



CITY DEVELOPMENT STRATEGIES 2.0

CITIES GROWING WITH VISION

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Foreword



In September 2014, the Cities Alliance and the UK's Department for International Development launched Future Cities Africa, an examination of how African cities and governments could be assisted in responding to the many challenges of rapid urban growth. Over nearly two years, the Cities Alliance undertook an extensive work programme in four countries (Ethiopia, Ghana, Mozambique and Uganda) and twenty-one cities. Collectively, this body of work provides our members and partners with a timely and comprehensive understanding of the scale and essential features of contemporary urbanisation in Africa.

This body of work also provides a very strong spine and focus for the Cities Alliance's Africa Strategy, which is predicated on the belief that empowered cities - and citizens - can transform Africa.

Since its launch in 1999, the Cities Alliance has been closely associated with citywide slum upgrading, and the development and promotion of city development strategies - both essential instruments in striving for a vision of Cities without Slums, which remains the Cities Alliance's calling card.

To be precise, a city development strategy is merely a framework to assist a city and its citizens, individual and

corporate, to undertake long-term, strategic planning, which some cities have been doing for thousands of years. While it is, therefore not an invention of the Cities Alliance, it is a clear and necessary antidote to the short-term, sectoral and project-based development that is favoured by too many mayors - and development agencies - alike.

It is a real pleasure to be able to present this revised and updated guide to CDS, which builds upon the original guide produced by the Cities Alliance in 2004, and which benefits from the experience of more than 150 cities that the Cities Alliance has supported, as well as lessons from other cities who have shared their own experiences. This welcome and highly innovative toolkit was developed for the Cities Alliance by the Institute for Housing and Urban Development Studies (I.H.S) at the University of Rotterdam, and Labor für Politik und Kommunikation (FLMH).

William Cobbett
Director
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List of key abbreviations and terms

CBA	Cost benefit analysis
CDS	City Development Strategy
DAC	Development Assistance Committee of the OECD
EIA	Environmental impact assessment
FCA	Future Cities Africa initiative (Cities Alliance)
GAM	Goal achievement matrix (Tool 17)
GIS	Geographic information systems
GOPP	Goal oriented project planning
IHS	Institute for Housing and Urban Development Studies
LFA	Logical framework approach (Tool 16)
M & E	Monitoring and evaluation
MC	Monitoring committee
MDF	Municipal Development Forum (Uganda)
MSIP	Multi-sector investment plan or programme
OECD	Organisation for Economic Co-operation and Development
OOPP	Objectives oriented project planning
PPP	Public-private partnership
SC	Strategic coordinator (of a CDS process)
SCP	Sustainable Cities Programme
SIA	Social impact assessment
SMART	Specific, measurable, actionable, realistic and targeted (in the context of objectives or indicators)
SWOT	Strengths, weakness, opportunities and threats (Tool 10)
'Team'	The CDS planning team, headed by the strategic coordinator
UNCHS	United Nations Centre for Human Settlements (Habitat)
UNEP	United Nations Environment Programme
UNDP	United Nations Development Programme
UN-Habitat	United Nations Human Settlements Programme
VNG	Association of Dutch Municipalities



Nugroho Nurchikawan Sunjoyo / World Bank

INTRODUCTION

What is a City Development Strategy?

A City Development Strategy (CDS) is a tool that helps a city harness the potential of urbanization through strategic planning. As an action-oriented process, it is developed and sustained through participation. It seeks to promote equitable growth in cities and their surrounding regions to improve the quality of life for all citizens.

A CDS helps cities integrate a strategic development approach and a long-term perspective into their urban planning. The idea behind a CDS is that “well-positioned, well-timed public, private and civil society strategic interventions can significantly change a city’s development path and improve its performance”¹.

A CDS first focuses on developing a strategy, and then the implementation and the sustainability of initiatives by integrating operation and maintenance issues into the whole process.

The changing context of development and the need for a City Development Strategy

Much has changed in the external context in which cities have been operating since the first CDSs were implemented almost two decades ago. Global macroeconomic pressures have multiplied following a serious financial crisis in the Western world at the end of the first decade of the 21st century. The economic uncertainty has spread to emerging markets, and countries in Africa, Asia and Latin America face a slowdown in their exports of commodities, lower commodity prices, and a weaker economic outlook - these economic situations compound political challenges.

The difficult global outlook affects cities in myriad ways - from growing poverty and migration from rural areas and surrounding countries to lower revenues and a weaker business climate. Meanwhile, environmental challenges, climate variability and natural disasters are increasing in intensity. This increased uncertainty is putting a premium on resilience and the search for durable solutions to complex and compound environmental, economic, political and social challenges.

In this highly unstable global environment, the CDS remains a relevant process and tool to help local governments and their development partners build resilience and lay the basis for economic growth, more cohesive communities and improved living environments. It does so in two critical ways: by

building a constituency for better planning and change through better cooperation between government departments and meaningful participation of residents and the local private sector (improving process); and by delivering results on the ground in areas that matter to these residents and local private actors (which improves outcome).

Why is a new and improved approach necessary?

Since its establishment in 1999, Cities Alliance has assisted over 150 cities worldwide to carry out a CDS process, each of which has had different goals and emphases.

The CDS approach builds on the experience of several global programmes supporting city development and planning: the Urban Management Programme, a joint undertaking of United Nations Development Programme (UNDP), UN Habitat and the World Bank; the Sustainable Cities Programme (SCP), a joint UN Habitat and United Nations Environment Programme (UNEP) facility; and the Localising Agenda 21 (LA21), a UN Habitat initiative that partnered with UNEP and UNDP’s Public Private Partnership for the Urban Environment (PPPUE).

After almost two decades of experience with CDS, Cities Alliance has decided to introduce innovations in the existing CDS approach to enable city managers to develop more resilient approaches to urban planning in primary and secondary cities. The new CDS approach (dubbed the “CDS version 2.0”) is available in these guidelines on an online web platform, as well as in print. It aims at improving the usefulness and impact of CDS processes supported by Cities Alliance, by moving beyond the traditional CDS approaches and incorporating new strategic focal areas of resilience and inclusive economic growth - as well as other more traditional cross-cutting issues of governance, participation poverty alleviation and gender.

The “CDS version 2.0” takes the form of a toolkit that aims to be relevant and adaptable to a diversity of cities and developmental contexts. The web platform and the toolkit should be relevant and flexible to serve large-scale cities, as well as smaller developing secondary cities in the context of varying institutional arrangements and levels of capacity, resources and civic participation.

What is strategic planning?

A strategy is a design or idea used to accomplish a specific goal. A strategy is flexible and open for adaptation and change when required. In this sense, it is different from a conventional “plan”, which in most contexts is a fixed programme or scheme for a definite purpose. A plan is very concrete in nature and does not allow for deviation².

¹ <http://www.citiesalliance.org/about-cds> (Accessed 11 January 2017).

² VNG 2010: 10.

Strategic planning is a process that involves developing a long-term (usually multi-year) roadmap comprised of a set of specific goals, objectives and actions. A strategic plan is founded on a vision that sets a clear path to the future, but also incorporates the flexibility to adapt the vision over time, and as needs require³.

Most forms of strategic planning address at least three key questions: Where are we? Where do we want to be? And how do we get there⁴? In addition to the three questions, a follow-up question is often needed: How to implement and know if we are on track?

1. The first question (*Where are we?*) is answered through an analysis of the present situation.
2. The second question (*Where do we want to be?*) is addressed by a vision of the future, supported by realistic objectives.
3. The third question (*How do we get there?*) is answered through the development of strategic options or a strategic action plan.
4. A fourth question (*How to implement and know if we are on track?*) concerns the implementation, operation and evaluation of the strategic options.

A successful strategic plan rests on the following key pillars:

- **Political will:** A strategic plan is only as strong as its advocates. Strategic planning at the local government level can only succeed, if it has the unequivocal support of the chief executive, legislative body and affected department heads⁵. The political will needs to be strong enough to mobilize and coordinate the use of the resources necessary for implementation and operation and maintenance.
- **Participation:** Stakeholder groups should be mobilized or created for continuous consultation and, at a later stage, for providing feedback into the planning process (UN-Habitat 2010, 3). There are several different levels of participation. Forms of participation that actively engage stakeholders in planning decisions help to empower them. At the same time, they are more likely to ensure contributions from different groups in society and result in feedback that can help to improve planning decisions.
- **Partnership:** Local governments cannot do everything on their own. The better the partnerships, the better the strategy. The basic premise behind a partnership-based strategic planning process is that traditional top-down decision-making and delivery mechanisms without the involvement of relevant stakeholders are inadequate in the face of the complex challenges faced by local governments⁶.

The benefits of a City Development Strategy

Cities can benefit from strategic planning in the form of a CDS for several reasons⁷:

- **Helping cities visualize the bigger picture:** Strategic planning can help cities transcend short-term pressures and “emergencies” and focus on vital longer-term priorities.
- **Helping provide a strong framework for investment:** A strategic plan provides a well thought out framework for investment planning and budgeting. It deals with both capital investments and operations.
- **Yielding results:** A strategic plan should provide a realistic framework that is built upon a foundation of constant improvement. Built into the plan are milestones that help gauge progress.
- **Adapting to a changing environment:** It can provide a framework that is flexible enough to accommodate change, while at the same time, strong enough to adhere to a local government’s basic mission and objectives.
- **Responding to citizens’ needs:** A successful strategic plan includes priorities that are important to the citizens.
- **Fostering participation:** A good strategic plan involves people at all levels of government, the business sector, civil society and the public. By involving more people among the various levels, cities can foster teamwork and a sense of ownership.
- **Providing a tailor-made roadmap:** A strategic plan allows for specific objectives and parameters that are specialized and appropriate to the city, its population, and the local government’s mission.
- **Being adaptable:** Elements contained within a strategic plan represent an ongoing process that is designed to be refined based on changing internal and external conditions.
- **Providing accountability:** A solid strategic plan with definite objectives, financial targets and monitoring tools in place can provide a sound basis for accountability.

Target groups of this toolkit

The principal target groups for these guidelines are large and small cities that are about to start a strategic planning process involving local and national actors (government, the private sector, academia and civil society) – as well as

³ DiNapoli 2002, 1, 8: Local government management guide: strategic planning.

⁴ UN-Habitat 2010, 5: Citywide strategic planning: a guideline.

⁵ DiNapoli 2002, 1-2: Local government management guide: strategic planning.

⁶ VNG 2010, 12.

⁷ Adapted from DiNapoli 2002, 8-9.

their international partners (development agencies, international investors and non-governmental organizations [NGOs]).

The ultimate target groups and beneficiaries of improved strategic planning are expected to include all development stakeholders, including the general public and the private sector in participating cities.

Mainstreaming crosscutting issues

Crosscutting issues are issues that touch on general principles that should be considered at every stage of the strategy process⁸. They include those whose relevance or importance is not restricted solely to one sector but which transcend or “cut across” multiple sectors. For example, the consequences of climate change are not limited to just the environment but have an impact on all aspects of urban development, such as planning, economic development and housing.

This toolkit recommends **mainstreaming** of certain important crosscutting issues in each step of strategic planning. This means that users must consider crosscutting issues in each phase of the planning cycle. The mainstreaming effort serves to strengthen programmatic synergies while ensuring that project outcomes reach all intended beneficiaries, particularly persons in vulnerable situations⁹. It also implies that users conduct relevant analyses and studies as a basis for integrating a crosscutting issue into the design of their policies and programmes¹⁰.

Crosscutting issues in this toolkit

Crosscutting issues in this toolkit include **poverty reduction, gender** and **resilience**. All three need to be integrated in every stage of the planning cycle. Reference is made to planning frameworks and resources that highlight these issues.

In the case of both gender and the urban poor, an overall goal applies: to achieve “well-planned, well-governed and efficient cities and other human settlements with adequate infrastructure and universal access to employment, land, public space and basic services, including housing, water, sanitation, energy and transport, on the basis of equality and non-discrimination among and between all social groups”¹¹. Resilience focuses on the ability of cities to operate in the event of risks associated with climate change, such as floods and landslides, but it is also a relevant concept to consider vulnerability to closing of a major employment source.

MAINSTREAMING GENDER

“Mainstreaming a gender perspective is the process of assessing the implication for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women’s as well as men’s concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality”¹².

MAINSTREAMING RESILIENCE

Resilience.io, a computer-based platform and an analysis and decision-support tool, allows users to accurately model resource flows, for example, energy, food and water, so that city-regions can manage both their economy and critical supporting ecosystems. This tool permits city-regions globally to assess their current development path and map out a more sustainable and resilient trajectory. It is intended for use for planning, investment and policy-making to embed resilience within regions in the long-term, as opposed to short-term incident response management.

Reference

Resilience.io is a tool that allows city-regions globally to assess their current development path and map out a more sustainable and resilient trajectory.

<http://www.resilience.io>

Where relevant in this toolkit, references will appear that will advise cities how they can integrate poverty reduction measures, gender and resilience into the design, implementation, monitoring and evaluation of their CDS proposals. These are not the only crosscutting themes possible, but are taken as examples as covering all possible themes would make the toolkit too long.

⁸ VNG 2010: 13.

⁹ UN-Habitat 2015a: 10-11.

¹⁰ OECD 2014: 7.

¹¹ UN-Habitat 2015b: 40.

¹² UN-Habitat 2015b: 39.

How to use this toolkit

Is your city “ready” for CDS?

The toolkit distinguishes between two categories of cities: those that are ‘ready’ for CDS and those that are not yet ‘ready’. Depending on which category your city belongs to, this toolkit may be used differently.

Cities that are **not yet ready for CDS** have no previous experience with any form of strategic planning, including CDS. Their existing plans may be statutory plans, such as master plans – that may have been prepared by higher levels of government – and other forms of spatial planning and land use planning. These cities’ own capacities in planning are limited and they have few resources at their disposal to support their planning efforts.

Cities that are **ready for CDS** have recent experience with **strategic planning** processes, including CDS. They may already have a strategic plan, which needs revision. Alternatively, they may have already embarked on a CDS process before and this process may need updating or else a certain aspect of the CDS may need strengthening. Whatever the case may be, cities that have previous (and preferably, recent) experience with strategic planning have the political will, staff capacities, expertise and resources (that is, data) in place that will give them a head start when preparing a CDS.

How to use this toolkit with different levels of ability

Cities that are not yet ready for CDS

This toolkit recommends that cities that are not yet “ready” for CDS, and which lack prior experience with strategic planning, follow the entire sequence of planning phases and steps. These phases and steps have been designed to help cities prepare for their CDS at each stage of the planning cycle, from the situation analysis to monitoring and evaluation during the implementation phase. They also need to put more effort into capacity development and use of external support.

Because cities vary in capacity, the toolkit highlights the overall objectives of phases, subphases steps and tools. The tools used and the thoroughness of research will vary depending of capacity. In all cases, this toolkit explains the objective, but how to reach this is optional and depends on experience and resources. For example, it is important to look at the relationship between problem areas in a city and the location of projects.

Cities that are “ready” for CDS

Experienced cities and those “ready” for CDS may choose to follow the entire sequence of planning steps outlined in this toolkit, or they may decide to follow only selected steps and stages, as needed to strengthen their existing strategic plans. The sequence of steps, and the focus on selected stages of experienced cities, depends on their local context, requirements and capacities.

Note

The “readiness assessment” tool available on the Cities Alliance website will help cities to determine to which category they belong.

Tools

See *Tool 12, Linkage Analysis*.

This can be used to assess the relationship between projects using spatial location. Location can come from traditional maps or from more sophisticated GIS systems.

Structure of this toolkit

This toolkit contains five sections:

SECTION	MAIN TOPICS
Introduction	Background to CDS, crosscutting issues, and readiness for CDS.
Planning process	Description of four main strategic planning phases and reference to accompanying tools.
Tools	Description of the tools referenced in the planning process section.
Technical examples	Examples of approaches and frameworks that can be of help in planning a CDS.
References	List of sources and references for further reading and information about strategic planning.

The **planning process** section is organized around four strategic planning phases:

PHASE	MAIN QUESTION AND STAGE IN PROCESS
Phase 1	<i>Where are we now?</i> Getting organised and situation analysis.
Phase 2	<i>Where do we want to go?</i> Visioning and strategic objectives.
Phase 3	<i>How do we get there?</i> Strategy formulation.
Phase 4	<i>How to implement and know if we are on track?</i> Strategy implementation and monitoring and evaluation.

The four phases can be accessed in sequence or individually, depending on the requirements of each CDS process.

It is recommended that users who are new to a strategic planning or CDS process follow all four phases in sequence. More experienced users can adopt a more selective approach and concentrate on those phases and subphases that are needed at any given moment in time.

Each phase contains links to tools and instruments that will help cities to carry out a given planning phase. Some of these tools are phase specific, whereas others transcend the phases and can be utilized at any given moment, depending on requirements.

Links to tools, further information and additional comments are provided in boxes in the right margin. These also give hyperlinks when the references are used electronically. There are four forms of margin notes: **notes**, **tools**, **cross-references** and **references**.

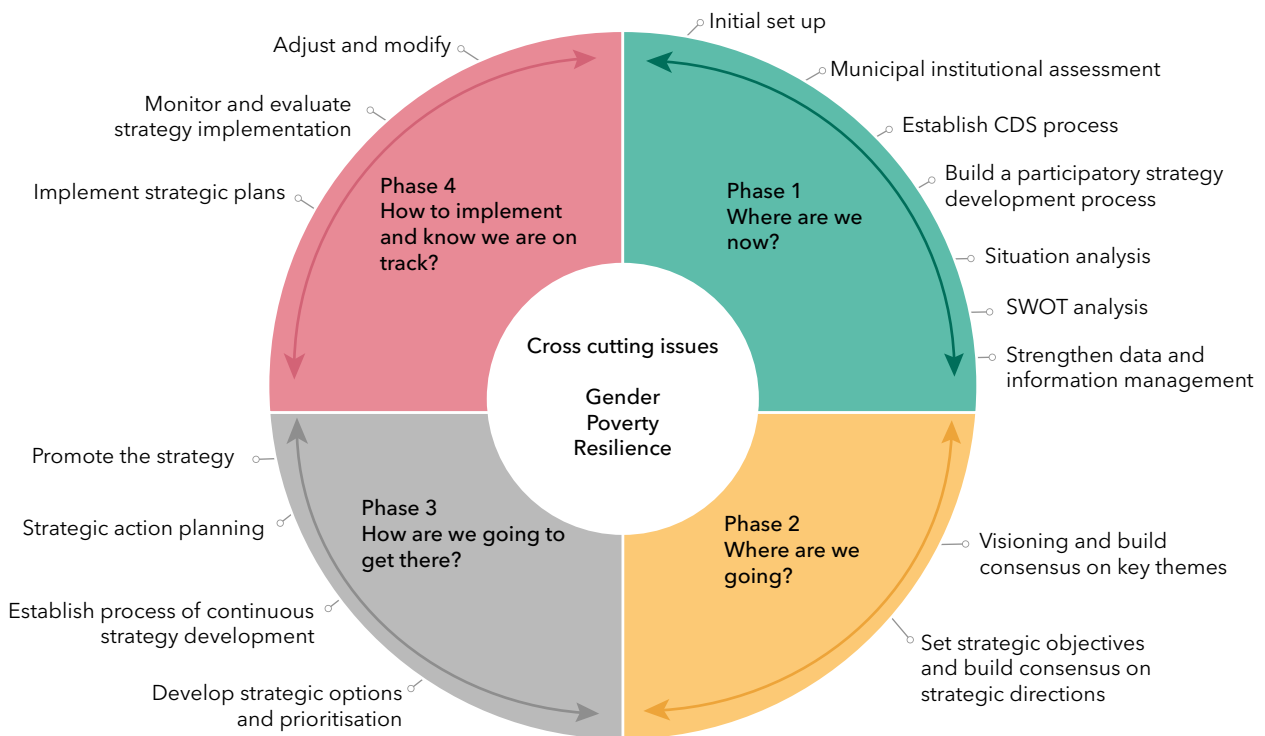
Note
This type of margin note is used to elaborate on the main text.

