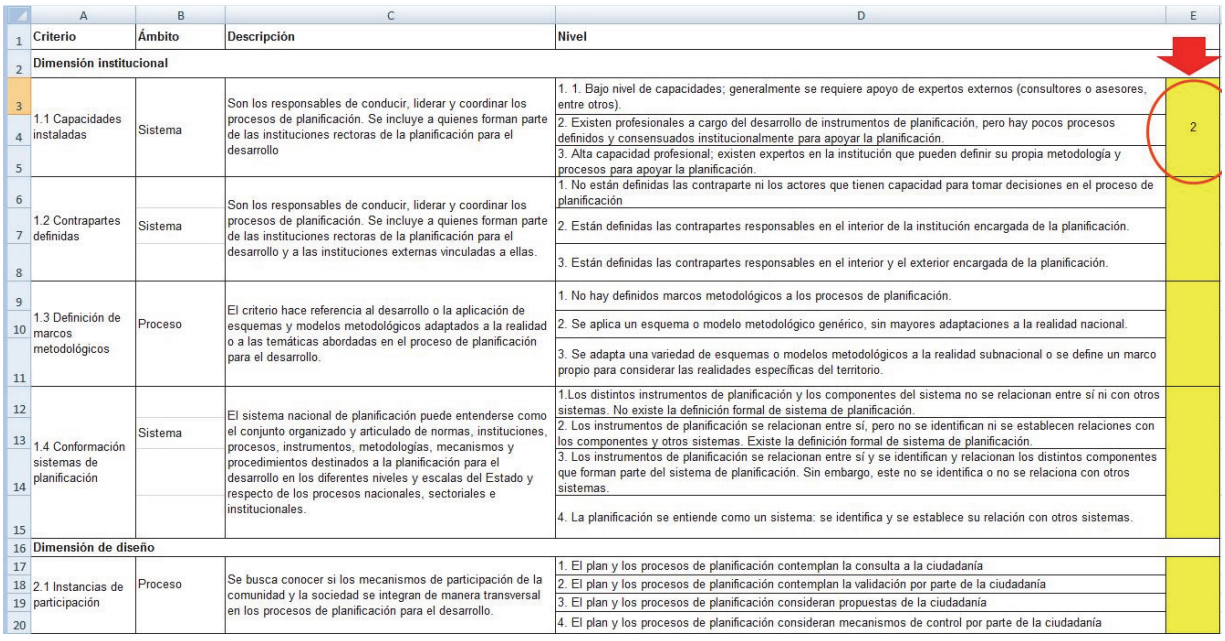
(b) Workshop 2: application of the PlanBarometer (90 minutes)

In the self-evaluation workshops on planning systems using the PlanBarometer, there are three tools to facilitate discussion and the systematization and interpretation of outcomes.

(i) *Spreadsheets*

Step 1. Identify level by criterion

Each group should apply the tool, in other words, fill in the yellow cells in the Excel file provided by the workshop coordinator with the level representing the current state of each criterion, as seen in the following image.