Tools
Refers to tools in the toolkit.

Cross-reference
Refers to another part of the toolkit.

Reference
Refers to an external reference.

FIGURE 1: THE CYCLE OF CDS



The process of preparing and executing a city development strategy is not necessarily sequential, nor a set of discrete activities. In some cases, some of the steps may take place in parallel. In some cases, it might make sense for a city to go back to a previous step or phase to revisit decisions made. The CDS process is cyclical and iterative. It is not a one-off exercise; cities will want to revisit their visions and strategic objectives on a regular basis.

Some cities work on a 15 – 20-year time horizon and plan regular processes of rethinking their strategies. Table 1 illustrates a typical timing of the stages of preparation and delivery of a CDS.

The toolkit key diagram on the next page provides a summary of all phases and subphases, and the tools suggested for each phase.

TABLE 1: STAGES IN CDS PREPARATION AND DELIVERY

PHASE	STEP	TIME FRAME
Phase 1. Where are we now? Getting organized and situation analysis	Getting organised 1.1 Initial set up 1.2 Municipal institutional assessment (capacity and resources assessment) 1.3 Establish CDS process 1.4 Build a Participatory Strategy Development Process	Months 1 - 3
	Situation analysis 1.5 Situation analysis 1.6 SWOT analysis 1.7 Strengthen data and information management	Months 3 - 6
Phase 2. Where are we going? Visioning and strategic objectives	Setting Vision and objectives 2.1 Visioning and build consensus on key themes 2.2 Set strategic objectives and build consensus on strategic directions	Months 6 - 7
Phase 3. How are we going to get there? Strategy formulation (defining programmes and projects)	Developing the strategy and projects 3.1 Develop strategic options and prioritisation 3.2 Establish process for continuous strategy development 3.3 Strategic action planning (detailing projects) 3.4 Promote the strategy	Months 7 - 12
Phase 4. How to implement and know we are on track? Strategy Implementation and Monitoring and evaluation	Implementation, Operation, Monitoring and Evaluation 4.1 Manage implementation of the strategy 4.2 Monitoring and evaluation strategy implementation 4.3 Adjust and modify	Continuous after month 12

FIGURE 2: TOOLKIT KEY DIAGRAM

1 Where are we? Getting organised / situation analysis

2 Where are we going? Vision and strategic objectives

4 How to implement and know we are on track?

SUB-PHASE/ STEPS	TOOLS	SUB-PHASE/ STEPS	TOOLS	SUB-PHASE/ STEPS	TOOLS
1.1 Getting organised 1 Engage politicians and municipal staff 2 Discuss and decide on state of readiness to undertake a CDS 3 Appoint strategic coordinator set up CDS team 4 Identify stakeholders 5 Plan out the process and its management 6 Develop communication strategy and design publicity campaign	1	2.1 Visioning and building consensus on key themes 1 Conduct a visioning exercise 2 Build support for the focus and themes of the vision	13	4.1 Manage Strategy Implementation and operation and maintenance 1 Approve and execute institutional reforms to support strategy implementation, communicate 2 Develop legal and regulatory instruments 3 Prepare procurement procedures 4 Prepare and tender projects 5 Plan for budgeting for and improved operation and maintenance of ongoing services 6 Build capacity to manage contracts and consultants 7 Seek commitment of public funds 8 Take resource mobilisation further 9 Develop inter-departmental project team for oversight of projects 10 Manage internal services and projects/ manage external contracts	
1.2 Municipal institutional assessment 1 Take stock of existing planning processes in government 2 Analyse institutional environment and mandates of local govt. 3 Analyse the government structures, processes and capacities 4 Assess reforms and impacts 5 Assess local resource mobilisation, budgeting and funding	2,3 4,5	2.2 Set Strategic objectives and build consensus 1 Develop strategic objectives and prioritise 2 Build consensus on strategic directions and choices 3 Create the framework for a multi-sectoral strategy and multi-year budget 4 Design a user-friendly CDS strategy document	11, 17 14 9 6		
1.3 Establish CDS process (internal) 1 Clarify roles and plan outputs 2 Identify funding and budgets 3 Coordinate with statutory planning systems 4 Revise communication strategy 5 Agree on operational rules and work plan	6 7	3 How are we going to get there? Strategy formulation 3.1 Develop strategic options and prioritisation 1 Transform the vision and objectives into strategic options 2 Clarify the political and legal framework 3 Assess the financing framework and make outline budgets 4 Locate all projects on plans 5 Prioritise project options 6 Confirm consensus on prioritization of projects	9,11 15,16,1 8 17 17,12,1 8,19	4.2 Monitoring and Evaluation of the strategy 1 Monitor and evaluation project implementation and service provision 2 Execute analytic studies where necessary	24, 25, 26,16
1.4 Establish Participatory Strategy Process (external) 1 Decide on inputs and strategic decisions to be made with stakeholders 2 Build awareness	3 6	3.2 Establish process for continuous strategy development 1 Finalise the organisational (change) strategy for continuous strategy refinement 2 Select and agree and institution for monitoring and feedback 3 Establish participatory systems for monitoring	20	4.3 Adjust and modify 1 Make changes 2 Refine stakeholder/ institutional roles in monitoring periodically	
1.5 Situation analysis 1 Assemble the team 2 Review local priorities, data sources, set up research process 3 Analyse strategic context 4 Analyse locally chosen priority topics 5 Discussion with stakeholder groups	8 3	3.3 Strategic action planning 1 Develop strategies into strategic action plans 2 Establish timelines with responsibilities 3 Develop final multi sectoral investment plan 4 Seek to embed local investments in national and financing organisation budgets	21 17,22,23		
1.6 SWOT analysis 1 Carry out the SWOT analysis 2 Feedback on the SWOT 3 Consensus on the SWOT 4 Approval of the Council, endorsement of the mayor	10,12 10	3.4 Promote the strategy 1 Finalise the CDS document 2 Further develop marketing and communication campaign			
1.7 Strengthen Data and Information Management 1 Analyse data and information management 2 Provide leadership on sharing data 3 Assess future data acquisition, needs and potential 4 Update CDS indicators and monitoring systems 5 Integrate data management systems					



UN Photo/Paulo Figueiras

PHASE 1: GETTING ORGANIZED AND SITUATION ANALYSIS

This phase aims to lay the foundations by thinking through carefully who should be involved in the process, how it will be organised and making sure that there is as good information as possible available.

1.1. Getting organised

STEPS IN THIS SUB-PHASE (1.1)

Step 1	Engage politicians and municipal staff to ensure commitment and leadership during the CDS process.
Step 2	Discuss and decide on state of readiness to undertake a CDS. Identify key stakeholders, both within and outside of local government, their knowledge, interests and needs, as well as their roles and responsibilities in the process (actively involved, to be consulted, or part of the network that must be activated).
Step 3	Appoint a strategic coordinator (internal public champion that will lead the process) and set up the organizational structure (including core team to work on the CDS, steering group and working groups).
Step 4	Plan the process and its management.
Step 5	Develop preliminary communication strategy and design publicity campaign.

Preparing a city development strategy is a team effort. The objectives of this sub-phase are for the city to prepare itself, to engage key stakeholders from the start, to ensure their commitment, and to develop institutional strategies to organize their involvement. The steps below show the kinds of activities necessary to do this.

Subphase 1.1, Step 1: *Engage politicians and municipal staff*

The first step involves gaining political commitment, but also commitment from the municipal staff. Having both the politicians and key managers from different departments on board will be essential for the success of the CDS process. Ideally, all political parties should support the development of the strategy and should be willing to lend their leadership to the process. To ensure commitment, the authors of the toolkit suggest spending the initial weeks discussing the goals, the benefits of taking on a CDS, the process itself, and the expectations and concerns of key officials and elected members.

One useful approach is to share successful cases, particularly of mayors and of cities that have had rewarding experiences with proactive strategic planning processes, such as a CDS.

Initial discussions with the mayor and the city council¹³

The mayor will instigate the process, ensure commitment in the administration and approve the setup of institutional structures to manage the CDS process. The council will provide comments on the strategy and ultimately adopt the final document. Their subordinate committees will provide important inputs into discussions on thematic issues.

Kick off discussions with them should result in the following:

- Commitment from political and municipal bodies to undertake such a process and to make resources available.
- Clarity on who should be engaged in championing and managing the process internally.
- Readiness to set up and manage a highly transparent and credible process, with democratic legitimacy.
- Readiness to engage a substantial number of stakeholders and to be responsive to their interests.

¹³ VNG 2010.

BOX 1: CASES OF DEVELOPMENT STRATEGIES: INSPIRATION AND SOURCES OF LESSONS



City of Cape Town City Development Strategy

of Curitiba, Jaime Lerner and a speech by the former mayor of Medellin. The videos give a good idea of the commitment of the mayors.

In Africa examples include Cape Town, e-Thekwini (Durban) – where CDS links closely with the IDP process – Kigali, Lagos, and the towns and cities around Lake Victoria, which were supported by UN-Habitat.

Successful cases often share important common elements, including a strong commitment from the mayor, who can provide leadership. The wider the ownership of the process is, the more sustainable the commitment to the strategy will be. The leadership commitment needs to go hand in hand with a technical capacity to carry out the work. Innovation is needed related to the local problems and potentials. Capacity varies enormously – from large, sophisticated cities such as Cape Town, to small cities with limited staff. Detailed approaches also need to vary to take account of capacities, but principles are often the same.

The references and links below provide access to cases, which are good to share with both political and technical leadership. Technical documents are also very useful as practical examples.

Specific references and links

City of Cape Town, 2012. City of Cape Town: City Development Strategy.

City of Cape Town, 2012. City of Cape Town : five-year plan for Cape Town 2012 -2017 : Integrated Development Plan (IDP) 2012/13 review.

City of Tshwane, 2006. [Draft] Growth and development strategy for the City of Tshwane (a limited set of high impact strategies).

ICLEI, 2002. Curitiba: orienting urban planning to sustainability.

IHS, 2014. The IHS Alumni International (AI) 2014 Award Ceremony at WUF Colombia [YouTube video].

Filani, M. O., 2012. The changing face of Lagos: from visión to reform and transformation.

Kigali Masterplan 2040 video, 2013, Kigali, Rwanda [YouTube video].

TED, 2013. Enrique Peñalosa :: Why buses represent democracy in action [Video].

Webster, D. and Muller, L., 2006. City development strategy guidelines: driving urban performance.

Many cities in different parts of the world have had success with applying active development planning processes, such as the CDS. Well-known examples include Curitiba in Brazil, Bogota and Medellin in Colombia, and Barcelona in Spain.

In most cases, there is on-line documentation, including a YouTube talk by the former mayor

Subphase 1.1, Step 2: *Discuss and decide on state of readiness to undertake a CDS*

The next step is to gauge the readiness of the city to engage in a CDS. The extent to which the city is capable and ready to undertake a CDS process may be unclear to those involved. The readiness assessment will refer to the various elements of a CDS and address the feasibility of developing and executing the strategy.

“Readiness” is defined by four main characteristics:

1. Capacities (institutions, personnel and their competences)

2. Resources (financial, time and technology)
3. Willingness (political will at the top and buy-in of the departments)
4. Mandate (both legal and in terms of constituency)

Web Tools

Please refer to the readiness assessment on the new Cities Alliance CDS website. The website takes you through the questions in an interactive manner.

The figure below presents a number of key readiness questions.

FIGURE 3: READINESS ASSESSMENT QUESTIONS

"IS YOUR CITY READY FOR A CDS?"

- 1 Does your city already have experience with participatory processes and decision-making?
- 2 Is the mayor or equivalent political figure willing to support and commit to the CDS?
- 3 Is there buy-in from local government stakeholders (staff and politicians)?
- 4 Will the CDS conflict with any existing planning processes?
- 5 Is your city in a stable situation to implement a CDS? (defined as: free of political crises or natural disasters etc.)
- 6 Has some type of public sector reform been undertaken?
- 7 Are the relevant legal and regulatory provisions in place?
- 8 Do you have the necessary resources (financial, time, technology)?
- 9 Do you have the in-house capacity (personnel) to implement and maintain a CDS?
- 10 Do local government institutions have the correct mandate/authority to implement a CDS process?

group may want to ask themselves, 'What do we want to do about the following issues?'

- The lack of capacity in the municipal departments to undertake the CDS and institute the change that will be necessary. Do we need to build capacity before getting started? Should we hire consultants?
- The lack of resources to implement a CDS. Do we need to have a special resource generation strategy?
- The potential resistance from municipal staff. Do we need to step up our communications strategy?

If there are substantial problems in the city and the state of readiness appears to be 'low', then the mayor and the core groups might want to ask themselves a bigger question: Is it the right time for a CDS? Undertaking a CDS when the city is in crisis is not advisable. It is more advisable to take the time to prepare on a number of different fronts.

Subphase 1.1, Step 3: Appoint strategic coordinator and set up CDS team

Once the decision has been made to execute a CDS, and the political and municipal apparatus is engaged, it is important to think through who will plan, manage and champion the process within the government. Typically, this involves appointing a strategic coordinator (an internal champion that will lead the process)¹⁴, and designing an organizational structure with which the coordinator can work. This might include a core team to work on the CDS, a steering group (an advisory group with a more strategic role) and thematic (multi-stakeholder) working groups. Structure may differ depending on the circumstances.

Output of this subphase: readiness assessment

What to do if you are not ready?

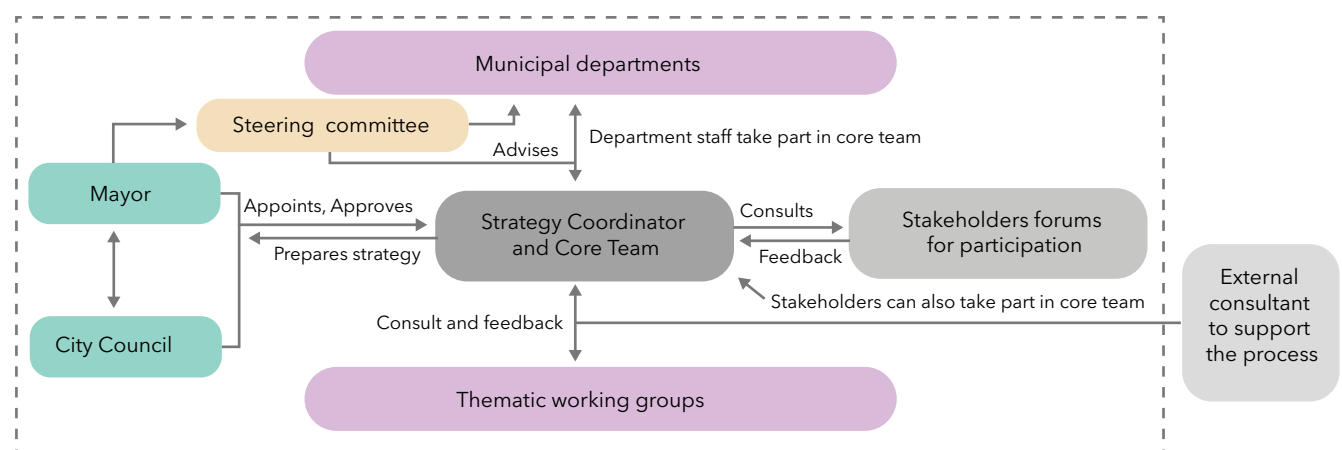
The assessment may reveal that in some aspects the city is not ready to undertake a CDS. A city that takes more time to prepare when there are shortcomings increases the chance of them being successful. The mayor and core

Note

The toolkit from now on refers to the strategic coordinator and the core team as 'the CDS team'.

Figure 4 provides an indication of what the set-up might look like.

FIGURE 4: POSSIBLE ORGANIZATIONAL SET UP TO MANAGE THE CDS



¹⁴ Ibid.

The strategic coordinator is an important figure in the CDS preparation process and requires a blend of management skills and experience. The strategic coordinator will do the following:

- Lead the process.
- Manage the work of the CDS team and have authority to deploy resources to develop the strategy.
- Report on a regular basis to the mayor or a lead official responsible for the CDS.

In doing the work, there will be different levels of commitment¹⁵. There will be those that own the process, and those that are involved in the process. The first is related to the commitment to support the process (politicians, political parties and institutions) and the second is related to the actual implementation of the process (the strategic coordinator and the CDS team).

Tools

Tool 1 provides a checklist of competencies and skills required of a **Strategic Coordinator of the CDS process**.

The strategic coordinator will establish a CDS team that will take on the role of operationalizing the process. It is important that the CDS team be comprised of members that have decision-making authority (for instance, municipal department heads). This will give the group legitimacy and promote more efficient working relations, as issues can be dealt with more quickly.

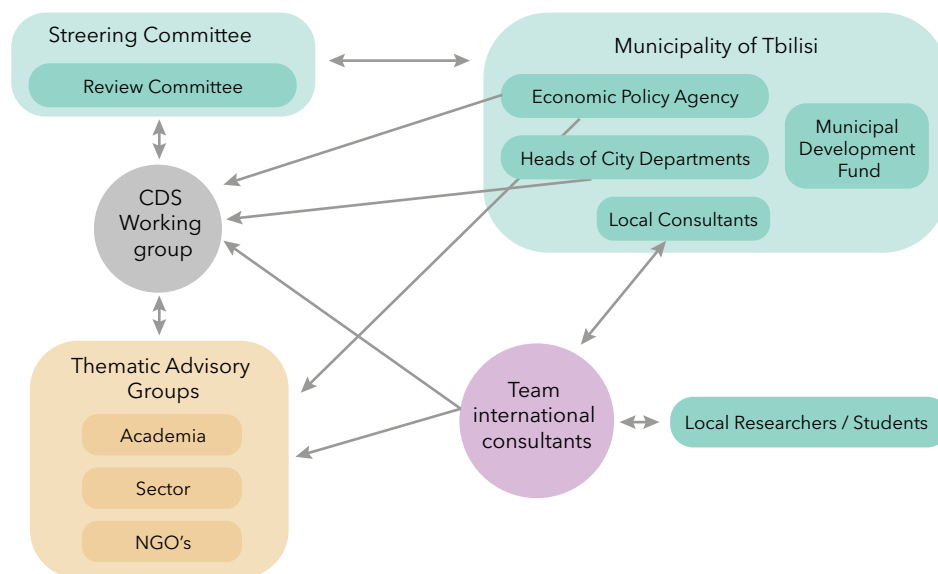
The size of the CDS team should ideally be between six to nine people, so that negotiations and decision-making can take place relatively easily, but there is enough representation of the different departments and interests from within the municipal structure.

BOX 2: THE CASE OF TBILISI, GEORGIA

During the development of the CDS in Tbilisi, Georgia, the city hired an international team to help the local government in preparing their strategy. The Economic Policy Agency (EPA) was responsible for the management of the process within municipality, and the Municipal Development Fund (national government) was responsible for managing the contractual relations (with the donor and with the international team). The governance structure is portrayed below.

The governance structure was designed in this manner:

- The CDS Working group was responsible for the day-to-day execution of the CDS; consultants were taken on to facilitate the work of the group. Members comprised the Director of the EPA and representatives of the departments.
- The Steering Committee, an oversight committee, was set up to review and make comments on all the outputs of the CDS working group. The members comprised the Director of the EPA and different city council members, as well as some external experts.
- The thematic groups convened at key milestones of the process (the different phases of the CDS) to discuss, deliberate and present their decisions. These discussions were facilitated by the EPA, the international team and the local consultants and where possible department heads.



¹⁵ IDEA and NIMD, 2013.

The international team worked closely with a team of local consultants, including consultants from the university, particularly during the development of the situation analysis.

Issues faced: During the process, the department staff and members of the council were overburdened and had little time to take part in the working group and the steering group. There was less than optimal presence from the government in these groups. This situation hampered the consistency of the work, with the responsibility ultimately reverting to the EPA. The team had to find other methods to consult and work with them.

Positive aspects: The team designed and held many meetings and forums, convening thematic groups and forums made up of a wide range of stakeholders. This process was well attended and effective in achieving outcomes. In addition, the culture of public consultations remained during the implementation period. The government continued to organize meetings and consult with stakeholder's groups, incorporating this feedback into decision-making.

Subphase 1.1, Step 4: *Identify stakeholders*

In this step, the team will identify key stakeholders in the city and those outside of the city with interest and influence over the growth and development of the city. It is important to do this at the beginning, during the preparatory stage, to ensure that all stakeholders are taken into account and a credible participatory process is set up.

Stakeholders are people, groups or organizations who:

- Are affected, positively or negatively, by a project or process, or by an issue arising out of the process.
- Can contribute with human and non-human resources in planning and implementation of process.
- Control or can influence the implementation of the process.
- Have an interest in the successful or unsuccessful outcome of the process.¹⁶

Why?

A stakeholder analysis helps to identify the legitimacy, interest and role of each stakeholder in the process of collaborating during a CDS planning process. For the city, it is important to ensure that stakeholders from vulnerable groups, and their interests, are included or represented, such as those representing the urban poor, women, the elders, children and youth, ethnic minorities, disabled people and so on.

Analysing who key stakeholders are and coming to understand them is important when looking for ways

Note

There are different opinions about the moment at which it makes sense to identify stakeholders. In the authors' opinion, this is one of the most important tasks and should be done as soon as possible. It is also the basis for the making the stakeholder management and communication plan.

Tools

Please refer to **Tool 2 (Stakeholder analysis)** and **Tool 3 (Stakeholder coincident and conflict analysis)**.

Reference

"Mind tools" is a useful site: <https://www.mindtools.com/>

to ensure that they can play their potential roles. A stakeholder analysis allows the team to understand the interests and capabilities of individuals, groups and organizations that might have something to win or lose from a project, or that may support or block the project. Thinking this through promotes ownership and sense of responsibility among all stakeholders in a city, and reduces resistance, if interests are incorporated. It also allows weak groups to be empowered to participate effectively.

¹⁶ Source: authors, Mind Tools

Who?

Stakeholder analysis requires developing objective criteria for identifying and selecting key stakeholders with whom to work, coordinate and communicate. This helps to ensure that all the relevant stakeholders are involved at the right time, and the appropriate actions are taken to gain their support. Stakeholders can be grouped as follows:

TABLE 2: CATEGORIES OF STAKEHOLDERS

ACTOR GROUP	EXAMPLES
National	Ministry of Urban Development, Ministry of Public Works, Ministry of Home Affairs, local member of parliament
Sectoral agencies: national, state or provincial	Water company or board, housing department, health department
Local government inter-sector	Mayor, councillors, chief executive, planning, finance, administration, legal, communications
Local government sector	Health, employment or economic development, social affairs, water supply
Private sector: formal	Registered business, industrialists, banks, professional services and consultants, shops, chamber of commerce
Private sector: informal	Hawkers, small unregistered shops and workshops
Media	Local newspapers, local radio, television, informal media
Community-based organization (CBO)	Neighbourhood association, local cooperative
Non-governmental organization (NGO)	Can be supportive of communities, provide professional services, provide information, act as intermediary. May also be activist
International	Multilateral donors, such as World Bank Asian Development Bank (ADB), Inter-American Development Bank (IADB), United Nations Centre for Human Settlements (UNCHS); bilateral donors, such as German Technical Cooperation Agency (GTZ, Directorate-General for European Cooperation (DGIS), overseas development assistance (ODA)
People (not organized)	People, families not organized

When?

Stakeholders will change over the length of the development and execution of a planning process. Identifying stakeholders, their interests and what they may bring to a project is important to the coordination and management of the CDS process.

The Asian Development Bank (ADB) argues that a stakeholder analysis, although essential at the start of a project, should also be seen as an ongoing process. Their guidelines state that stakeholder analysis should be updated and refined throughout the project cycle as it fulfils different functions at different stages.

1. During problem identification, stakeholder analysis serves as a preliminary mechanism to identify important and influential stakeholders and draws attention on how to involve them in the analytical and planning process.
2. A detailed stakeholder analysis carried out during strategy formulation supports design decisions and risk analysis.
3. Continuing stakeholder analysis during strategy implementation serves to confirm the involvement of each stakeholder, keep track of changing circumstances and interests of stakeholders, and plan stakeholder involvement in the evaluation process.¹⁷

Levels of engagement

When determining the role of the various stakeholders, the team can differentiate different levels of engagement, namely¹⁸:

- Operational partners: Stakeholders that come from outside of the municipal structures, but will be actively engaged in the development and execution of the CDS. These partners often take part in the thematic groups. The team might consider, however, in some cases, involving some of these stakeholders in the CDS team.
- Consultation stakeholders: The city will consult these actors during the process and they will provide important feedback.
- Networks: Networks that the city will need to activate and with whom it will cooperate (ministries, donors and international partners).

It is important to be aware that stakeholders' levels of participation may change in different phases of the strategic plan and during the planning process.

Output of this step: This step should produce a stakeholder analysis with initial indication of interests, influence, perception of the issues and potential role.

¹⁷ ADB 2016: Guidelines for preparing a design and monitoring framework, pg. 12, accessed 31 August 2016.

¹⁸ Adapted from VNG 2010.

Subphase 1.1, Step 5: *Plan out the process and its management*

The strategic coordinator and the CDS team should make an initial roadmap of the CDS preparation process, the steps envisioned and the timing. They will do an initial assessment of how the process will be managed: key roles and responsibilities of the stakeholders defined. This planning will be taken up further in Subphase 1.3: Establish the CDS process.

Subphase 1.1, Step 6: *Develop preliminary communication strategy and design publicity campaign*

The stakeholder analysis will provide important information that the city can use to design a communication strategy and publicity campaign. A communication strategy

Tools

Please refer to the **process planning tool (Tool 4)** and the **Venn diagram tool (Tool 5)**.

will look at the key target groups, the objectives of communicating with the target groups, the nature of the message and the channels to be used. A preliminary communication strategy will comprise a plan of events in which stakeholders will be engaged over the entire process and what will be expected of them. The strategy will also contain a budget, so that the city can be clear on the funds and resources needed. This marketing and communication strategy should be closely coordinated with the set-up of the participatory process. See also Subphase 1.3, Step 4.

Outputs of this step: This step should produce a preliminary communication strategy and a design of a publicity campaign.

1.2. Municipal institutional assessment (capacity and resource assessment)

STEPS IN THIS SUB-PHASE (1.2)

Step 1	Take stock of existing planning processes in government.
Step 2	Analyse government political environment, legal framework and policies that influence and underpin the CDS process, as well as the mandates of levels and units of government.
Step 3	Analyse the government structures, processes and capacities.
Step 4	Assess local government reforms and their potential impact.
Step 5	Assess local resource mobilization, budgeting mechanisms and funding systems.

The objective of this subphase is for the city to achieve clarity on the institutional and organizational environment in which the CDS will take place. This assessment is done at the outset to provide time for the city to consider and make decision on the governance of the process.

The municipal institutional assessment is **an extension of the readiness assessment**, and focuses on the areas that the readiness assessment highlights as needing more attention. It is also feeds into the **situation analysis**, but is done first.

One key outcome of this subphase is an understanding of the capacity that exists and *is needed* to execute a CDS. Capacity relates to both *the human resources in place* (how the organizations are staffed) and *their competencies* to do the work.

Subphase 1.2, Step 1: *Take stock of existing planning processes in government*

The strategic coordinator and CDS team (and consultant) will take stock of planning processes and activities the local government departments are undertaking, as well as

strategies in place, if any. It is important to be clear on ongoing initiatives.

Subphase 1.2, Step 2: *Analyse the institutional environment and mandates of local government*

In this step, the team will look closely at the political environment, legal framework and existing policies that will influence the CDS preparation and execution process. In addition, the team will analyse mandates of the levels and units of government. They will ascertain gaps in the legal frames and policies, as well as between the current mandates and the future mandates required for the execution of a CDS.

Subphase 1.2, Step 3: *Analyse government structures, processes and capacities*

The team will analyse the government structure and ongoing processes. They will then look at the current

structure and staffing of departments, in relations to the tasks being (and to be) undertaken, and any existing policies on capacity development.

The analysis highlights the following:

1. Whether the current structures can accommodate new ways of working required during the preparation and implementation of the CDS.
2. What kind of organizational change (structures and staffing) should occur as part of the CDS preparation process to ensure effective preparation and implementation of the CDS.
3. How competencies fall short.
4. What to include in the capacity development strategy, which outlines the competencies to be built to take on the *preparation and implementation* of the CDS. This should be integrated into the planning process.

Subphase 1.2, Step 4: *Assess reforms and impacts*

One of the questions of the readiness assessment is whether the local government is currently undergoing any major public sector reform. It is important as reforms require an investment of resources, energy and commitment on the part of the staff and this can result in upheaval. If there is reform ongoing, the question is: *Will entering into a CDS make sense in the middle of such a reform?*

Questions to be asked might include the following:

1. Is the CDS necessary or will current reforms achieve some of the outcome expected of the CDS?
2. Will a CDS wreak havoc in an already difficult process?

Tools

Please refer to various Capacity Needs Assessment frameworks and Common Assessment Framework of the EU in the references section of this document.

In addition, UNDP, UN-Habitat, World Bank and Asian Development Bank, among others, have good on-line materials on capacity development.

Tools

Please also refer to the Human Resource Capacity Benchmarking toolkit, being developed for the Cities Alliance under the FCA programme. This toolkit outlines what type of human resources a local government should have in place to run the city in an effective manner.

3. Does it make sense to piggyback on this reform?
Can the changes being made benefit the CDS?

The team will assess these ongoing local government reforms and their potential impact on the departments and their staff, and outcomes related to the citizens. The team will assess whether the reforms are achieving, or are likely to achieve, the results and impacts planned, and whether these are positive and negative.

Subphase 1.2, Step 5: *Assess local resource mobilization, budgeting and funding*

Knowing what kinds of resources are available is an important part of preparing for the CDS. This is an extension of the readiness assessment and will include looking at the funding streams of the national government and donor programmes. The team will assess local

BOX 3: KOSOVO STRATEGIC SPATIAL PLANNING

The Kosovo Strategic Spatial Planning project focused on the set up of a planning institution within the Ministry of Spatial Planning and Environment in Pristina, and the development of strategic spatial plans for the whole of Kosovo and its municipalities. The project kicked off with a number of support activities to ensure that the process would be effective. Support continued throughout the development of the plan and during implementation.

- *Development of legal frameworks:* Drafting of the law for Spatial Planning for Kosovo and the development of policy to support the process.
- *Organizational change:* Consultants aided in drafting of an organizational strategy for the set-up of the Institute for Planning, involving a human resource strategy for the growth of the institution over time.
- *Capacity building strategy:* The development of a capacity building strategy integrated into the overall strategic spatial planning and the training needs of the institution and its key partners.
- *Capacity building activities:* Initial training of staff on strategic planning and spatial planning approaches. This was followed with on the job training and support in the development and implementation of the strategy.
- *Financial strategies to ensure long term funding:* An assessment of the resources available to fund the process. This was done to ensure that where funding was lacking, the Ministry started early with a resource mobilization strategy. UN-HABITAT funded the support provided by the consultant team. In between funding streams, the Ministry provided bridge funding, which ensured the continuation of support to the programme over time and demonstrated the Ministry's commitment and understanding of the benefit of the programme.

Source: IHS and project documentation, 2003-2006

budgeting mechanisms and funding systems, as well as the local government's powers to mobilize resources. This assessment will be the basis for a resource mobilization strategy (to take place in Phase 3), looking at different sources of funding.

Output of this subphase: This subphase will produce municipal institutional assessment and organizational change and indicative capacity building strategy, focussing on capacity needs for the CDS preparation phases.

Reference

Capacity building is an important concept. It refers to developing the staff's ability to work in the required areas but also the organization's ability to use its staff well. See document by Peltenburg, M., Forbes, D., Teerlink, H. and Wakely, P., 1996: "Building capacity for better cities: concepts and strategies" in the reference section.

1.3. Establish CDS process (internal to government)

STEPS IN THIS SUB-PHASE (1.3)

Step 1	Clarify organizational roles and plan inputs of key government actors for the development of the CDS.
Step 2	Identify government budgets and other financing for CDS activities.
Step 3	Coordinate the planning of the CDS with existing statutory planning systems.
Step 4	Update the communication strategy.
Step 5	Agree on operational rules and work plan, get approval from the Council (CDS time frames, activity calendars, resources and person-power planning).

The objectives of this subphase are for the city to take the steps necessary to clarify the roles and mobilize the (national and local) government actors that will be involved in the CDS process, and to obtain the resources and approvals to get started.

Subphase 1.3, Step 1: *Clarify roles and plan inputs*

In this step, the CDS team will use the results of the **municipal institutional assessment** (Subphase 1.2) as input to this subphase to clarify the responsibilities of

the government staff who will be working on developing the strategy. The CDS team will plan and detail ways of working during the CDS development process, as well as the operation rules that will govern the process. This plan will look at ways to maximize the use of resources, reducing duplication as much as possible.

As mentioned before, the team may choose to set up a number of temporary bodies (thematic working groups, inter-departmental working group or others). This step may have to take place a number of times over the CDS process.

FIGURE 5: THE CASE OF JINJA, UGANDA, AND INSTITUTIONAL STRUCTURES

The Jinja Municipal Development Forum (MDF) has been in operation since 2010. It was set up initially for the preparation of the CDS, and has continued as a body involved in implementation. It engages different groups in the city and has forums with representatives of the urban poor, religious groups, civil society, youth, elderly, persons with disabilities, municipal council, cultural institutions, the business community and media.

In general, MDFs provide a platform to promote stakeholders' participation and foster public dialogue, acting as a bridge between the municipality and its urban citizens. They provide a platform for the urban poor and other marginalized people to be empowered to have a say on urban development issues, programmes and projects. MDFs in Uganda are now formalized in law.

The Jinja MDF is headed by an Executive Committee who are elected representatives from the various groups or sectors, including select staff from the Municipal Council (the Community Development Officer). The reason for having a representative from the Municipal Council is to provide the access and link to the Council, and to avoid bureaucracy. To address the issue of sustainability, the Jinja MDF has a budget line to fund its activities within the Municipal Council. The Executive Committee holds office for a two-year term and is headed by a chairman or president. The MDF secretariat is housed within the Jinja Municipal Council. Recommendations made by the Executive Committee are tabled at the Technical Planning Committee of the Council for adoption.

Source: Field interviews: *The Case of Jinja, Uganda* (2016).

Subphase 1.3, Step 2: Identify funding and budgets

The team identify and gain commitment for the government budgets and other potential sources of funds that will be allocated for 12 months of the CDS preparation process.

Subphase 1.3, Step 3: Coordinate with statutory planning systems

Using the information from the **municipal institutional assessment** on the domestic planning system in place, the team will ensure in the work plan that the planning of the CDS process is sensitive to and in sync with existing statutory planning and development systems. They must consider, for instance, when master plans have been or should be made, as well as the timing of consultative and approval processes. The plans will also have to be prepared to be able to locate priority projects and feed capital investment plans.

Subphase 1.3, Step 4: Update the communication strategy

The work carried out in Subphase 1.1, Step 6 should be reviewed and updated based on the work on development of the planning process. This will help to support the work on the external participatory processes.

Note

Statutory plans and strategic plans often co-exist and there can be confusion about the relationship. It is very important to discuss the relationships between the plans with those concerned and try to make intelligent connections between the types of plans.

Tools

See **Tool 6 on communications strategies**.

Tools

A useful tool in this step is **Tool 7, mind mapping**. This tool can help to organise ideas, be used participatively and be transformed into a Gantt chart (Tool 22).

Subphase 1.3, Step 5: Agree on operational rules and work plan

Finally, the team will finalize the work plan and operational rules governing ways of working. They will submit the final output, including CDS timeframes, activity calendars, CDS budget and person-power planning to the Council for approval. This step will finalize the agreement and commitment to go forward and will make explicit the local government's investment.

Output of this subphase: This phase will produce a work plan, operational rules, updated communication strategy and budget for the CDS development period.

1.4. Establish a participatory strategy development process (external process)

STEPS IN THIS SUB-PHASE (1.4)

- | | |
|--------|--|
| Step 1 | Decide on inputs to be made by the city and strategic decisions to be made with stakeholders |
| Step 2 | Build awareness to support the strategy development process. |

The objective of this subphase is for the city to work out in detail the key elements of the participatory process that are integral to the CDS process. The steps below comprise the activities that a city would have to undertake.

Using the **stakeholder analysis and communication** plan as an input, the strategic coordinator and the CDS team will plan the participation of the key stakeholders. They most likely worked this out in the stakeholder management and communication strategy, but now it is time to put it into effect.

Subphase 1.4, Step 1: *Decide on inputs and strategic decisions to be made with stakeholders*

The CDS team will reach final decisions on the inputs the different stakeholder groups must make, the type of participation expected, and the strategic decisions to be made with stakeholders.

Subphase 1.4, Step 2: *Build awareness*

The team should organize consultations and awareness-building activities to support the strategy development process. These activities will help prepare key stakeholders and allow for in-depth discussions on inputs.

Note

It is important to emphasise that if participation is to be effective, it must be well managed. The *quality of the moderator is critical* in participatory sessions. A good moderator helps build trust and can help balance the competing interests that inevitably arise.

Tools

See **Tool 2 (Stakeholder Analysis)**.

This is an important tool to help analyse who are important groups with whom to work and what are their potential capacities.

Tools

See **Tool 6 (Communication Strategy)**.

Communication, in both directions, is very important and needs to be thought through.

FIGURE 6: THE PARTICIPATORY PROCESS SET UP IN ETHEKWINI, SOUTH AFRICA

The *Imagine Durban* (now eThekweni) strategic planning process was a long-term planning process designed to ensure the sustainability of initiatives. The city described it as a process of non-stop 'learning by doing'. The project was initiated in late 2006, based on the premise that planning must encompass time frames that went beyond that of elected terms of office. Its local priority themes (effectively, strategic objectives) included the following:

- Creating a safer city
- Ensuring a more environmentally sustainable city
- Promoting an accessible city
- Creating a city where all enjoy sustainable livelihoods
- Fostering a more caring and empowering city
- Celebrating the city's cultural diversity, history and heritage.