	A	B	C	D	E
1	**Criterio**	**Ámbito**	**Descripción**	**Nivel**	
2	**Dimensión institucional**				
3	1.1 Capacidades instaladas	Sistema	Son los responsables de conducir, liderar y coordinar los procesos de planificación. Se incluye a quienes forman parte de las instituciones rectoras de la planificación para el desarrollo	1. 1. Bajo nivel de capacidades; generalmente se requiere apoyo de expertos externos (consultores o asesores, entre otros).	2
4				2. Existen profesionales a cargo del desarrollo de instrumentos de planificación, pero hay pocos procesos definidos y consensuados institucionalmente para apoyar la planificación.	
5				3. Alta capacidad profesional; existen expertos en la institución que pueden definir su propia metodología y procesos para apoyar la planificación.	
6	1.2 Contrapartes definidas	Sistema	Son los responsables de conducir, liderar y coordinar los procesos de planificación. Se incluye a quienes forman parte de las instituciones rectoras de la planificación para el desarrollo y a las instituciones externas vinculadas a ellas.	1. No están definidas las contraparte ni los actores que tienen capacidad para tomar decisiones en el proceso de planificación	
7				2. Están definidas las contrapartes responsables en el interior de la institución encargada de la planificación.	
8				3. Están definidas las contrapartes responsables en el interior y el exterior encargada de la planificación.	
9	1.3 Definición de marcos metodológicos	Proceso	El criterio hace referencia al desarrollo o la aplicación de esquemas y modelos metodológicos adaptados a la realidad o a las temáticas abordadas en el proceso de planificación para el desarrollo.	1. No hay definidos marcos metodológicos a los procesos de planificación.	
10				2. Se aplica un esquema o modelo metodológico genérico, sin mayores adaptaciones a la realidad nacional.	
11				3. Se adapta una variedad de esquemas o modelos metodológicos a la realidad subnacional o se define un marco propio para considerar las realidades específicas del territorio.	
12	1.4 Conformación sistemas de planificación	Sistema	El sistema nacional de planificación puede entenderse como el conjunto organizado y articulado de normas, instituciones, procesos, instrumentos, metodologías, mecanismos y procedimientos destinados a la planificación para el desarrollo en los diferentes niveles y escalas del Estado y respecto de los procesos nacionales, sectoriales e institucionales.	1.Los distintos instrumentos de planificación y los componentes del sistema no se relacionan entre sí ni con otros sistemas. No existe la definición formal de sistema de planificación.	
13				2. Los instrumentos de planificación se relacionan entre sí, pero no se identifican ni se establecen relaciones con los componentes y otros sistemas. Existe la definición formal de sistema de planificación.	
14				3. Los instrumentos de planificación se relacionan entre sí y se identifican y relacionan los distintos componentes que forman parte del sistema de planificación. Sin embargo, este no se identifica o no se relaciona con otros sistemas.	
15				4. La planificación se entiende como un sistema: se identifica y se establece su relación con otros sistemas.	
16	**Dimensión de diseño**				
17	2.1 Instancias de participación	Proceso	Se busca conocer si los mecanismos de participación de la comunidad y la sociedad se integran de manera transversal en los procesos de planificación para el desarrollo.	1. El plan y los procesos de planificación contemplan la consulta a la ciudadanía	
18				2. El plan y los procesos de planificación contemplan la validación por parte de la ciudadanía	
19				3. El plan y los procesos de planificación consideran propuestas de la ciudadanía	
20				4. El plan y los procesos de planificación consideran mecanismos de control por parte de la ciudadanía	

Step 2. Justify and add means of verification

Once the group approves the level that best represents the current state of a determined criterion in the territory, it must record its justification for selecting that level and identify a means of verification that substantiates the choice made.

If none of the levels are completely representative of a criterion's state, the group must select the closest level and make a note in its justification of all relevant observations.

The columns J and K in the Excel file must be filled in, as shown in the following image.

		Justificación	Medios de verificación
1. 1. Bajo nivel de capacidades; generalmente se requiere apoyo de expertos externos (consultores o asesores, entre otros).	2		
2. Existen profesionales a cargo del desarrollo de instrumentos de planificación, pero hay pocos procesos definidos y consensuados institucionalmente para apoyar la planificación.			
3. Alta capacidad profesional; existen expertos en la institución que pueden definir su propia metodología y procesos para apoyar la planificación.			
1. No están definidas las contraparte ni los actores que tienen capacidad para tomar decisiones en el proceso de planificación			
2. Están definidas las contrapartes responsables en el interior de la institución encargada de la planificación.			
3. Están definidas las contrapartes responsables en el interior y el exterior encargada de la planificación.			
1. No hay definidos marcos metodológicos a los procesos de planificación.			
2. Se aplica un esquema o modelo metodológico genérico, sin mayores adaptaciones a la realidad nacional.			
3. Se adapta una variedad de esquemas o modelos metodológicos a la realidad subnacional o se define un marco propio para considerar las realidades específicas del territorio.			
1.Los distintos instrumentos de planificación y los componentes del sistema no se relacionan entre sí ni con otros sistemas. No existe la definición formal de sistema de planificación.			
2. Los instrumentos de planificación se relacionan entre sí, pero no se identifican ni se establecen relaciones con los componentes y otros sistemas. Existe la definición formal de sistema de planificación.			
3. Los instrumentos de planificación se relacionan entre sí y se identifican y relacionan los distintos componentes que forman parte del sistema de planificación. Sin embargo, este no se identifica o no se relaciona con otros sistemas.			
4. La planificación se entiende como un sistema: se identifica y se establece su relación con otros sistemas.			