While developing the project, the eThekweni Municipality employed varied creative forms of stakeholder engagement. The municipal staff used postcards placed at different public places, such as libraries, to elicit contributions to the City's vision. They organized work sessions in local parks. They staged road shows and held 'heritage weeks'. They made print media pull-outs, while organising debates and essays at schools.

They organized demonstration projects to achieve 'quick wins' and prove the feasibility of their proposed programmes or projects. The projects provided the basis for reassessment, revision and scaling up. The projects also helped to maintain momentum and stakeholders' engagement in the city's long-term initiative.

The City of Durban set up a team known as the Durban Project Team (later referred to as 'Durban Ambassadors'), to prepare and implement the strategy. They partnered with the City of Calgary in Canada to gain support and ideas. This was based on the premise that most cities around the world who were at different stages in their planning cycle looked to their international planning colleagues who were at similar, or even at more advanced, stages for ideas, suggestions, tips and lessons learned. The City of Calgary was also involved in a strategy process and provided learning opportunity for the Durban Project Team.

The Durban Project Team held weekly meetings or field trips to evaluate their Imagine Durban Project. The team members were encouraged to be introspective and identify key lessons that they could share with other members within the Municipality, as well as with their citizens. As a rule, the Team tried to build in time for evaluation and reflection into the planning process, in order to make sure that the members were as responsive as possible.

In addition, working groups comprising select Municipal staff and the city's citizens were established and tasked with specific activities. Volunteers working at the Municipal Council also assisted in data analysis and presentation. When the need arose, the Municipal Council would engage reputable professional organizations for specific tasks.

Source: Field interviews: *The Case of Jinja, Uganda* (2016).

1.5. Situation analysis: (rapid) participatory city appraisal and profiling

STEPS IN THIS SUB-PHASE (1.5)

Step 1	Assemble the team.
Step 2	Review local issues and data sources, and set up the research process.
Step 3	Analyse strategic context: the external environment that influences the municipality and general trends (input to the SWOT, which stands for 'Strengths, Weaknesses, Opportunities and Threats').
Step 4	Analyse locally chosen priority topics.
Step 5	Consult with thematic groups on outcome of the situation analysis to gain feedback.

The objective of this subphase is to perform a diagnostic of the city, assessing and performing a benchmark of current characteristics and trends in sectors and themes. The priority topics will differ for each city, as issues are context specific.

The team needs have reliable information on issues in the city so that these issues can be discussed in participatory forums. The situation analysis acts as basis for the steps that follow (SWOT [which stands for 'Strengths, Weaknesses, Opportunities and Threats'] and Visioning) and data collected is essential for **monitoring and evaluation** performed during the implementation of the strategy.

Subphase 1.5, Step 1: *Assemble the team*

The strategic coordinator and the CDS team will need to put together a team to execute the situation analysis. They will probably be working with consultants, as the situation analysis constitutes a body of research that requires particular skills. It is, however, extremely important that staff learn from the experts with whom they are working and develop knowledge and ownership of the issues identified. Putting together a local government team with which the experts can work is essential.

The local government use of university students and researchers to provide support in gathering information.

Subphase 1.5, Step 2: *Review local issues and data sources, and set up research process*

It is useful to review the issue areas likely to require research as this will help to highlight where efforts should be focused. Step 4, below, provides some indicative areas that should be relevant, but each town or city will have different needs, availability of information and collection ability.

The experts and local government team will first need to review local data sources (including maps) and assess the availability (and the value) of information. It is essential to know if the information is available, the reliability of this data, and if there are severe constraints to obtaining data. The team will look at statistics, existing publications

Cross-reference

Please refer to Figure 10 for examples of frameworks used when executing situation analyses.

Reference

Cities Alliance is developing a Data Toolkit under the FCA programme, which is a companion to the CDS Toolkit. This toolkit is geared to helping local government and its partners to develop indicators and data sets that can be used for the specific needs of the towns and cities concerned. It provides guidance on the nature, scope and quality of data a city should collect and the systems that need to be in place to manage this.

Please visit the Cities Alliance website for current information about the toolkit.

<http://www.citiesalliance.org/>

and documentations, existing studies and evaluations reports (made by universities, consultants and donors). It is good to be aware of the potential of local communities to collect information and innovative approaches, such as community-based mapping.

The team will have to strategize on the quantity of data to be gathered as well as the quality, accuracy and reliability of the data collected. The team should pay attention to being judicious about the amount of data collected. Where possible, it is advisable to focus on existing documentation and statistics when these are available. In some cases, the team can consider executing primary research in the form of business and citizen surveys and interviews.

In any case, the team should prepare for the process and hold a first round of consultations with different bodies to promote and prepare them for the upcoming situation analysis. These bodies may also have at their disposal accurate information that they are willing to provide to the city. These consultations will also be used to discuss with them future involvement in the development and implement of the strategy.

Subphase 1.5, Step 3: Analyse strategic context

Understanding the current situation in the city requires understanding the external factors that influence the city. The experts and team will analyse the strategic context: the external environment that influences the municipality and the general trends (**Note:** this is an input to the SWOT, see Subphase 1.6).

VNG (2010) advises: *beware of your influence!* When assessing local issues, it is important for the city to be aware of its sphere of influence: certain factors that influence the city are within the control of the city, others are not. The experts and team need to focus on the factors over which the city has control and can influence. In some instance, the city may be able to execute indirect influence, by lobbying for change (such as requests for the allocation of grants from Central Government to be done on time).

Subphase 1.5, Step 4: Analyse locally chosen priority topics

As mentioned in Step 2, the team must collect data on the sectors and themes that are of importance to the city. As far as possible, the data should also be mapped - either using paper based maps, GIS systems or resources, such as Google Earth. The bullets below provide a general idea of the topics that should be covered in a diagnosis:

- An institutional analysis of which public and private organizations are operating in the city and what are their potential roles and capacities.
- An initial demographic analysis and spatial analysis (assessment of maps and planning documentation).
- Assessment of land use, ownership and markets, as well as municipal assets.
- An analysis of the local economic development status and potential.
- An assessment of the natural resources, environmental issues and climate change vulnerability.
- An analysis of key social issues.
- A rapid appraisal of poverty context and situation.
- An appraisal of approaches to gender issues across the different sectors as well as marginalized communities and individuals with special needs.
- An assessment of other locally chosen priority topics and sectors (such as infrastructure, basic services, housing, health, education, safety, heritage and cultural assets, and so).

It depends on the local situation how these themes are organized and dealt with in the write up of the situation.

Tools

Please refer to **PESTL analysis (Tool 8)**.

Reference

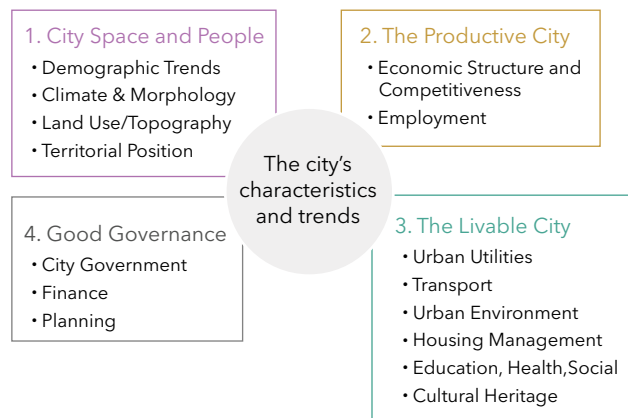
Cities Alliance is coordinating a joint work programme on resilient cities. This is a good source of further information on approaches to this issue.

See Cities Alliance, Joint Work Programme on resilient cities.

Tools

See **Tool 2 (Stakeholder Analysis)**.

FIGURE 7: AN EXAMPLE OF THE STRUCTURE OF A SITUATION ANALYSIS



The figure above provides one example of how themes can be organized in the write up of a situation analysis. The structure of the analysis will depend on the context.

See the technical examples section for some frameworks that can be used in this subphase. Whatever framework is chosen, it is important for the city to be clear how to use it and be comfortable with working with the framework. It is important that the information generated is relevant and reflects the 'real' situation in the city. The results of the analysis have to be 'recognizable' for the inhabitants of the city.

Note

The results of the Municipal Institutional Analysis executed in Subphase 1.2 will be written up as part of the situation analysis. It is often included in the situation analysis in a chapter called 'governance'.

Subphase 1.5, Step 5: Consult with thematic groups on outcome of the situation analysis to gain feedback

The experts and the CDS team will organize events to discuss the situation analysis with the thematic working groups, which are composed of different stakeholders.

When the situation analysis is completed, the experts and CDS team will also organize a stakeholder forum to discuss the profile and agree on the issues that come out of the report. The team will derive out of these discussions a sense of the severity of the city's problems. They should also identify the opportunities.

Output of this subphase: This subphase will produce situation analysis.

BOX 4: SITUATION ANALYSIS, GENDER AND POVERTY

The situation analysis, gender and poverty

The situation analysis should assess the implication for women, men, the poor and physically challenged of the current legislation, policies or programmes in each sector or related to each theme. This can be dealt with in the final output in a separate chapter or can be integral to each topic.

General issues and trends in gender

The UN (2002), in their publication on gender, mentions a series of issues and trends to be conscious of when doing the situation analysis. Women tend to face inequalities in political power (such as access to decision-making or representation), as well as in households. They are subject to differences in legal status and entitlements. It is also necessary to look at the gender division of labour within the economy, particularly the inequalities in the domestic and unpaid sector. Finally, there continues to be a trend in discriminatory attitudes to woman and incidences of violence against women. When setting up the situation analysis, it is important to consider these aspects.

Data collection, analysis and dissemination

The UN (2002: 21-22) directly addresses the collection, analysis and dissemination of statistics and information.

"Given the centrality of data collection, analysis and dissemination, the mainstreaming of gender perspectives in statistics is crucial. Mainstreaming gender perspectives in statistics implies that all statistics are produced taking in consideration gender roles and gender differences and inequalities in society.

All data - both those on individuals as well as those not directly related to individuals - should be collected, compiled and analysed taking in account the gender-based factors that influence women's and men's roles, access to resources, and the way women and men benefit from access to resources, facilities and services.

Disaggregation of all statistics by sex is one of the means of ensuring attention to gender perspectives in statistics. However, disaggregation by itself is inadequate. Sex-disaggregated data are simply data collected and tabulated separately for women and men. Having data by sex does not guarantee that concepts, definitions and methods used in data production are conceived to reflect gender roles and relations in society. It is equally important to consider whether the types of data collected are adequate to responding to the basic questions that need to be asked about sectors/issues from a gender equality perspective. Gender mainstreaming in statistics can involve collecting new types of data or expanding data collection in some areas to fill existing knowledge gaps. In addition, gender mainstreaming requires attention to the basic concepts utilized and to methods of collection and analysis to ensure that gender equality issues are being covered adequately. Attention needs also to be given to methods of presentation and dissemination to ensure the issues are presented in an adequate manner and reach all potential target groups. The gender perspectives in the use of statistics as an instrument for policy change needs also to be looked at. All of the above changes require greater collaboration between the producers and users of statistics'.

1.6. SWOT analysis

SWOT stands for 'Strengths, Weaknesses, Opportunities and Threats'.

- Strengths of the organization or city (internal)
- Weaknesses of the organization or city (internal)
- Opportunities external to the organization or the city, but influencing it (external)

- Threats external to the organization or the city but influencing it (external)

The objective of this subphase is for the city to take the data from the situation analysis and organize it in a framework that can be used for discussions with stakeholder groups. The output of this is an important bridge to the development of strategies and actions.

STEPS IN THIS SUB-PHASE (1.6)

Step 1	Perform SWOT analysis with CDS team.
Step 2	Consult with wider stakeholder groups on SWOT to get feedback, prioritize issues.
Step 3	Obtain broad consensus on the final SWOT from stakeholders.
Step 4	Get council to approve and the mayor to endorse the SWOT.

The **municipal institutional assessment** and the **situation analysis** are key inputs for the SWOT.

A SWOT analysis is a useful tool to organize information gathered in the profile and diagnostic period, so that the CDS team and wider stakeholder groups can discuss, prioritize and agree on the issues the city is facing. A SWOT analysis, an analytical method, is used to identify and **categorize** significant internal (Strengths and Weaknesses) and external (Opportunities and Threats) factors faced either in a particular arena, such as an organization, or a territory, such as a region, nation, or **city**.

There is often some discussion on the correct timing of the SWOT analysis: some suggest doing it after the visioning phase. In this case, it is an effective tool to highlight and organize the problems being faced. It can also be used in a highly interactive manner and to stimulate discussions during participatory events.

A SWOT is good for asking and answering important and difficult questions.

The team can use the problem tree analysis tool to take the SWOT analysis further and link to setting objectives. A problem tree focuses in on core problems and their causes and effects. Please refer to the problem tree tool.

The linkage analysis tool allows you to look at links between problems and the impacts one may have on another (that is, solid waste lying in standing water and its impact on health). The technical examples section contains an example of a SWOT analysis conducted by the city of Edmonton (Canada), which may serve as a model for other cities.

Subphase 1.6, Step: *Perform SWOT analysis with CDS team*

Conducting a SWOT analysis

After careful analysis of the diagnostics information, the strategic coordinator and CDS teams will perform the SWOT analysis, which involves the systematic ordering of information.

When developing the SWOT, it is important to understand that what constitutes "internal" and "external" issues depends on the context. In a SWOT, one needs to define the point of view. For example, if a nation state is taken as a starting point, then government and private sector economy would be internal. If city government is the starting point, then private sector and national government would be external.

Cross-reference

Please refer to Figure 11 for an example of a SWOT analysis.

Note

Tool 10 (SWOT analysis) gives more detail on how to undertake this. It is important to do this together with key stakeholders. In the process, what is internal and what is external are often confused. *Internal* normally applies to the city – aspects that can be more directly influenced by those within the stakeholder group. *External* factors cannot be controlled, but some may be able to be influenced, such as by lobbying and advocacy.

Tools

Please refer to **Tool 10 (SWOT analysis)**.

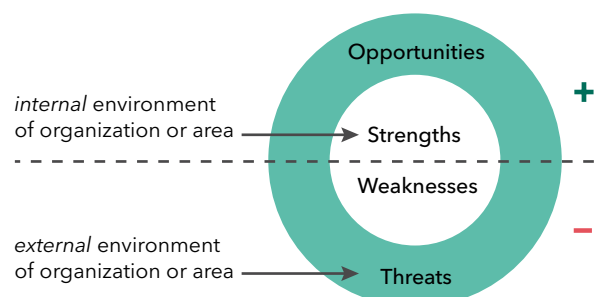
Note

Working through a problem tree analysis is good to do in a participative manner with key stakeholders. Once done, it is relatively easy to identify core problems and turn them into core objectives. This provides a natural way to priorities.

Tools

See **Tool 11 (Problem tree)** and **12 (Linkage analysis)**.

FIGURE 8: SWOT ANALYSIS



The table below provides some guidance on the types of questions that stimulate discussion.

<p>Questions on strengths:</p> <ul style="list-style-type: none"> • What are your city's advantages? • What does your city do well? • What relevant resources does your city have? • What do other people see as the strengths of your city?
<p>Questions related to weaknesses:</p> <ul style="list-style-type: none"> • What do you think are areas that your city does not do well? • What could the city improve? • What should the city avoid?
<p>Questions related to threats:</p> <ul style="list-style-type: none"> • What obstacles does the city face? • Are there threats to the resilience of the city from climate change? • What is happening around the city, in other cities? • How is the economic situation changing? • Are major employers vulnerable? • How is the (inter)national policy environment or political situation changing? • How is demography changing?
<p>Questions to ask when discussing opportunities:</p> <ul style="list-style-type: none"> • What are the good prospects in front of the city? • What are the interesting trends of the city you are aware of (such as changes in government policy, in social patterns, population profiles, lifestyles and economic development)?
<p>Please note that opportunities and threats are often factors over which a city has no or limited control, but must be considered.</p>

Subphase 1.6, Step 2: *Feedback on the SWOT*

The CDS team will then consult with the thematic stakeholder groups and in a wider forum to get feedback on the issues highlighted. This is particularly important as stakeholders often have divergent and conflicting interests and different perspective of the problems and solutions. The objective is for the team to get clarity on the priority issues as a basis for the visioning and strategy development process.

Subphase 1.6, Step 3: *Consensus on the SWOT*

After incorporating feedback from stakeholders and finalising the SWOT, the CDS will again meet to obtain broad consensus on the final version.

The team will have to use a publicity campaign to communicate (see also communications strategy in the Getting Organized Subphase 1.1).

Subphase 1.6, Step 4: *Approval of the council and endorsement of the mayor*

The SWOT constitutes the end of the situation analysis. In the end, it will be important for the city council to sign off on the SWOT before proceeding to the next phase. The mayor and the council should be engaged in discussions and be willing to sign off when it comes time.

Output of this subphase: This subphase will produce a SWOT analysis.

1.7. Strengthen data and information management

STEPS IN THIS SUB-PHASE (1.7)

Step 1	Analyse local data gathering, information management, and mapping procedures and capacities.
Step 2	Provide leadership on sharing data.
Step 3	Assess future data acquisition needs and potential, and develop proposal to strengthen capacities.
Step 4	Update CDS relevant indicators and measures, together with monitoring systems.
Step 5	Integrate data management systems into activities of local planning institutions.

The objective of this subphase is for the city to ensure that sufficient attention is paid to the strengthening of data collection and management, which will aid in the sustainability of long-term efforts.

During the execution of the situation analysis, the team will collect and analyse data on the characteristics of the city. The situation analysis is a snapshot of the strategic situation in a city at a particular time. Based on trends derived from historical data collected, the situation analysis can help to forecast possible futures or scenarios, which can be used to help make strategic decisions.

However, the city will change, as cities are dynamic. This implies the need to ensure that data are kept up to date. This subphase focuses specifically on improving data collection and management over the longer term. These activities will allow for adjustments to the CDS over time, aid in future decision-making and in the sustainability of CDS initiatives.

The data are also essential as an input for the monitoring and evaluation of CDS activities that should take place.

Subphase 1.7, Step 1: Analyse data and information management procedures and capacities

The CDS team, with technical support, will take stock of the data and information management systems and procedures, including sharing of data, as well as the capacities to collect and manage these systems. The team will look both at the human resources in place to do this, as well their competencies.

Subphase 1.7, Step 2: Provide leadership on sharing data

Sharing data is essential for the success of a CDS. The strategic coordinator and the CDS team should work with the mayor on ensuring that data is shared internally across departments, and the culture of *protecting*, rather than sharing, information is avoided. Sharing data will help when budgets are minimal, and will help in integration of activities.

Data are also important for the different stakeholder groups in the city. Local businesses, potential investors, families and others can make educated and informed decisions when they have reliable information. Universities and other research institutions can use the information to execute research that can support policy-making and local government decision-making. The city should share their data and encourage other organizations to share information. Both sides need to see this as beneficial or sharing will not work. To ensure the availability of the data, the local government must build the capacity of a variety of institutions to collect and to analyse the data¹⁹.

Subphase 1.7, Step 3: Assess future data acquisition needs and potential

The team will then assess the future data collection needs and the capacities to take on this task within the municipality. This assessment may result in a proposal to strengthen capacities to meet these needs. This proposal

Note

A sound base of information and good analysis is very important to develop a strategy and to encourage agreement among different stakeholders. This also links strongly to points on data sharing.

This should be coordinated with the capacity building assessment and strategy produced as part of the municipal institutional assessment (Subphase 1.2).

can suggest ways to improve the knowledge base over the longer term, to build capacity to continue to collect and analyse data in an evolving situation. It will also look at different organizational scenarios for collection and management of data (that is, working with internal teams or with a combination of internal and external support) and the costs of these scenarios.

Subphase 1.7, Step 4: Update CDS indicators and measures, along with monitoring systems

The team will reconsider CDS indicators developed during the situation analysis to ensure that they reflect the local conditions and provide a good measure of change over time. These indicators will be linked to the local monitoring system.

Subphase 1.7, Step 5: Integrate data management systems into activities of departments and local planning institutions

The team will work closely with the departments and local planning institutions to ensure that data management is integrated into their systems. This is particularly important to ensure linking with existing planning processes.

Geographic Information Systems (GIS) are used extensively to capture, store, manipulate, analyse, manage and present all types of spatial or geographical data, and will help link CDS to the activities of sector agencies and planning institutions. There are different types of software available, the use of which require investment and a clear strategy on how staff will be using and developing their GIS database. When no GIS is available, traditional maps and plans can be used.

Cross-reference

Please refer to the *Data Management Toolkit*, being developed for the Cities Alliance under the FCA programme, which provides guidance on the nature, scope and quality of data a city must collect and the systems that should be in place to manage this.

Cross-reference

Please also refer to the *Human Resource Capacity Benchmarking Toolkit*, being developed for the Cities Alliance under the FCA programme, which outlines what type of human resources a local government should have in place to run the city in an effective manner.

¹⁹ VNG 2010.



PHASE 2: WHERE ARE WE GOING? VISION AND STRATEGIC OBJECTIVES

Phase 2 builds on the foundation of Phase 1. It uses the work done on building the situation analysis and the SWOT analysis, and the participation in that process to form the basis of looking to the future. Phase 2 starts at a broad level with *visioning* and then goes into more detail with the development of strategic objectives.

2.1. Visioning and building consensus on key themes

STEPS IN THIS SUB-PHASE (2.1)

- | | |
|--------|---|
| Step 1 | Conduct iterative visioning exercise. |
| Step 2 | Build support for the focus and themes in the vision. |

The objective of this subphase is for the city and its inhabitants to develop a vision for the city. A vision is a dream or picture of what the city wants to look like in the future to achieve its potential.

A vision is the overall image of what the community wants to be at some point in the future. The vision highlights what is unique about the city and its identity. Defining a vision is an important step in creating a point on the horizon upon which actors in a city can focus. The vision also functions to unite people and their interests.

- The vision has a synergetic character (building on the existing values and assets of the city and generating added value).
- The vision requires participation, consultation, sharing, fine-tuning, consolidation, implementation and reviewing.
- The vision may lead to a shorter version, that is, a slogan, which can be the basis for a marketing strategy.

A vision is an output, while visioning is a process. UN-Habitat, in the document "Visioning as Participatory Planning Tool"²⁰, defines visioning as follows:

"Visioning is a process by which a community envisions the future it wants, and plans how to achieve it. It brings people together to develop a shared image of what they want their community to become."

The visioning process is a good opportunity to engage stakeholders in a stimulating, participatory event. Once again, the stakeholder analysis is important for this subphase, because it ensures that all vulnerable groups, the poor and women and children are included in this exercise.

Subphase 2.1, Step 1: Conduct a vision exercise

The CDS team will set up the vision process and conduct a visioning exercise. The staff will work with the thematic groups and in larger forum on different visions.

Subphase 2.1, Step 2: Build support for the focus and themes of the vision

After working through the different views of the vision, the team will compile a final vision and work with key stakeholders to gain support for and consensus on the focus and themes of the vision.

Note

The visioning exercise builds on the work done in Phase 1 – this will already give some focus. The opportunities and strengths identified in the SWOT analysis can also help to provide some positive areas.

Cross-reference

Please refer to Figure 12, under Technical examples for an example of the visioning process undertaken Arnhem, a city in the Netherlands.

The section on technical examples provides an example of a visioning exercise conducted during a strategic development process in Arnhem, the Netherlands.

Questions to ask in the formulation

- What unique combination of factors should be highlighted?
- What are the main values, beliefs, ideas and impressions that people have of the city (key words)?
- Which are the target markets of the community?
- What are the long term and the short-term goals?

Visions should be the following:

- **Audacious:** A dream that is beyond what you think is possible; take it beyond the city's present reality.
- **Capitalise on core assets:** Builds on your city's core assets, on history, citizens, strengths, unique capabilities, resources and assets.
- **Future-casting:** Provide a picture of what your city looks like in the future.
- **Inspiring:** Use language that inspires. Provoke emotion and excitement. Create enthusiasm and pose a challenge.
- **Purpose-driven:** Give a larger sense of purpose.

Output of this subphase: This subphase will produce a city vision agreed upon by the local government and all key stakeholders.

Tools

See **Tool 13** on **brainstorming**.

²⁰ UN-Habitat, 2012: 19.

2.2. Set strategic objectives and build consensus on strategic directions

STEPS IN THIS SUB-PHASE (2.2)

Step 1	Develop strategic objectives and prioritize them.
Step 2	Build consensus on strategic directions and choices.
Step 3	Create a framework for a multi-sector strategy and multi-year budget.
Step 4	Design a user friendly CDS strategy document.

The objective of this subphase is for the city and its inhabitants to set clear strategic objectives for the city. Strategic objectives accompany the vision, translating its content into clear statements about what a city wants to achieve (sector-specific targets, specific magnitudes and timing). Objectives connect existing variables with expectations and resources in different urban fields. Objectives coordinate issues identified in the city profile (problems or opportunities) with the programmes and projects to be formulated in the next steps.

Subphase 2.2, Step 1: *Develop strategic objectives and prioritize these*

The team, working closely with municipal departments and the thematic groups, will develop series of 'SMART (specific, measurable, actionable, realistic and targeted)' strategic objectives and prioritize them. The process of setting objectives is often done using brainstorming techniques, which can result in many different options. Having a number of options allows for comparison, and gives the ability to choose the best objectives to achieve the vision. Indicators to measure performance will accompany each objective. The data collected as part of the *situation analysis* (1.4) and in the *data and information management* (1.7) subphases provide good baseline information for developing the indicators.

Subphase 2.2, Step 2: *Build consensus on strategic directions and choices*

The team will organize events to discuss, get feedback and build consensus on strategic objectives and the directions and choices they imply. The team will also meet with the thematic groups in a wider forum. The way to organize these discussions and design the events will be part of the marketing or communication strategy and the participatory set-up.

Subphase 2.2, Step 3: *Create the framework for a multi-sector strategy and multi-year budget*

The team, working with the budgets of the municipal departments, will set up the framework for a structured, multi-sector strategy and multi-year budget. This will be the framework for prioritising the projects that the city will implement. Though the departments of the city will use this budget extensively in the next phase, it is important to start setting up the structure at this point.

Note

There is an important difference between well thought out and agreed objectives and a simple "wish list". Good objectives might appear simple, but they take a lot of effort to formulate, prioritise and agree upon. They are, however, one of the most important building blocks of a good strategy.

Tools

A good way to develop objectives is to work with **Tool 11 (Problem tree)** and then to convert core problems into core objectives. Do this with key stakeholders to achieve consensus on a limited number of objectives.

Prioritising objectives can be done by using agreed criteria as demonstrated with **Tool 17 (Goals Achievement Matrix)**.

Tools

Please see **Tool 14 (SMART objectives)** and objective assessment. It is best to work on this in a participative manner so that key stakeholders support the objectives.

Cross-reference

Please refer to the Kaganova 2011, Guidebook on Capital Investment Planning for Local Governments of the World Bank.

A key input for this step is the resource assessment undertaken as part of the *municipal institutional assessment* (Subphase 1.2, Step 5).

The reason for starting this process at this stage is because coordination of budgets and getting commitment on sources of finance can take some time. The multi-sector strategy and budget should be linked to the municipal and national budgeting system and approval procedures. This is a good time to start discussions with the national government and donors.

What if there is too little money?

Access to funding for projects is often a serious constraint. A number of strategies can be used to address this:

- Strategies to increase the level of resources

- Strategies to make more efficient use of existing resources
- Strategies to develop synergies between investments and avoid duplication.

This is the moment to start thinking about resource mobilization strategies. There are different ways to mobilize resources, such as working more effectively with limited funds.

Resources can include many different things, not just money. Resource mobilization is a process of raising various types of support for the departments of the municipality. It can be both cash and in-kind support.

Apart from money, it is possible for the city to raise support from volunteers, look for material donations or in-kind contributions from the community. The types of strategies that team can consider are as follows:

Increasing resources

- Proactively search for funding from donors and other funders. This is the most conventional way of getting support. This requires knowing the criteria that donors use for selecting a project and coming up with a well-conceived project.
- Volunteer support where volunteers provide their time and resources to a project or department. Cities in the Netherlands, for instance, engage in public-volunteer partnership for the provision of certain social services.
- Partnering with the private sector in a project, to which the private partner brings investment.
- Support for community initiatives, where the community takes over the provision of a service or an activity with government support. Some schools in New York City as a learning experience, engage students to clean solid waste from certain areas of the city.
- It is also possible to think out of the box. For instance, the city could 1) organize fundraising events to request donations for city initiatives, 2) request small amounts of money from the public (such as crowd funding), or 3) collect in-kind contribution, such as used clothes, furniture, books, vehicles or even buildings.

Increasing efficiency (using less resources)

- Looking internally in government departments at ways to work more efficiently. The expectation of the organizational change and human resource benchmarking toolkit that are part of the CDS is that finding better ways of working are a priority.

- Reviewing design options and changes in layout and density can make infrastructure and transportation services much more efficient.

Increasing synergies (working smarter by connecting actions to multiple objectives)

Often funds for local government are tied to sectoral targets, but with a clear vision and creativity projects can be planned and managed in such a way that they provide wider benefits – thus increasing effectiveness in reaching a wider range of objectives. Examples include the following:

- Improved water supply in poor areas can help meet health objectives and at the same time, through lower costs to poor families, improve family affordability for housing.
- Breaking large contracts into smaller parts can allow for work for local small contractors or community contracting – thus improving local incomes.
- Community-based monitoring of local contracts can help improve transparency and achieve better results.

These are examples of the benefits of looking at issues and solutions in a cross-sectoral manner.

Subphase 2.2, Step 4: *Designing a user-friendly CDS strategy document*

At this point, the team will start structuring and preparing a coherent CDS strategy document to communicate the vision and the strategic objectives. This document will be one of the tasks defined in the marketing and communication strategy, and it will contain the outputs of the different phases. Sections will be added as these phases are completed. It is important, however, for the team to decide early on how the strategy document should be packaged, the precise contents in chapters, and how it will be disseminated.

The final document will be the CDS of the city and can be used to market the strategy to different interested parties. In many situations, cities develop a short and long version, so that these can be used in various situations. Often cities also design webpages that contain the chapters of the document.

Output of this subphase: This subphase will produce prioritized strategic objectives.

Tools

Please refer to **Tool 6 (Communication strategy)**.

VISIONING AND STRATEGIC OBJECTIVES: GENDER AND POVERTY

It is a challenge to get the correct type of representation of women, men and the poor during the visioning and strategic objective setting process. When designing the participatory process, the city will have to decide how to do this in a way that provides these groups of stakeholders with a real 'voice'.

Taking part in discussions, coming up with ideas, and providing feedback can be a challenge for some groups, as they often perceive issues and prioritize problems in a different way than municipal staff. The groups see problems as more immediate (shelter, water and food are priorities) than problems perceived by municipal staff, who think at a more structural level (strategic objectives and service provision). It is important to provide women and the poor with a 'safe' place, a place where staff will listen, and the time to talk. In addition, the interaction should provide alternative ways for participants to communicate needs, interests and points of view, to avoid any potential communication problems. The approach should foster the innovation of these groups.

The **Visioning Toolkit** listed in the references is a good source to guide the visioning process, taking gender and the poor into account.



PHASE 3: HOW ARE WE GOING TO GET THERE? STRATEGY FORMULATION

3.1. Develop strategic options and prioritization

STEPS IN THIS SUB-PHASE (3.1)

Step 1	Transform the vision and objectives into strategic options (programmes and projects).
Step 2	Clarify the legal and political framework governing the projects.
Step 3	Assess the financing framework and make outline budgets.
Step 4	Locate the projects on plans.
Step 5	Prioritize project options.
Step 6	Confirm consensus on prioritization of projects.

The objective of this subphase is to focus on 'operationalizing' the vision and objectives, turning these into concrete programmes and projects, with budgets and a spatial location identified related to the spatial plan.

Subphase 3.1, Step 1: *Transforming the vision and objectives into strategic options (programmes and projects)*

The team now must take the vision and objectives and transform these into strategic options, that is, programmes and projects.

A strategy is more than the sum of projects. It is a meaningful grouping of projects that work together to meet the strategic objectives. Benefits should be gained from synergies and conflicts avoided or minimized.

No magic button exists that allows a strategy to be developed, rather alternative strategies emerge from the process of analysing problems and opportunities and from reviewing existing programmes and plans.

Potential action areas will already have emerged in Phase 2 during the use of tools, such as problem tree analysis and force-field analysis. They typically relate to actions to overcome the root causes of problems, or actions to overcome restraining forces in force-field analysis. New action areas also have to be connected to existing plans, projects and programmes. These already have investment of time, money and political will. Linking to them can help a new strategy get underway quickly. Ignoring them can lead to early opposition. Sometimes existing projects can be modified to improve an overall strategy.

The connections between action areas can be explored using linkage analysis. This encourages relating projects to each other and to the strategic objectives. It identifies where linkages are positive or negative and from this it helps to identify groups of projects which can work together. It also helps to show where changes can be made to better meet objectives.

In the process of developing strategies, it is also good to identify *alternative* strategies that will allow later testing using tools such as Goals Achievement Matrix (see Subphase 3.1 Step 5, and the discussion in Subphase 3.3).

The broader work done on the overall strategy in this subphase overlaps with the more detailed work carried out in the action plans of Subphase 3.3. The approach and tools are similar; the level of detail is different. For example, at this stage it is sufficient to have broad indications of potential costs and available budgets. This

FIGURE 9: A PROGRAMME VERSUS A PROJECT

A programme is a group of related projects managed in a coordinated way to obtain benefits not available from managing the projects individually. A programme will be an offshoot of the strategic objectives set in the previous phase. In contrast, a project is an undertaking with a fixed timeframe that creates a unique product or service. A project has a defined start and end with specific objectives that, when attained, signify completion. Programmes are normally wider in scope and longer term in nature than projects.

Tools

Please refer to **Tool 11, Problem Tree Analysis** and **Tool 9, Force-field analysis**.

A useful combination is the following:

- Force-field analysis (9)
- Brainstorming (13)
- Linkage analysis (12)
- Goals Achievement Matrix (17)
- Impact analysis (18)

Tools

Please refer to **Tool 15 (Project programming sheet)** for a simple approach to project programming.

Cross-reference

Please also refer to Figure 14 under Technical Examples for an example of a list of projects before prioritization.

allows the broad scope to be assessed, which helps avoid going into too much detail in developing action plans that have little chance of success.

In this period, the team will work closely with municipal departments and others to define and outline the projects in general terms. The outcome of this step will be alternative strategies containing long lists of projects, with basic elements of the projects described. Prioritization within the long lists can be done in a participative manner using Tool 17, Goals Achievement Matrix. This can be done at this stage and then refined with more developed projects in Phase 3.3.

The team will organize consultations with key stakeholder groups to discuss project options and get feedback. The city can also decide to launch a call for projects ideas and proposals²¹.

The section on technical examples provides an illustration of a project programming sheet.

Another tool that can be used in project formulation is the Logical Framework Approach, which is a methodology used for designing, monitoring and evaluating international development projects. Variations of this tool are known as Goal Oriented Project Planning (GOPP) or Objectives Oriented Project Planning (OOPP).

The technical examples section presents a simple representation of a log frame that enables a city to organize its objectives (long and shorter term), the baseline situation, the results expected and the activities needed to achieve these results.

Subphase 3.1, Step 2: *Clarifying the political and legal environment*

The CDS team, with technical support, will clarify the legal and political framework in which these programmes and projects will take place. The team should ask itself at this point: Is the enabling environment necessary for the implementation of these projects in place, or are there still some potential constraints to implementation? The team will identify these potential constraints and what must be done to eliminate them.

The *political and legal assessment* executed during the **municipal institutional assessment** (Subphase 1.2) is an important input into this step.

The team might find, for instance, that certain projects are subject to regulations of different ministries, which are also sometimes in conflict. These conflicts have to be settled. In addition, the team might determine that there is opposition from a political party to certain projects and that the reasons for the opposition might have to be discussed and allayed, if possible.

Subphase 3.1, Step 3: *Assessing the financing framework and making outline budgets*

Outline budgets will accompany programmes and projects. The team, working with the departments, will assess the financing framework (assets and budget sources). They will begin to determine whether projects will be funded from the municipal budget or will require funds from the national government, private sector, donors, or loans.

The CDS team and departments should start working on the outlining of the multi-sector investment plan that will structure

Tools

Please refer to **Tool 16 (Log frame)**.

Reference

There are a number of guides on the Internet, including How to write a logframe: a beginner's guide.

Reference

See also page 29: The World Bank has produced, Guidebook on Capital Investment Planning for Local Governments, Kaganova 2011.

Tools

Please refer to **Tool 17 (Linkage analysis)** for more information.

Linkage analysis helps to see where and how potential projects relate to each other and can highlight changes needed to develop synergies and avoid conflicts.

the expenditure and revenue streams for the entire project portfolio. This is done initially at a broad level, which implies collecting general information on existing project proposals (see Step 4). It also means obtaining very rough initial budget estimates for potential projects.

The investment plan will look at the lifecycle costing of the projects, including the capital investments needed and operation and maintenance costs over a multi-year time frame. The investment plan will also plan and sequence the implementation of projects and the allocation of resources from within the local government and other actors involved in the projects. This is described in Subphase 3.3, Step 3.

Sub-phase 3.1, Step 4: *Locate all projects on plans*

The team will now work closely with the departments and the planning department to locate the projects chosen on the statutory plans. This will help to coordinate projects spatially, connect to existing plans and look at possible (positive or negative) impacts of projects on each other.

Subphase 3.1, Step 5: *Prioritize project options*

The team will be faced with a long wish list of projects, not all of which can be executed. They will have to prioritize and choose the options, which will require working with a multi-criteria decision-making process to make a selection. The team and the departments will have to design a set of objective criteria that rate projects.

The design of the criteria can be done within the team but should be endorsed by the various parties and wider stakeholder groups. The criteria used to choose projects should be discussed in a transparent manner, so that stakeholders do not feel that projects were chosen indiscriminately. The team should discuss with the departments, the mayor and city council, as well as in thematic stakeholder working groups.

²¹ VNG 2010.

The criteria developed will rate the feasibility, as well as the potential positive and negative impacts of the projects. Many additional tools can be used at this juncture: see box at right and additional techniques listed below:

- **Cost-benefit analysis (CBA):** A simple way of weighing project costs and benefits to help in deciding whether to go ahead with a project. It involves comparing the benefits of a project and these with the costs associated with it.
- **Environmental impact assessment (EIA):** A process of evaluating the likely environmental impacts of a proposed project or development, considering inter-related socio-economic, cultural and human-health impacts, both beneficial and adverse.
- **Social impact assessment (SIA):** A methodology to assess the social effects of infrastructure projects and other development interventions. Although SIA is usually applied to planned interventions, the same techniques can be used to evaluate the social impact of unplanned events, for example disasters, demographic change and epidemics.