Step 3. Consolidate group outcomes[5]

Each group must present the outcomes of the tool's application to the other participants and must consolidate these outcomes by having a new discussion to agree on the level of development of each criterion.

The coordinator must ensure that participants agree on the level assigned to each criterion, which will depend mainly on the justifications and means of verification described by each group.

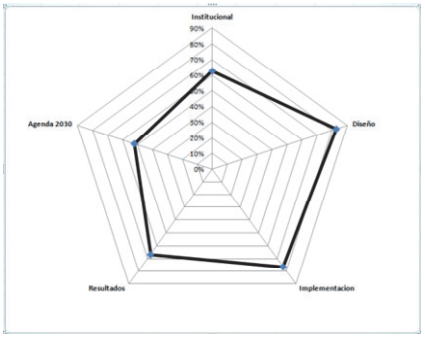
Step 4. Interpretation of outcomes

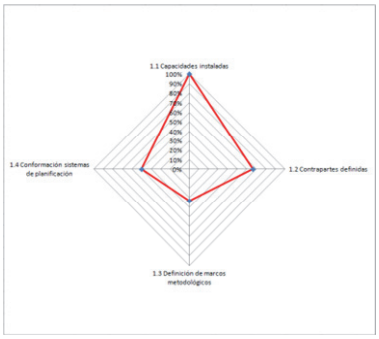
The final step is the interpretation of outcomes. As the yellow cells are filled in, the data will be processed automatically and these values will be shown as percentages of achievement of the criterion in sheet 2 entitled "Procesamiento", as shown in the following image.

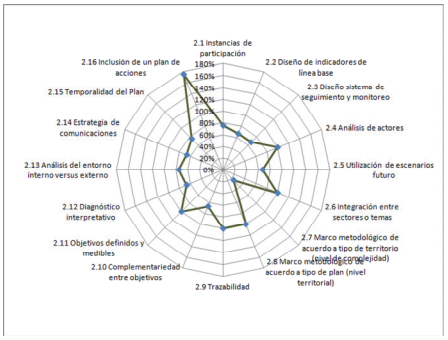
[5] This step is not carried out if there is just one working group.

Institucional	63%	Sistema	1 Capacidades instaladas	100%
		Sistema	2 Contrapartes definidas	67%
		Proceso	3 Definición de marcos metodológicos	33%
		Sistema	4 Conformación sistemas de planificación	50%
Diseño	83%	Proceso	5 Instancias de participación	75%
		Instrumento	6 Diseño de indicadores de línea base	67%
		Sistema	7 Diseño sistema de seguimiento y monitoreo	67%
		Proceso	8 Análisis de actores	100%
		Instrumento	9 Utilización de escenarios futuro	33%
		Instrumento	10 Integración entre sectores o temas	50%
		Instrumento	11 Marco metodologico de acuerdo al tipo de plan	75%
		Instrumento	12 Trazabilidad	67%
		Instrumento	13 Complementariedad entre objetivos	67%
		Instrumento	14 Objetivos definidos y medibles	75%
		Instrumento	15 Diagnóstico interpretativo	67%
		Instrumento	16 Analisis de la interrelacion entre el entorno interno y el externo	67%
		Proceso	17 Estrategia de comunicaciones	100%
		Instrumento	18 Distribucipn temporal del Plan	33%
		Instrumento	19 Inclusión de un plan de acciones	75%
		Instrumento	20 Temas obligatorio incluidos en el plan	75%
Resultados	76%	Proceso	21 Asignación de responsabilidades entre actores involucrados	67%
		Instrumento	22 Definición de Indicadores	67%
		Sistema	23 Coordinación interintitucional	75%
		Instrumento	24 Coherencia interna plan	67%
		Sistema	25 Articulación entre plan y presupuesto	67%
Implementación	67%	Instrumento	26 Factores incidentes en el desarrollo del país no considerados en el plan	67%
		Sistema	27 Inversión pública alineada a ejes estratégicos o acciones identificadas en el plan	75%
		Proceso	28 Proyectos prioritarios materializados identificados en el instrumento de planificaci	67%
		Proceso	29 Mecasnismos de retroalimentación o actualización del plan	75%
		Sistema	30 Herramientas disponibles para vincular el logro de las metas a la gestión	67%
Compromisos globales y regionales	52%	Instrumento	31 Equilibrio temático de las propuestas (integralidad)	67%
		Sistema	32 Medios de implementación	100%
		Instrumento	33 Enfoque estratégico	33%
		Instrumento	34 Alineamiento de objetivos y metas	22%

The third Excel sheet called “Gráficos” shows radar charts for each dimension of the tool, which provide visual interpretations of outcomes in percentages, as shown in the following examples.



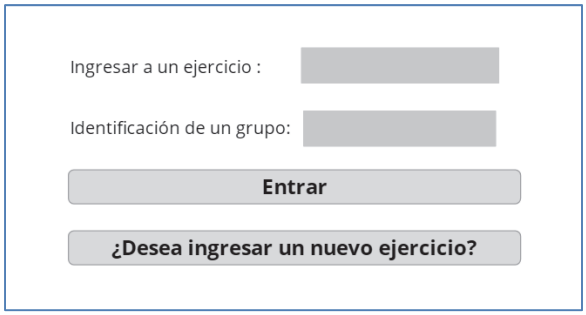




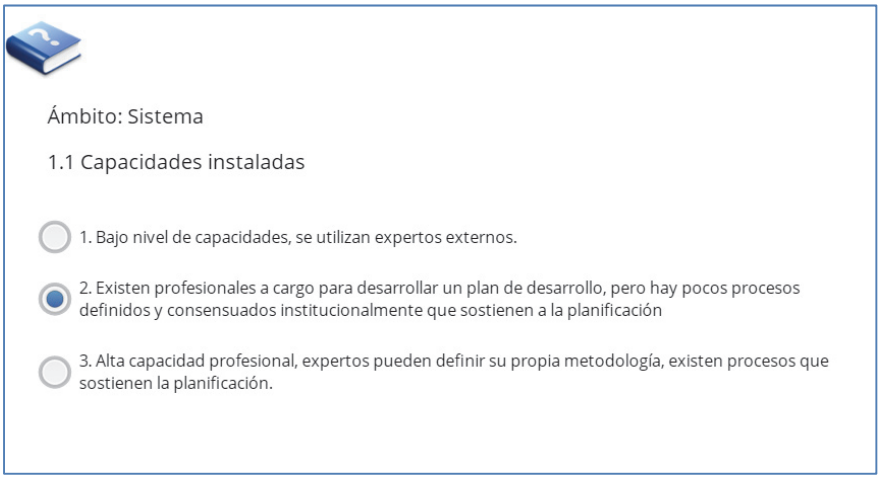
(ii) *The PlanBarometer website*[6]

This modality requires one of the workshop participants to record the outcomes of the consensus-building exercise on the website developed to facilitate the analysis and interpretation of activities.

The system can be accessed online at https://goo.gl/gpPHG7. If a username and password is requested, use the data provided by the workshop coordinator or generic values (nombre de usuario: planbarometro; contraseña: aplicacion). Next, the system will ask to input the exercise code, which will be provided by the coordinator, on the screen that appears as follows. A new exercise can be created by clicking on the following button: "¿Desea ingresar un nuevo ejercicio?"



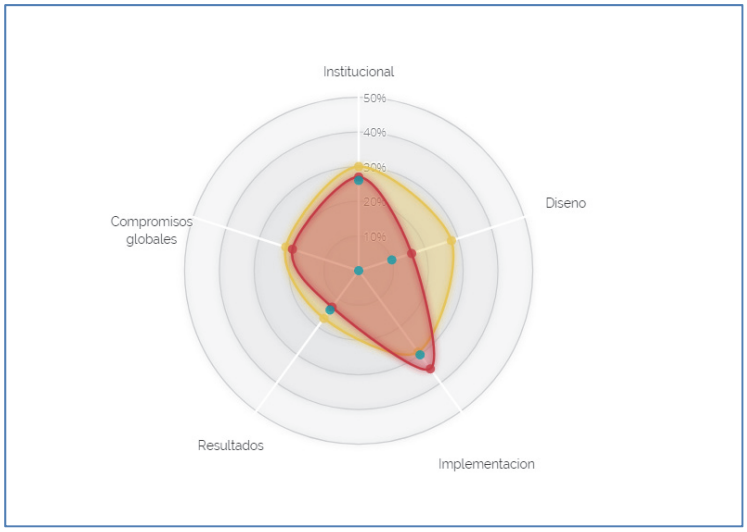
As shown in the image below, the following screen allows users to input their selection for each criterion and to see the corresponding spheres and levels. They can also review the more detailed descriptions of the criteria by clicking on the help button ( ).