Subphase 3.1, Step 6: *Confirm consensus on prioritization of projects*

The team will now have a short list of projects and corresponding budgets. They will confirm with the thematic

Tools

Please refer to the **Goal Achievement Matrix (Tool 17)**, the **linkage analysis tool (Tool 12)**, and the **impact assessment matrices (Tool 18)**.

Tools

Climate related tools in this stage include **CLIMACT Prio (Tool 19)**, **TEST**, and the **CURB Tool: Climate Action for Urban Sustainability**, developed by the World Bank. CURB is an interactive tool that is designed specifically to help cities act on climate by allowing them to map out different action plans and evaluate their cost, feasibility and impact.

groups and in a wider forum that there is a consensus on the prioritization of activities and options. As this is the final step prior to working out the projects in detail, it is best for there to be clear support for the choices made to avoid potential opposition.

Output of this subphase: This phase should produce a wish list of projects with outline budgets (programmed in simple terms), along with a short list of agreed and prioritized projects.

STRATEGY FORMULATION, GENDER AND POVERTY²²

This phase focuses on the articulation of programmes and projects. The CDS team is again faced with setting up a process that produces projects that are pro-poor and gender sensitive, and allows women and the poor to generate project ideas that reflect their priorities.

When outlining project ideas, it is essential to think about the differences in priorities, as well as how the initiatives might affect women and the poor. The United Nations has produced a series of checklists to see whether initiatives are gender sensitive. In the formulation of projects ideas, this is an effective way of assessing whether gender is mainstreamed into projects²³.

The following is an example of thinking in gender terms during the making of the strategy and one can think in similar terms when considering the poor:

“The formulation of a national water strategy can be taken as an example. At one level the strategy is about water resources - how water is collected, used, protected, monitored, and contaminated, and how to ensure future supply. At another level, it is about the users - their specific uses, their rights and access to and control over water resources and their involvement in decision-making. A gender perspective raises questions about:

- *Whether women’s and men’s uses (for both domestic and economic use) and priorities for water are different. It is important that there is analysis of sex-disaggregated data on uses, access to water, priorities, etc. (which may require steps to ensure that such data is regularly collected and analysed). It is also critical to ensure a consultation process that seeks the inputs of women as well as men in identifying uses and priorities;*
- *Whether various policy options will affect women and men differently - for example, how would different approaches to water pricing affect poor women in comparison with poor men? What options would have the most equitable distribution of costs and access? (UN 2002: 15)”*

The design of the participatory process should incorporate an approach that allows for women and the poor to generate project ideas. The Grameen Foundation confirms this, stating that the inclusion of the poor should be integral to the design of projects:

“First, our methodology ensures inclusion of the poor when designing products and services. This sounds obvious but can be difficult to implement. When we develop new products and services, we don’t develop them for the poor - we develop them with the poor. Our methodology incorporates direct feedback from the poor in the design process: human-centred design. It has revolutionized our ability to design, test and launch new products and services quickly, and to get those products to market through scaling partners in a way that solves real problems for the poor and poorest. In this context, it is also essential to measure whether benefits are accruing to these individuals - and whether a product is inadvertently harming them.”

Source: *Poverty-focused innovation: how to foster creating an agency for the poor.*

²² There are many good publications on approaches fostering inclusion of women and the poor in references of this document.

ADB 2013 Tool kit on gender equality results and indicators
European Commission 2004. Toolkit on mainstreaming gender equality in EC development cooperation
Employers’ Resource Center (ERC) A toolkit for gender equality in practice

²³ See United Nations, 2012, 15 Gender mainstreaming: an overview.

3.2. Establish process for continuous strategy development

STEPS IN THIS SUB-PHASE (3.2)

Step 1	Finalize the organizational (change) strategy for continuous strategy refinement.
Step 2	Select and agree an institution for monitoring and feedback for the strategy process.
Step 3	Establish participatory systems for monitoring execution of the CDS.

The objective of this subphase is for the city to think through the institutional aspects of implementing the CDS. Up to this point, the focus has been on the human resources and capacities needed to develop the CDS. Now the focus turns specifically to the *institutional aspects of implementation*. It is important for the city to look at the entire project portfolio that will be implemented, as well as the staff capacity needed to do this.

A key input into this activity is the **municipal institutional assessment** (Subphase 1.2).

Subphase 3.2, Step 1: *Finalize the organizational (change) strategy for continuous strategy refinement*

Projects may require new ways of working internally and in a coordinated fashion between departments. If the set-up of public private partnerships is chosen as part of the strategy, it will require thinking through the staffing necessary to manage these relationships. If departments are executing more than one project, the staff will have to think about the staffing and the capacities necessary to do this work.

The CDS team will work with the mayor's office, the human resource department and other departments to finalize an organizational (change) strategy that will define the modalities of the work to be done. The strategy will define the need for any change necessary, such as involving departmental restructuring, re-engineering or retrenching. Capacity building activities will support whatever change is necessary. This is an ongoing process requiring detailing and refinement over time.

The technical examples section contains an example of a matrix organization and task teams as applied to the Kosovo Strategic Spatial Planning Initiative.

Subphase 3.2, Step 2: *Select and agree an institution for monitoring and feedback of the strategy process*

The CDS will require institutions for monitoring and feedback of the CDS implementation process. The city should think this through at this point. These activities might require setting up a monitoring body or committee, whose responsibility is to monitor project activities in a transparent manner.

Tools

Please refer to the **simple organizational change checklist (Tool 20)** as well as the human resource benchmarking toolkit developed under the FCA programme.

Cross-reference

Please refer to Figure 15 for an example of a matrix organization and task teams.

One option is that the strategic coordinator and the CDS team take over this task. The benefit of this is that they have been involved in the setting up of the process and do not require much time to prepare and orient themselves. The possible drawback of this option is that they may have developed a bias over the preparation period, and therefore might not be objective during the monitoring and evaluation process. Commissioning an external evaluation can overcome any bias.

Subphase 3.2, Step 3: *Establish participatory systems for monitoring*

A number of stakeholders will have taken a key interest and role in the process to date. The monitoring committee will set up a participatory system for monitoring the implementation of the CDS. This will maintain (and formalize) the engagement of stakeholders in the execution phases, ensuring they have a voice. This will also provide the opportunity for these stakeholders to engage in a critical discussion on strategy implementation. See Subphase 4.2 for more on **community-based monitoring and evaluation**.

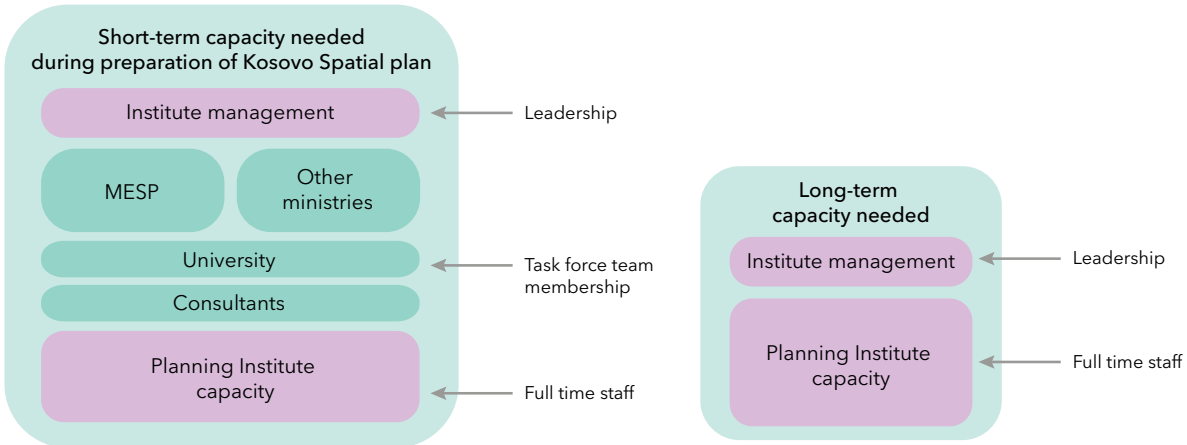
The mayor and city council will have to formalize these procedures for periodic review and assessment.

Output of this subphase: The subphase will produce an organizational development or change strategy worked out in detail, including capacity building activities, and an institution assigned to be responsible for monitoring and evaluation.

BOX 1: ORGANIZATIONAL STRATEGY FOR KOSOVO STRATEGIC SPATIAL PLANNING

During the Kosovo strategic planning process, the Ministry of Environment and Spatial Planning (MESP) received support in the set-up of an organization called the Institute for Spatial Planning (ISP), which was tasked within the ministry with preparing the strategic spatial plan for Kosovo, as well as providing support to the municipalities in the preparation of their plans. The consultant hired by UN-Habitat to develop the organization strategy looked at the shorter-term requirements of preparing the plan, as well as the long-term capacities needed during the implementation of the plan. The proposed strategy was discussed at length within the MESP and with staff of various ministries. One key element of the strategy over the shorter term was engaging external partners in the preparation of the plan and in areas in which the ISP did not yet have the capacity.

KOSOVO: INSTITUTIONALISING THE PROCESS (INTERNAL AND EXTERNAL CAPACITY)



The consultant helped write the job descriptions for the ISP and developed a long-term capacity building strategy to aid the new staff in preparing the plan.

The ISP was set up as a matrix organization, because it was a new organization starting with multi-disciplinary, but limited, staff. Staff members were assigned to do different tasks during the phases of the process and were grouped into teams to do the work. This was a very effective way of improving on communication and coordination. The ISP hired support at various times of the process and as the need arose.

3.3. Strategic action planning

STEPS IN THIS SUB-PHASE (3.3)

- | | |
|--------|--|
| Step 1 | Develop strategies into strategic action planning (work out the projects in detail). |
| Step 2 | Establish timelines and clarify actor responsibilities. |
| Step 3 | Develop final multi-sector investment plan for strategic priorities. |
| Step 4 | Negotiate with national government on embedding local investments in national and donor budgets. |

The objective of this subphase is to develop a set of actions and projects that together have the potential to meet the objectives that have been set.

Subphase 3.3, Step 1: *Develop strategies into strategic action planning (detail projects)*

The team will now work closely with the relevant departments and other key stakeholders to work out the projects in detail. These activities involve setting specific project objectives that are 'SMART', as well as identifying the key components

and activities of the projects. The team will conclude by identifying the institutional options for implementation: government only, public private partnership, or public community partnership, to name a few.

Subphase 3.3, Step 2: *Establish timelines and clarify actor responsibilities*

The team and departmental staff will work out in detail who will do what, and related to which projects. They will finalize discussions with the relevant stakeholders and obtain

agreements on steps forward. They will work out timelines and agree on the allocation of actor responsibilities.

Subphase 3.3, Step 3: *Develop final multi-sector investment plan for strategic priorities*

At this point, the team, the departments and other relevant stakeholders will finalize decisions on the budgets for the projects and the payment mechanisms. They will conclude on local funding for the projects, what projects will be executed with funding from other sources, and whether any further resource mobilization efforts are necessary.

The CDS team and departments will start working on the detailing of the multi-sector investment plan, which was outlined in Subphase 3.1, Step 3. This work will structure the expenditure and revenue streams for the entire project portfolio. The investment plan will look at the life cycle costing of the projects, including the capital investments needed, operation, and maintenance costs, over a multi-year time frame. The investment plan will also plan and sequence the implementation of projects and the allocation of resources from within the local government and other actors involved in the projects.

The council will have to discuss in detail and approve this investment plan.

Subphase 3.3, Step 4: *Embed local investments in national and donor budgets*

The mayor and the team will need to continue discussions with regional and national governments to ensure that the CDS strategy is aligned with regional and national development priorities. While working on the final MSIP, the team will finalize discussions and negotiations with the national government on embedding local investment programmes in the national budgets, and with the funding agencies on inclusion in programmes.

Negotiations will also continue with financing organizations or donors to ensure that that programmes and projects

Tools

Please refer to **Project fiches (Tool 21)**.

Note

Linking objectives and potential projects to budgets is extremely important in the process of moving from dreams to reality. It is important to consider potential resources throughout the CDS process. Limitations in budgets will force a *prioritization* of projects.

Tools

Use **Tool 17 (Goals Achievement Matrix)** to test and prioritise projects related to objectives.

Cost-benefit analysis is a more sophisticated tool but useful when competing investments are being considered.

Tools

Please refer to **GANTT charts (Tool 22)** and **swim lane diagrams (Tool 23)**. Please also note that there are numerous software packages readily available for project planning.

Reference

See also page 29: The World Bank has produced Kaganova 2011, Guidebook on Capital Investment Planning for Local Governments

being implemented are in line with agreements made and that the funding continues to be allocated to local priorities.

Output of this subphase: This subphase details projects, with timelines and responsibilities assigned, and budgets incorporated into a multi-sector investment plan.

3.4. Promote the Strategy

STEPS IN THIS SUB-PHASE (3.4)

Step 1 Finalize the CDS document.

Step 2 Further develop marketing - communication campaign to systematically promote the strategy locally and nationally.

The objective here is to make sure that there is mutual understanding of the strategy among relevant stakeholders, both at the local and national level. This helps build support for cooperation and funding. Moreover, having a good document can help to facilitate further support.

Subphase 3.4, Step 1: *Finalize the CDS document*

At this point, the team will **finalize the CDS document**, with all key elements and message described in previous steps.

Subphase 3.4, Step 2: *Further develop marketing and communications campaign*

Communication of ongoing activities has taken place from the onset of the CDS, and this must continue into implementation. The city may want to consider institutional options for the marketing and communications of the CDS to a wider audience, such as hiring an outside expert or setting up an internal body. Communication also means feedback and listening to ideas, which can link to monitoring and evaluation.

The organization taking this over should further develop the marketing – communication campaign to systematically promote the strategy locally and nationally. This body should continue to develop materials and events to discuss with a variety of stakeholders, which will ensure that the CDS does not end up on a shelf and that momentum is maintained. Communication will also create interest from the private sector to invest.

If managed internally, the city may want to consider hiring a coordinator to market the strategy and manage the implementation of the strategy. This professional’s tasks might include the following:

- **Public relations and lobbying**²⁴: This comprises going outside of the municipality to communicate with a wider audience on the progress of strategy implementation

and on the value of getting involved or investing in projects. These activities will require continued communication with the national government, financing organizations and donors, as well as networking with other municipalities to compare experiences.

- This professional should also **scan for funding opportunities**, and engage the city and the departments to look for different sources of finance. This might also imply the need to engage in writing proposals to gain access to international funding.

Output of this subphase: This subphase will produce CDS promotional material, including the final CDS document, and the marketing campaign.

The Table 3 provides an example of the contents of a typical CDS document.

TABLE 3: EXAMPLE OF A TABLE OF CONTENTS FOR A CDS DOCUMENT

TABLE OF CONTENTS	CONTENTS OF THE CHAPTERS
Preface and note from the mayor	Introduces the process by the mayor and key messages on the importance of the CDS.
Executive summary	Provides short summary of the CDS process and outcomes and mentions the need for long-term and strategic planning.
Purpose of the strategy	Describes the role of strategy in the development of the city.
Introduction and background to the CDS	Explains the need for long-term and strategic planning, justification and benefits of the CDS, and nature of the process.
CDS process (steps and key stakeholders)	Describes the steps taken to develop the CDS and the key stakeholders and partners involved.
Situation analysis: key issues	Furnishes the situation analysis in summary, covering all the central themes chosen by the city, and has a conclusion on the issues defined and prioritized (note: full analysis is in the annexes).
SWOT analysis	Provides results of the SWOT.
Vision and strategic objectives	Describes the city’s vision in detail and the strategic objectives set.
Key elements of the strategy	Describes the key elements of the strategy: the programmes chosen.
Crosscutting issues	Explains how horizontal issues are considered across all elements of the strategy. Issues include the following: <ul style="list-style-type: none"> • Reducing poverty and unemployment levels. • Ensuring future employment for youth. • Preventing gender and other inequalities. • Ensuring marginalized communities and individuals with special needs are included and have access to services. • Ensuring resilience in face of risks from climate change and other risk areas.
Priority projects	Describe project prioritized during the consultation process and located on the plan.
Organizational change	Explain key aspects of the changes taking place in the government to manage the CDS.
Implementation of the strategy	<ul style="list-style-type: none"> • CDS implementation approach: key principles guiding implementation. • Action interventions: priority activities in the first five years. • Implementation mechanisms: governance of implementation. • CDS monitoring and evaluation: focus of the monitoring and evaluation, responsibilities.
Financial plan	Provide an overview of the budget and sources of funding.
Conclusion	State the concluding words.
Annexes	Furnish annexes, which can cover the situation analysis in full, copies of surveys or questionnaires used, and examples of other CDS processes that were considered as examples.

²⁴ VNG 2010: pg. 48.



<https://www.flickr.com/photos/worldbank/14135356613/>

PHASE 4: HOW TO IMPLEMENT AND KNOW IF WE ARE ON TRACK?

The objective of this phase is to make sure that the strategy is implemented and that there is a commitment to the continued operation and maintenance of the investments.

There are two main components of this phase:

- Managing strategy implementation, operation and maintenance
- Monitoring and evaluation

Implementation includes getting the planned activities done, but also running them and making sure they are maintained long term – that is, *operation and maintenance*. This requires a strong capacity in local government and key partners.

4.1. Manage strategy implementation and operation and maintenance

STEPS IN THIS SUB-PHASE (4.1)

Step 1	Approve and execute institutional reforms to support strategy implementation and communication.
Step 2	Develop legal and regulatory instruments to support the strategy.
Step 3	Prepare procurement procedures.
Step 4	Plan for budgeting and improved operation and maintenance of ongoing services.
Step 5	Prepare and tender partnership projects and negotiate contracts.
Step 6	Build capacity to manage contracts and consultants.
Step 7	Commit public financial resources for implementation.
Step 8	Take resource mobilization forward.
Step 9	Develop inter-departmental project team for oversight of projects.
Step 10	Manage internal services and projects and external contracts.

The objective of this subphase is for the city departments and their partners to implement the strategy and to take the steps necessary to deal with this efficiently and effectively. The steps below are some of the activities that the city will have to consider. The subphases in the preparation phases have been working to ensure that this implementation subphase is well conceived.

Subphase 4.1, Step 1: *Approve and execute institutional reforms to support strategy implementation and communication*

After the mayor, council members and heads of department have confirmed and approved the assignment of responsibilities to government units and institutions, the city departments will start implementing key aspects of the institutional reforms defined in the change strategy.

Note

Effectiveness of activities in this phase will require strong capacities in those involved. This entails mainly long-term capacity, beyond short-term project assistance. Helping to build this is a challenge that the CDS can help address, but ultimately it is the long-term responsibility of the municipality and other partners.

Outside expertise and capacity building activities should provide support in carrying this out.

Internal communication is a key aspect of successful organizational change. The communication professional should ensure that key elements of the changes that are taking place are communicated with all staff of the city.

Subphase 4.1, Step 2: *Develop legal and regulatory instruments*

A key input to this step is the legal assessment conducted during the **municipal institutional assessment** (Subphase 1.2) and during the legal stocktaking in the **Develop strategic options and prioritization** subphase (3.1).

The city will develop any legal and regulatory instruments necessary to support the implementation of the strategy.