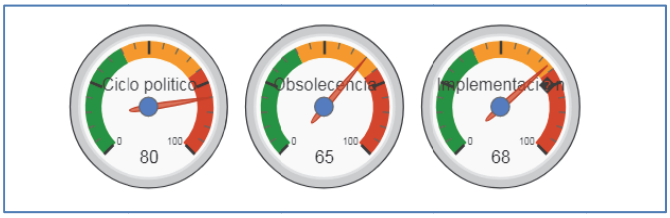
[6] This website exists only in Spanish for the time being.

Once all criteria have been evaluated, the system will show the outcomes of the exercise on the screen that appears below and will include an option to see the figures to be interpreted.

Bear in mind that the figures may vary if the values for each criterion are subsequently modified. The following image is one example of these figures.



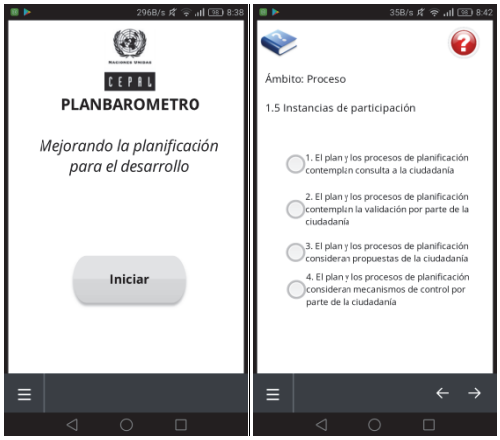
Alerts may be reviewed by clicking on “Ver alertas”. This manual provides details on how alerts are constructed and interpreted. They are presented as follows.



(iii) *The PlanBarometer mobile phone application*[7]

There is also a PlanBarometer mobile phone application, which helps with self-evaluation of the planning system. The application can be accessed online at https://goo.gl/ZHtAq5 or with the following QR code.

The image below shows the home page of the application, which can be used by each participant to record their own values and as a reference for criteria and interpretations. Nonetheless, only the consolidated outcomes of the groups will be considered once all members have completed their evaluations of each criterion.



The application allows users to send group outcomes and share them with other groups by clicking on the “Compartir” button (), so that they are consolidated and analysed as a whole.

[7] This application exists only in Spanish for the time being.

(c) Workshop 3: analysis of criteria relevant to the closing of development gaps (60 minutes, day 2)

The aim of the second activity is to identify the characteristic criteria of a good planning process with respect to the closing of structural gaps (the exercise may be more complete if plans' goals are considered as well as gaps). These gaps may be determined on the basis of statistical sources that identify the inequalities that reflect the widest gaps (amplitude) or that affect the largest number of people.

The groups must respond to the following questions posed by the coordinator:

- What are the most relevant criteria owing to their influence on the closing of the main inequality gaps?
- Link or group together the criteria belonging to similar thematic areas or relating to the same type of problem (for example, criteria linked to the internal capacity, participation, legitimacy, coordination or design of plans).
- Analyse the level of each criterion and its relationship with the thresholds defined as the basic standard.

The information is structured as shown in table 7. Participants should mark a '1' in the cell if the criterion is relevant to the closing of gaps.

Table 7
Identification of criteria relevant to the closing of gaps

Criterion	Gap			Sum
	Gap 1	Gap 2	Gap n	
Criterion 1				
Criterion 2				
Criterion 3				
…				
Criterion n				

Source: Economic Commission for Latin America and the Caribbean (ECLAC).