Subphase 4.1, Step 3: *Prepare procurement procedures*

The departments will enter into the process of preparing the procurement of projects, which will involve writing tender documents and procedures for the projects to be implemented. When necessary, capacity building should be provided.

Subphase 4.1, Step 4: *Plan for budgeting and improved operation and maintenance of ongoing services*

The departments should invest time in improving on the operation and maintenance of ongoing services and thinking through the operation and maintenance of new projects. These activities involve planning for the effective and efficient production and delivery of services the public and other customers are happy with (operations) and the work necessary to realize the originally anticipated life of an asset (maintenance).

The department heads may need to change the culture of maintenance, namely instilling in the staff a consciousness of the maintenance problems and a determination to deal with the problems. It is better to institute a process of planned and preventative maintenance, rather than dealing with problems when they become urgent.

One key output of this planning process is an operations plan containing a description of facilities and operating procedures, records and reporting services, information on compliance and monitoring, staffing requirements and training needed. This will be accompanied by an operation and maintenance manual, which is a set of instructions on the requirements and procedures for the effective operation and maintenance of the infrastructure facility and service. The manual will plan out routine, urgent, recurrent and periodic maintenance activities.

Subphase 4.1, Step 5: *Prepare and tender partnership projects and negotiate contracts*

The city departments will also prepare documents for the partnerships to be executed. After approval of the city council, the departments will put these projects out to bid, and when a partner is chosen, negotiate the contract. Setting up a public private partnership often requires hiring a transaction advisor.

Reference

Please refer to the following free operation and maintenance manual templates: Ecodocuments (no date), Building & construction industry online document: templates and also in Hunt, G. (no date), Comprehensive Facility

Subphase 4.1, Step 6: *Build capacity to manage contracts and consultants*

One of the key risks in the implementation of projects are the capacity issues that local governments face in the negotiation and management of contract and investments. At this point, it is essential to ensure that the structures and capacities needed to manage contracts and investments are in place. After thinking through and preparing procedures, a training institution (internal or external) should provide on-the-job support for teams working with contracts and finance.

In addition, the city may still require consultants during implementation. Departments would benefit from capacity building to plan for and manage consultants. This capacity building will be in parallel to ongoing capacity building activities and can be integrated with them.

Subphase 4.1, Step 7: *Seek commitment of public funds*

The national and local government now needs to be persuaded to commit public sources of implementation finance to the projects. The city will need to continue discussions with the national ministries to align funding needs with upstream and sector plans and policies over the longer term, as well as with sector programmes.

Subphase 4.1, Step 8: *Take resource mobilization forward*

At this juncture, city departments will have to implement the resource mobilization strategy and capital investment plan developed during the preparation phase and adjust this as necessary.

Subphase 4.1, Step 9: *Develop an inter-departmental project team for oversight of projects*

The city departments should have regular meetings to discuss the progress of the projects and any key coordination issues. This should be done monthly. Project managers will have to prepare project reports and budgets for these meetings.

Subphase 4.1, Step 10: *Manage internal services and projects and external contracts*

The departments will continue to manage internal service provision, but also any external contracts signed. There should be a clear approach to management of external contractors, with clear standards of transparency, ethics and the rule of law.

4.2. Monitoring and evaluation of the strategy

STEPS IN THIS SUB-PHASE (4.2)

Step 1 Monitor progress, collect monitoring data and report progress.

Step 2 Execute analytical studies where necessary.

The objective of this subphase is that the city monitors the implementation of the strategy and can adjust and modify aspects that need changing.

Subphase 4.2, Step 1: *Monitor and evaluate project implementation and service provision*

City departments should do the internal monitoring. External monitoring should be done via the participatory monitoring processes (set up in Subphase 3.2) and through community-based monitoring activities or independent consultants hired to audit the strategy.

The monitoring committee will keep an eye on whether implementation is meeting project objectives and has been done in an efficient, effective and sustainable manner. If there are problems, this committee could also discuss with the departments issues faced and potential solutions.

The monitoring committee will require input from the departments on project progress: regular reports on a quarterly basis allow the monitoring committee to keep track of progress. The departments should also provide annual reports, which will report on projects and the achievement of project indicators.

Tools

See **Tool 24 (DAC/OECD evaluation questions)**. This set of key questions is likely to be the basis of an external evaluation. It is useful to check these questions when developing indicators and using them for monitoring.

The monitoring committee will have to establish good working relationships with the departments, as they oversee progress and work with departments to improve project implementation.

The city should continue to monitor progress, collect monitoring data and to report on progress. Department heads should regularly issue these reports, which should be instrumental in adjusting priorities and the strategy.

The process and output of an evaluation must be credible for those who need to use its results. Internal evaluation can be very useful for management and as an input to an external evaluation (called self-evaluation), but for external partners, such as financing agencies and development agencies, it is important to have an independent evaluation. This review will be valuable because of unbiased feedback, building of external credibility, and as an input to ongoing review and adjustment.

TABLE 4: RESULTS FRAMEWORK FOR MAINSTREAMING GENDER AND POVERTY IN CDS

This table presents a results framework for mainstreaming gender and urban poverty in CDS processes. It includes principal accomplishments and possible outputs. Note: Specific outputs, and actors involved in producing these outputs, will vary depending on local requirements and capacities.

EXPECTED PRO-POOR AND GENDER-SENSITIVE ACCOMPLISHMENTS	POSSIBLE OUTPUTS
Legislation and governance	
Cities (and national) authorities have increased capacities for participatory and accountable pro-poor and gender sensitive urban planning and governance.	<ul style="list-style-type: none"> Gender responsive advisory services given. National and local urban legal assessments undertaken. Gender-responsive guidelines, tools and best practice documents produced.
Strengthened local institutions that enable women and girls safe and autonomous access to quality city services, public spaces and all forms of mobility, as a precondition for active and meaningful participation in urban planning, management and governance	<ul style="list-style-type: none"> Advisory services on women and girls' safety given. Local assessments of women and girls' safety undertaken. Guidelines, tools and good practices on women and girls' safety documented and produced.

EXPECTED PRO-POOR AND GENDER-SENSITIVE ACCOMPLISHMENTS	POSSIBLE OUTPUTS
Access to land and natural resources	
Gender disparities in the access to resources by youth and the urban poor reduced.	<ul style="list-style-type: none"> • Projects on women's economic empowerment. • Development of youth and local economic development assessment tools.
Secure, non-discriminatory and equitable access, use and control of land established for all, through the development and utilization of pro-poor, gender-responsive, scalable land tools.	<ul style="list-style-type: none"> • Gender-responsive land and pro-poor policies formulated and implemented. • Gender evaluation undertaken. • Gender-responsive capacity development for government and non-state actors developed and conducted.
Urban planning and design	
Strengthened capacities of city (and regional and national) authorities to develop and adopt gender-responsive plans and designs for compact, socially inclusive, integrated and connected cities and neighbourhoods.	<ul style="list-style-type: none"> • National urban policies to set guidelines for sustainable urban development, poverty reduction and gender equality. • Guidelines for gender-sensitive and inclusive public open spaces.
Improved capacity of city (and regional and national) authorities to adopt gender-responsive policies and strategies that contribute to the mitigation of and adaptation to climate change.	<ul style="list-style-type: none"> • Checklist for mainstreaming gender in climate change vulnerability assessments. • Linkages with networks of organizations working to incorporate a gender perspective in all climate change policies and initiatives.
Urban basic services	
Increased capacity of local (as well as regional and national) authorities to implement gender-sensitive policies for increasing equitable access to urban basic services.	<ul style="list-style-type: none"> • Field projects aimed at strengthening the capacity of local, regional and national authorities to implement gender-sensitive policies for increasing equitable access to urban basic services. • Advisory services to partner countries on gender-sensitive urban basic services. • Training and workshops on gender-sensitive policies for increasing equitable access to urban basic services.
Housing and slum upgrading	
Inclusive, rights-based, results-based and sustainable housing, slum upgrading and prevention strategies at city and community levels mainstreamed.	<ul style="list-style-type: none"> • Capacity building workshops on gender and human rights mainstreaming with partners at the national level. • Consultations with governments and national statistical bureaus on collection of disaggregated data. • Hiring of gender consultants or appointment of Gender Focal Points, where relevant.
Partnerships at city and community level for sustainable and inclusive housing, slum upgrading and prevention strengthened.	<ul style="list-style-type: none"> • Training of residents upgrading committees and implementation partners on the collection of disaggregated data. • Consultations with municipal governments, service providers, NGOs, and other city-level stakeholders on the collection of disaggregated data.
Risk reduction and rehabilitation	
Cities and partner organizations with improved capacity for gender responsiveness to manage disaster risk reduction and resilience programs.	Improved local capacities for gender responsiveness in risk reduction and resilience programs.
Improved capacity of partner organizations to deliver gender-responsive shelter rehabilitation programs contributing to disaster-resilient permanent housing.	Improved local capacities for gender responsiveness in shelter programs.

Table adapted from UN-Habitat 2015b: 41-48, UN-Habitat policy and plan for gender equality and the empowerment of women in urban development and human settlements: 2014-2019.²⁵

²⁵ UN-Habitat 2015: 41-49.

Subphase 4.2, Step 2: *Execute analytical studies when and where necessary*

Project implementation may, at some point, face unexpected problems or engender negative impacts. This

situation might necessitate the city to commission research or studies to explore a particular problem and propose mitigation measures. The city will hire consultants or local universities to execute analytical studies and integrate the information into their strategies and projects.

4.3. Adjust and modify

STEPS IN THIS SUB-PHASE (4.3)

Step 1 Make any adaptations necessary.

Step 2 Refine stakeholder/institutional roles in monitoring.

The objective of this subphase is to ensure that the strategy remains relevant and used. The external context can change rapidly and alter the assumptions that were originally used and thus require rethinking of the strategy.

Tools

Please refer to the **DAC/OECD questions (Tool 24)**.

Subphase 4.3, Step 1: *Make adaptations when and where needed*

When a change in strategy and project implementation is necessary, the city departments will have to adjust and adapt project implementation.

BOX 2: MONITORING AND EVALUATION: GENDER AND POVERTY

One way to ensure gender sensitivity and a pro-poor approach in monitoring and evaluation is to set up a system of **community-based monitoring and evaluation**.

Communities are often involved in making plans, but not in re-visiting and re-adjusting plans. They should be involved in critically assessing the nature of implementation, which could bring the community together for equitable, collective decision-making.

Stakeholders, the poor and both women and men should be involved in identifying results and indicators, and in collecting and analysing information, wherever possible. For instance, women and men often have different perceptions of gender relations—including gender-based roles and responsibilities, patterns of decision-making, views on how gender relations are changing, and the causes of these changes.

Another aspect of monitoring and evaluation is **monitoring the effectiveness of poverty reduction as part of the CDS**. Have poverty reduction strategies been effective in reducing poverty? The government will have to develop a system to monitor and evaluate this. Key aspects of this system are a poverty monitoring system that will track key indicators over time and space. This will help to determine whether the strategy is bringing about change. In addition, the city will have to perform rigorous evaluations to assess the impact of initiatives on poverty. The government may want to hire outside expertise and build domestic capacity to do this.

Source: Prenzushi, G., Rubio, G. and Subbarao, K. 2002. Chapter 3: Monitoring and evaluation, In: Klugman, J. (ed.) *A sourcebook for poverty reduction strategies: volume 1: core techniques and cross-cutting issues*, Washington, World Bank.

Subphase 4.3, Step 2: *Periodically refine stakeholder/institutional roles in monitoring*

Over the longer term, it may be necessary to revisit the role of the monitoring committee and any participatory

approach to monitoring, and to refine stakeholder and institutional roles in monitoring.

A CDS should be monitored and revised regularly. One example of this is Jinja, Uganda, where the existing CDS is being revisited and revised, as described in the box below.

BOX 3: THE CASE OF JINJA, UGANDA - REVISITING STRATEGIES

The Lake Victoria Cities Development Strategies Program (2002-2010), initiated by UN-Habitat with funding from Swedish International Development Cooperation Agency (SIDA), is one of the first experiences of cities in Uganda with the CDS process. Entebbe, Jinja and Kampala, Uganda, participated in this program, including other cities surrounding Lake Victoria, namely Kisumu and Homabay, Kenya, and Bukoba, Musoma and Mwanza, Tanzania. This regional program aimed to introduce a holistic, participatory planning approach (method) in urban settlements on the shores of Lake Victoria. A detailed evaluation of the program was conducted in 2011.

In 2010, The Transforming the Settlements of the Urban Poor (TSUPU) project was initiated between Cities Alliance and the Government of Uganda. The program supports five secondary cities namely: Arua, Jinja, Kabale, Mbale and Mbarara. The program aims to align urban development efforts at the national government, local government and community levels and include the urban poor into the planning and decision-making processes. Some of the activities in this program focused on CDS and slum upgrading strategies. One result was the establishment of the Uganda National Urban Forum and Municipality Development Forums (MDF).

In 2014- 2015, the Municipality Development Strategies (MDS) program was launched. It builds on the previous related programs and is expected to run through 2016- 2017. Through this initiative, Cities Alliance's Uganda Country office is currently supporting 14 municipalities, including Jinja, to adopt CDS as a planning tool.

Secondary cities, such as Jinja, that already have a CDS in place will have opportunities to review and revise their CDS accordingly, including renewing interest, involvement and commitment of their rich spectrum of municipality urban actors.

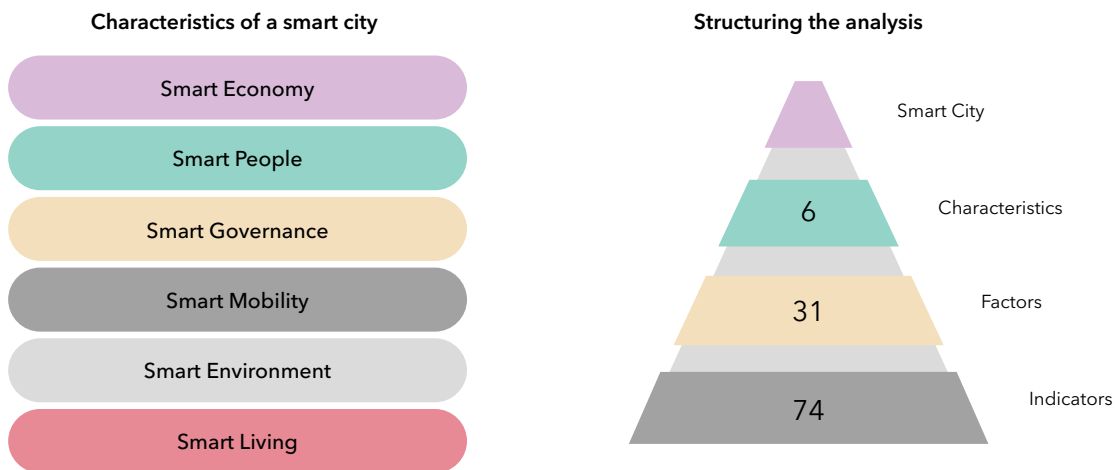
Source: Field interviews, Jinja, Uganda, 2016.

Final words

A development strategy should use the best scientifically backed information possible, but in the end a strategic planning process remains more art than a science. It is important to be clear at all times about the objectives. How the objectives are reached will differ between cities and at different times in the same city.

The success of a CDS process will depend ultimately on resources, culture and capacity. This toolkit aims to provide a framework and a guide, but it does not provide a rigid blueprint where one size fits all.

WHAT ARE CHARACTERISTICS OF SMART CITIES AND WHAT FACTORS CONTRIBUTE TO A SMART CITY?



Characteristics and factors of a smart city

<p>SMART ECONOMY (Competitiveness)</p> <ul style="list-style-type: none"> • Innovative spirit • Entrepreneurship • Economic image & trademarks • Productivity • Flexibility of labour market • International embeddedness • <i>Ability to transform</i> 	<p>SMART PEOPLE (Social and Human Capital)</p> <ul style="list-style-type: none"> • Level of qualification • Affinity to life long learning • Social and ethnic plurality • Flexibility • Creativity • Cosmopolitanism /Open-mindedness • Participation in public life 	<p>SMART GOVERNANCE (Participation)</p> <ul style="list-style-type: none"> • Participation in decision-making • Public and social services • Transparent governance • <i>Political strategies & perspectives</i>
<p>SMART MOBILITY (Transport and ICT)</p> <ul style="list-style-type: none"> • Local accessibility • (Inter-)national accessibility • Availability of ICT-infrastructure • Sustainable, innovative and safe transport systems 	<p>SMART ENVIRONMENT (Natural resources)</p> <ul style="list-style-type: none"> • Attractivity of natural conditions • Pollution • Environmental protection • Sustainable resource management 	<p>SMART LIVING (Quality of life)</p> <ul style="list-style-type: none"> • Cultural facilities • Health conditions • Individuals safety • Housing quality • Education facilities • Touristic attractivity • Social cohesion



TECHNICAL EXAMPLES

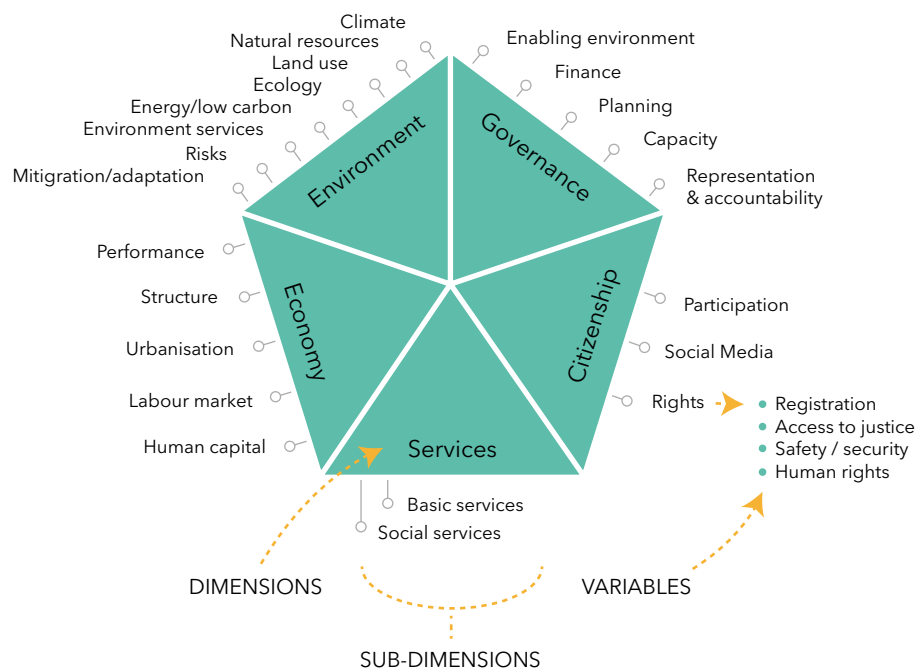
This section provides links and references to additional resources that may be useful to CDS teams in the CDS planning process. Specifically, it contains examples pertaining to the situation analysis process, the SWOT analysis, the development of a vision, and project programming and formulation.

Frameworks for situation analysis

FIGURE 10: FRAMEWORKS FOR EXECUTING THE SITUATION ANALYSIS

The Cities Alliance, under its Future Cities Africa programme, is helping eight cities in four countries to become future-proofed to climate, environment and natural resource challenges, so that they are inclusive and resilient, and have growing economies.