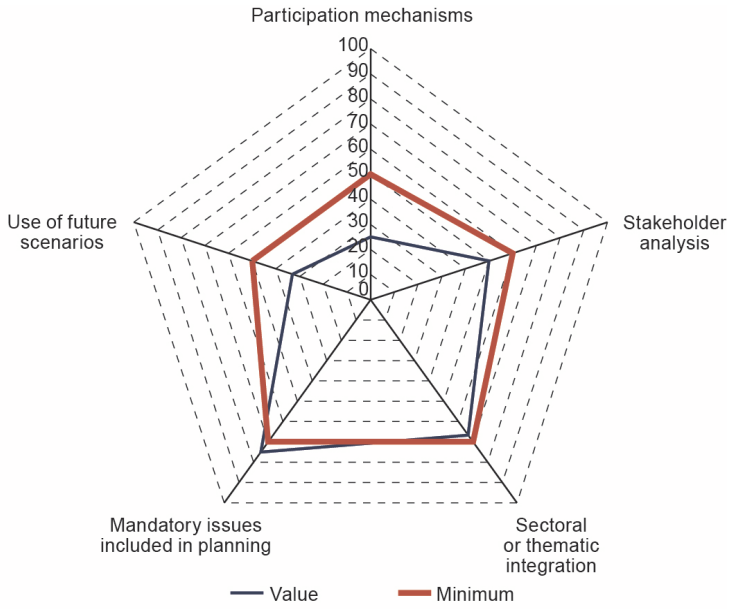
A description of prospective gaps can be found in the analysis developed by ECLAC for Costa Rica, which identifies six structural development gaps[8] (ECLAC, 2016).

The outcomes of this exercise facilitate the analysis of the capacity of planning systems, processes and instruments to close structural gaps and of the room for improvement associated with specific gaps.

[8] Gaps relating to poverty and inequality, education, gender, productivity and innovation, infrastructure and fiscal affairs.

The end product of this workshop is the figure showing the valuation of the capacity to close gaps, which includes the most common criteria and their levels (see figure 6).

Figure 6
Valuation of the capacity to close the gender gap
(Percentages)



Source: Economic Commission for Latin America and the Caribbean (ECLAC).

The figure shows the criteria most directly involved in the closing of gender gaps. Taking into account the levels presented by each criterion, just one exceeds the minimum standard. In this example therefore, the system has ample room for improvement in tackling this specific gap more effectively.

(d) Workshop 4: presentation of outcomes (30 minutes)

Regardless of the method used, outcomes must be analysed as a whole.

Each group must present its outcomes to the other participants and consolidate outcomes by having a new discussion to agree on the level of development of each criterion.

Once the outcomes of the radar charts are analysed, the main problems identified in workshop 1 must be linked to the tool's criteria, prioritizing them on the basis of their levels. This requires the following.

- Identify the criteria that explain or are linked to each problem. The following table, or similar, may be used (see table 8).

Table 8
Identification of criteria linked to problems

Workshop 1 problem	Related criteria
1	
2	
3	
4	
5	

Source: Economic Commission for Latin America and the Caribbean (ECLAC).

- Prioritize the criteria identified depending on their level, in other words, the lowest-level criteria will be high priorities and can be highlighted in red, while medium-level criteria are of medium priority and can be highlighted in yellow, and the highest-level criteria (100% achievement) will be low priority, and can be highlighted in green. This step can also be recorded in table 8.

(e) Workshop 5: identification of alerts (30 minutes, day 2)

The identification of alerts refers to the analysis of criteria through the creation of different groups that can consider possible scenarios.

For example, if levels are low for participation, timeframe of planning (where no specific time horizon is considered for each goal or strategy, or timeframes are very limited) and coordination between planning and budgeting, the development plan may be vulnerable to changes in the political cycle and unable to be implemented.

Previously developed alerts are available in the process file provided and are generated when the value of the criterion is less than the average of the corresponding dimension (see table 9).

Table 9
Prospective alerts: description and criteria

Alert	Description	Criteria
1. Planning instruments are short-term (political cycle).	Planning processes, and therefore the implementation of programmes and plans, take place within a short period and seek to produce outcomes during periods of government.	2.1 Participation mechanisms 2.15 Timeframe of planning
2. Planning instruments quickly become obsolete.	Planning instruments do not include mechanisms for adaptation or incorporation of short-term factors, which means that they may become obsolete very quickly.	4.4 Feedback and updating mechanisms 2.5 Use of future scenarios 2.15 Timeframe of planning
3. Plans are not implemented; implementation of plans, projects or actions, for example, is limited.	Plans remain in the design phase, and are not translated into projects, actions, public policies or other public management instruments.	2.16 Inclusion of an operational plan 2.11 Specific and measurable goals 3.1 Designation of responsibilities among stakeholders 3.6 Coordination between planning and budgeting
4. The logic behind proposals is limited.[a]	Planning instruments do not conform to defined theoretical logic; for example, the ability to explain reality effectively.	1.3 Definition of methodological frameworks 2.9 Traceability 2.17 Mandatory issues included in planning
5. There is a limited vision of the State; planning focuses on the actions of the executive branch.	Development planning exercises focus on the actions of the executive branch, without considering the relationship between two State entities, which diminishes their validity and weakens the connection between goals and strategies.	1.4 Structure of planning systems 2.1 Participation mechanisms 2.4 Stakeholder analysis 2.14 Communications strategy
6. Problems are addressed by sector with approaches that are not integrated (multicausality, complexity, limited structure).	Sectoral perspective of reality that simplifies the approach to problems, but limits the impact of actions, owing to the complementarity of comprehensive strategies and interventions. This approach creates problems with respect to coordination and linkages between institutions.	1.4 Structure of planning systems 2.6 Sectoral or thematic integration 2.10 Complementarity of goals 2.12 Interpretative diagnosis 3.3 Inter-agency coordination 3.4 Intra-State coordination 5.1 Thematic balance of proposals (comprehensiveness)
7. There is limited political will to support planning and its implementation.	Political authorities do not consider planning instruments to be a relevant framework to guide their governments or government plans. This situation reduces the legitimacy of the exercise and complicates implementation.	2.1 Participation mechanisms 2.3 Design of a monitoring and follow-up system 2.4 Stakeholder analysis 2.14 Communications strategy 4.3 Materialization of priority projects identified in the planning instrument

Source: Economic Commission for Latin America and the Caribbean (ECLAC)
[a] This alert is based on B. Helmsing and F. Uribe-Echeverría, "La planificación regional en América Latina: ¿teoría o práctica?", *Experiencias de planificación regional en América Latina: una teoría en busca de una práctica* (E/CEPAL/ILPES/G.6), S. Boisier and others (comps.), Economic Commission for Latin America and the Caribbean (ECLAC), Santiago, September, 1981.

The outcomes of this analysis correspond to a risk indicator. This means that each alert cell will be a specific colour which indicates the probability of the described situation occurring. Red indicates a high risk of occurrence, while yellow represents medium risk and green indicates low risk.

(f) Systematization of observations, comments and commitments to improvement

On the basis of outcomes, there will be a general discussion of the main reflections arising from the exercise. The participants in this activity will discuss possible agreements and commitments in order to improve the weakest aspects of instruments and at the same time strengthen those reflecting better conditions.

6. Final report

What follows are the basic points to be included in a final report on the application of the PlanBarometer. These elements may serve as a template both for the final presentation of the groups' work and for the preparation of a conclusions document.

(a) Identification of the system, territory or locality being analysed with the PlanBarometer.

(b) Place and date of workshop activities.

(c) Identification and description of the method used to determine groups and participants.

(d) Main planning problems detected by groups and the grouping of these problems.

(e) Identification of relevant criteria in a development planning process.

(f) Presentation of radar charts.

(g) Relationship between the main problems identified and the criteria that can explain these challenges, through the analysis of recorded values.

(h) Comparison of criteria with model thresholds.

(i) Interpretations:

- Type of planning system
- Weakest criteria
- Strongest criteria

(j) Review of alerts and identification of vulnerabilities associated with alerts.

(k) Conclusions, improvement mechanisms and institutional commitments.

7. Final considerations

(a) The entire analysis is carried out with reference to the real conditions of the system, processes and instruments, which do not necessarily coincide with the theoretical representation; hence the focus must be on actual and not theoretical conditions.

(b) The criteria used to analyse planning instruments must be considered as a whole. Nonetheless, it is possible that one instrument —for example, a development plan— reflects a specific level in one criterion and that another instrument —for instance, a land use plan, budget or government plan— reflects another level. In this case, the group must clearly indicate in its justification how it resolved the issue: if it incorporated the guidelines included in the most hierarchical plans, established an average or considered the plan with the highest or lowest level of development in that criterion.

(c) The groups must come to an agreement and avoid averaging levels when they are unable to agree.

(d) The groups must justify the designation of levels and identify means of verification (for example, laws, policies and protocols).

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