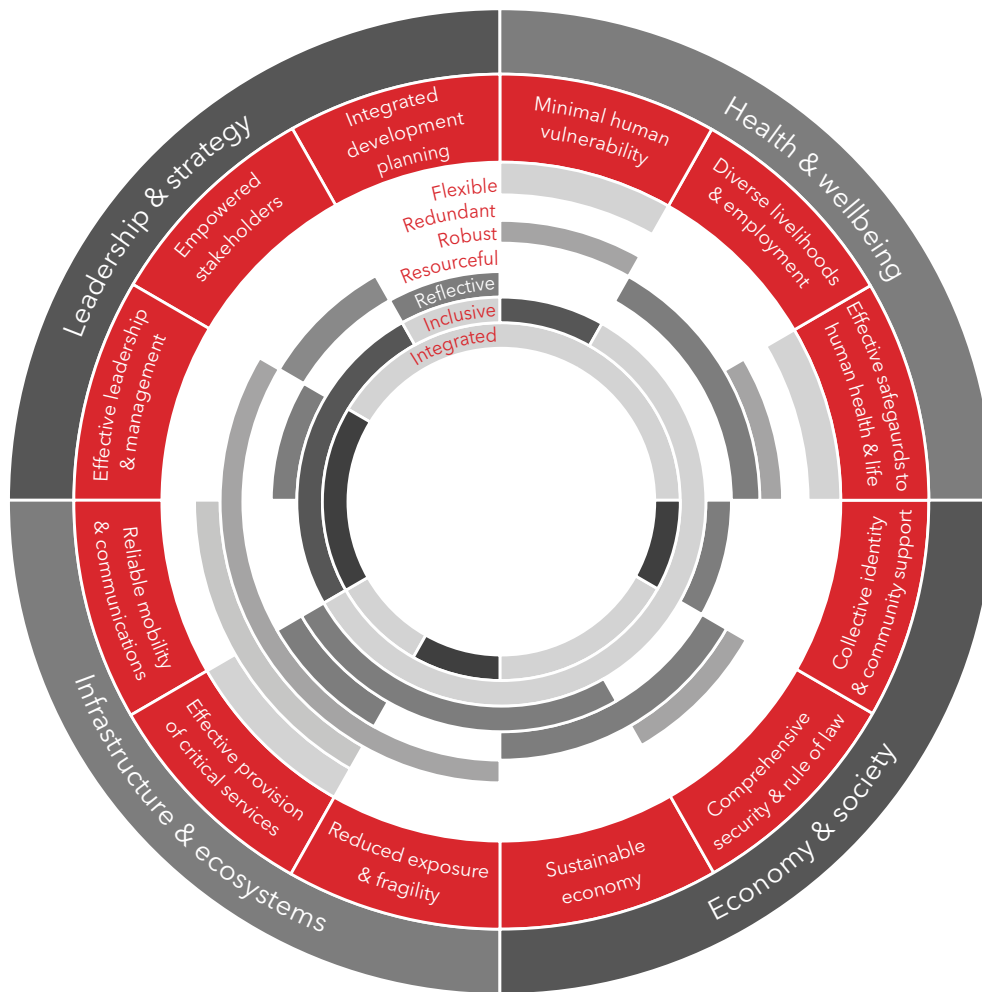
It is currently developing a normative and analytic framework that could provide one approach to structure the situation analysis. This framework defines the five core dimensions of resilience, which are then broken down into subdimensions and variables. These are detailed in the indicators.



Another approach that provides an analytic framework for the situation analysis is the City Resilience Framework of the Rockefeller Foundation (see figure below). The framework attempts to provide a lens through which to capture the complexity of the cities and the factors that contribute to resilience.

The framework defines what makes up a resilient city. The 12 goals defined (also called outcomes) fall within four broad categories, which are broken down into 12 qualities. These are further detailed in the variables and indicators.

Both approaches provide a framework of analysis for resilient cities, with a series of indicators that can be used in monitoring and evaluation.



There are other frameworks available that cities can use. Cities in India involved in the Smart Cities programme, for instance, use a Smart Cities analytic framework. This is current policy in India.

In 2007, the Technical University (TU) Vienna, TU Delft and the University of Ljubljana developed the European Smart Cities framework, an integrative approach to profile and benchmark European cities. They benchmarked cities across different city characteristics and factors, starting with medium-size cities, and going on to larger cities. To do this, the framework developed 74 indicators. The research performed by the three universities could benchmark different cities to allow for comparison across various factors and indicators.

Please refer to European Smart Cities for more information. The fourth version of the analysis is now available.

Sources: *The Normative framework: Arup Review and Recommendations* pg. 5²⁶, *City Resilience Framework* website, and the *European Smart Cities Model*.

²⁶ Sources include the FCA toolkit version 2.1 (17 April 2015), FCA Inception Report Annexes (17 April 2015) and the Normative framework: Arup Review and recommendations (8 February 2016).

Example of a SWOT analysis

The figure below is reproduced from the Edmonton Economic Development Strategy, *The Way We Prosper*, developed in 2012²⁷.

FIGURE 11: SUMMARY OF SWOT ANALYSIS IN EDMONTON (CANADA)

SUMMARY OF EDMONTON'S SWOT

The strengths, weaknesses, opportunities and threats for Edmonton were based on the extensive input received from *The Way We Prosper* consultation effort, together with the key findings derived during the development of the strategic plan's technical report.

Strengths

- + An expanding and stable economy
- + A competitive business cost environment
- + A skilled and educated workforce
- + A commitment to sustainable development
- + A diverse business base
- + A strong network of transportation infrastructure
- + A leader in education
- + A high quality of place experience

Weaknesses

- Edmonton image awareness
- Awareness and perception of business services and support
- Investment in productivity, R&D commercialization and venture capital
- Housing affordability and cost of living
- Limited profile in key provincial sectors
- External cost considerations - high cost business location
- Industrial lands and market choice
- Infrastructure and support for small and medium enterprises
- Labour force challenges, especially with the changing demand for specialized skills

Opportunities

- ✓ A global energy hub
- ✓ A centre for clean tech
- ✓ Innovation and emerging knowledge intensive industries
- ✓ Connections to emerging markets
- ✓ A young and growing aboriginal population
- ✓ A major events strategy
- ✓ Foster networking and collaboration
- ✓ A cluster-based approach to investment attraction
- ✓ Regional integration around economic development

Threats

- ! Reliance on energy exports to United States
- ! Global economic uncertainty
- ! External labour force constraints
- ! Regional competition for industrial investment

The Way We Prosper - Economic Development Strategy
SWOT Analysis Summary
April 2012

www.edmonton/TheWayWeProsper



²⁷ The Way We Prosper: Edmonton SWOT analysis summary, accessed 20 January 2017.

Developing a vision

The box below illustrates an example of a visioning process in the city of Arnhem, the Netherlands.

FIGURE 12: DEVELOPING THE VISION DURING THE STRATEGIC DEVELOPMENT PROCESS (CASE OF ARNHEM, THE NETHERLANDS)

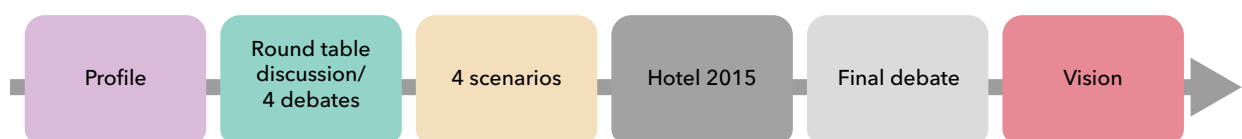
Arnhem, a city in the east of the Netherlands, was suffering from problems of economic decline in the 1990s. It had, however, real local and regional potential as it was positioned at key crossroads to Germany. The Dutch government also considered Arnhem's location strategic. The local Arnhem government decided to organize a highly participatory strategic planning process.

The principles of the local government that governed the process were 'participation in preparation and partnership in implementation'. These principles became a driving force behind the process, influencing how the government staff planned and managed the interaction with inhabitants.

The city wanted to create during the preparation of the strategy an understanding of the benefits of the programme for the citizens. During the implementation, it wanted a coordinated effort among the parties, with a commitment of manpower and resources. Namely, it focused on building long-term partnerships. Developing trust and building relations were central to the city's approach.

The city organized a visioning process with the following steps:

- Write up a brief profile of the city: A rapid appraisal of the issues faced in the city, written up and widely distributed.
- Have consultations: An inventory of or discussion on views of the community and businesses. This involved a series of roundtable discussions, followed by four public debates. All events were lively and highly interactive, with a chance for all to get involved.
- Formulate four scenarios: The development of four distinct views of the potential future of the city.
- Consult on and discuss scenarios: Feedback on the scenarios took different forms. The citizens were asked to comment in a suggestion box. The city installed an exhibition showing a graphic representation of the four scenarios in an empty hotel (Hotel 2015), and citizens were asked to come and look, work with interactive presentations and comment.
- Create concept vision: The development of a concept vision.
- Provide consultations: These were followed by final feedback on the vision and were prior to making the final choice.



The city concluded that the visioning process was instrumental in gaining ownership and commitment to the process internally in the government and from key stakeholders. Taking the time in preparation of the vision implied that relationships were well formed when it came to implementation.

Project programming and formulation

Figure 13 illustrates a project-programming sheet.

FIGURE 13: EXAMPLE OF A PROJECT PROGRAMMING SHEET

Programme 3.1.		Public domain and utilities: modernization of public domain and utilities networks		
No	Pr. cod	Title of the project	Location	Main themes
1	3.1-a	Green spaces increasing and rehabilitation	In line with the actions P1, P2 from the Sustainable Energy Action Plan	Pedestrian paths, Furniture, Garbage bins, Lighting, Art works, Playing yards
2	3.1-b	Transport infrastructure (roads)	In line with the Actions G1, G2, S1 from the Sustainable Energy Action Plan	Roads/cross roads, Bridges / tunnels Street trees, Street lighting, Traffic lights, Pavement, Advertising billboards, Garbage bins
3	3.1-c	Develop parking facilities		Parking spaces, Garages, Parking meters, Signing, Green spaces, Trees , Car services
4	3.1-d	Access to the river Mtkvary		Access points to the river, recreation areas, pavement, Street lighting, Public arts
5	3.1-e	Tbilisi leisure areas for the regional interest	Tbilisi Reservoir	Sport facilities, Entertainment facilities, Green area, Public utilities and works
6	3.1-f	Modernization of water sources, to meet international standards		Capacity, Pipelines Labs for water quality monitoring
7	3.1-g	Modernization and development of drinking water network		Pipelines, Metering systems
8	3.1-h	Modernization and development of sewerage network		Pipelines for domestic waste water Pipelines for rain water Pipelines for industrial water
9	3.1-g	Modernization of waste water treatment plant, development new capacity	In line with the actions WW1, WW2 from the Sustainable Energy Action Plan	Specific investments (physical, chemical, and biological processes) and water quality monitoring

Figure 14 provides a simple representation of a log frame. It allows the city to organize clearly its objectives (longer and shorter term), the baseline situation, the results expected and the activities needed to achieve these results. The framework also includes a series of indicators to measure the achievement of the goals, objectives and results.

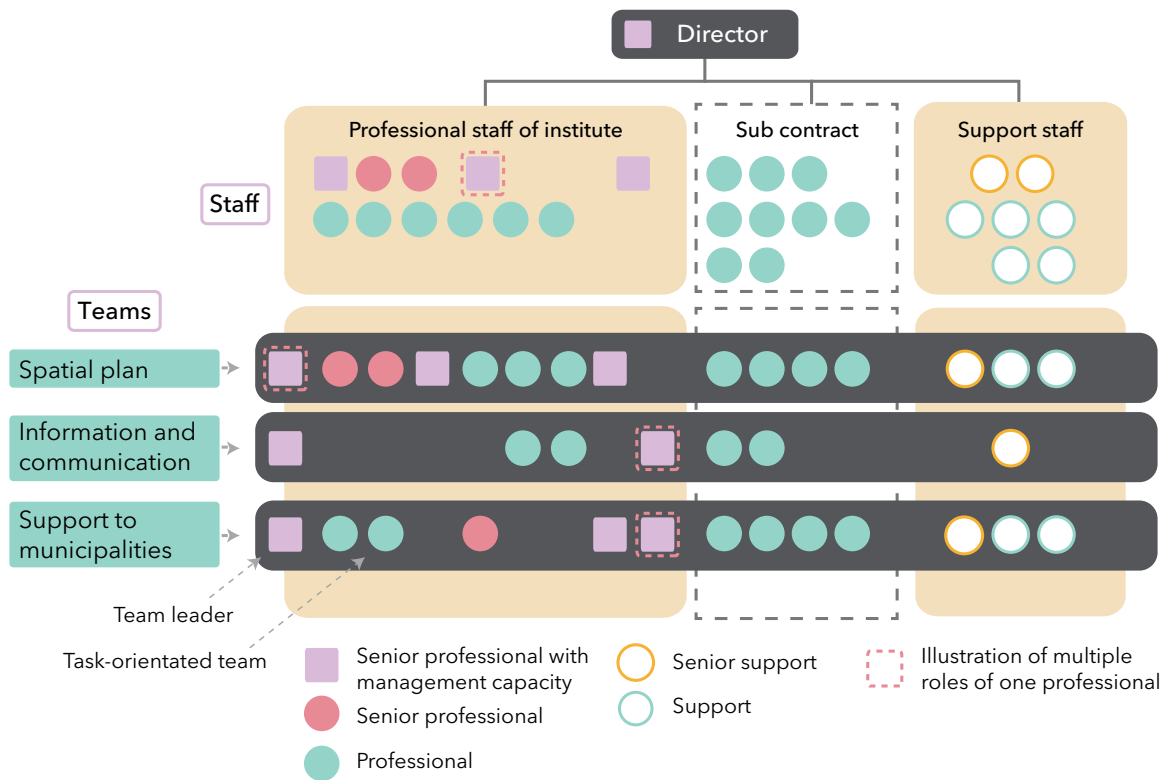
FIGURE 14: EXAMPLE OF A LOGICAL FRAMEWORK MATRIX

Structure of a logframe				
Objectives, purpose, etc.	Baseline (the starting situation)	Performance Indicators	Means of Verification	Assumptions / Risks
The Long-term overall objective (goal):				
Short-term, specific objective (outcome):				
Results (Outputs):				
Activities:		Inputs	Costs	Assumption / risks
Activity 1				
Activity 2				
Activity 3				
Activity 4				
Activity 5				

Organizational change strategy

The Figure 15 presents an example of how task teams were set up as part of an organizational change strategy, as applied in the Kosovo strategic spatial planning project (see Subphase 3.2, Step 1).

FIGURE 15: EXAMPLES OF A MATRIX TEAM





Albert Gonzalez Farran - UNAMID

TOOLS

Many phases of strategic planning and CDS are best implemented using specific tools. The following list provides an overview of key tools described in this toolkit. See Figure 2 (Toolkit key diagram) in the Introduction for an overview of tools per phase and subphase.

List of tools described in this toolkit

Tool 1: Checklist of competencies and skills required of a strategic coordinator	62	Tool 13: Brainstorming	92
Tool 2: Stakeholder analysis	64	Tool 14: SMART objectives.	94
Tool 3: Stakeholder coincident and conflict analysis.	67	Tool 15: Project programming sheet	95
Tool 4: Process planning tool	70	Tool 16: Logical framework	98
Tool 5: Venn diagram tool	72	Tool 17: Goal Achievement Matrix (GAM)	101
Tool 6: Communication strategy tool	74	Tool 18: Impact assessment matrices.	104
Tool 7: Mind mapping tool.	78	Tool 19: CLIMACT Prio	106
Tool 8: PESTL analysis tool	80	Tool 20: Organizational change checklist	108
Tool 9: Force field analysis tool	82	Tool 21: Project fiches	110
Tool 10: SWOT analysis.	84	Tool 22: Gantt chart tool	113
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Tool 1: Checklist of competencies and skills required of a strategic coordinator

Phase

Phase 1: Getting organized and initial set-up

Sub-phases

Subphase 1.3: Establish CDS process

Name of tool

Checklist of Competencies for the CDS coordinator

Objectives

To help get the most suitable person to be able to organize and lead the CDS process.

Under which circumstances to use the tool

Use the tool:

- To help think through the sort of person needed to lead the CDS process and to write a Terms of Reference
-

Main actor(s) responsible

Mayor and management team involved in setting up a CDS process

Target / beneficiary

All involved

Description of tool

This is a checklist of the competencies to look for when trying to select a person to coordinate the CDS process. It is a difficult, almost impossible task to find the perfect person. It is also not possible to standardize because the role of the coordinator is complementary to the role of the mayor and the extent of involvement of the mayor will vary from city to city and mayor to mayor.

Where a CDS is being run for the first time, there will be a lot of innovation needed. It is not enough to know the bureaucratic routines of how things are normally done; it is also necessary to understand how things need to change in order to set and meet new objectives.

To put this list together, the authors have consulted research on the subject and linked that in with their own practical experience.

The reason that this tool is placed at the start of the list is because the decision on appointing the coordinator is one of the most important that will be made. First, some key qualities in the person are highlighted and then a list of important competencies.

QUALITIES

- *Trusted and respected.* This is a new way of working and many people may feel threatened. Being able to trust and respect the person is an essential foundation. Trust of the mayor is vital, but widely held trust essential if different departments are to work together.
- *Able to learn quickly.* There will be many new situations arising which will require new knowledge and innovative approaches.

COMPETENCIES²⁸

Being competent in an area means not only that the person has knowledge but also can apply it, which involves also attitudes and skills. The following list highlights important areas of competency. No one person will have all these in full, but if the person has earned trust and can learn quickly, then lacking areas of knowledge can be overcome.

²⁸ The basic competence list was adapted from Sohmen, V. S. and Dimitriou, C. K. 2015. Ten core competencies of program managers: an empirical study. It was added to from Royal Town Planning Institute (RTPI), Skill and competencies for planners and from the primary author's experience. Notes are by the primary author.

Leadership

The co-ordinator comes under the leadership of the mayor but has to show leadership within his or her team.

Collaborative and Multidisciplinary working/ teamwork

A CDS is all about working between existing departments and organizations to get better results.

Planning and organization

Planning of the process is essential and organization of the people involved is challenging because many will not be under the control of the co-ordinator. This is why the personality of the co-ordinator is critical.

Ethics and ethical values

Linked to the quality of being trusted by internal and external partners, the ethics of the person are extremely important. This can be critical if external financial support is being sought. Key words include respect and tolerance.

Internal and external stakeholder management

This includes a wide range of competencies, including the following:

- Able to work at different levels of the bureaucracy
- Interdisciplinary working
- Community involvement
- Private sector participation
- Negotiation
- Mediation
- Advocacy
- Conflict management
- Understanding dynamics

Political understanding

A strategic plan is about helping to direct resources towards commonly agreed upon goals. Politics is about directing resources. Working in the political arena requires special competences.

Knowledge management including communication

Knowledge is often used as a gate to power and influence, so encouraging sharing of knowledge can be difficult. At the same time, knowledge sharing is essential for coordinated urban development and for transparency.

Financial management

A CDS process requires its own finance and financial management, as well as understanding the potential finance for development and its maintenance.

Risk management

A CDS must be aware of risks and try to build resilience into the strategy. Risks also occur during the process itself and need to be managed.

Project and process management

Competencies are required in this area to obtain and coordinate the use of the needed human and financial resources.

Urban development management

Finally, the person needs an understanding of urban development management: how city services work, how land development works, dynamics of markets, formal and informal, how a city earns its living and the impacts on the environment.

Overall, the checklist describes a "superman or superwoman" who is unlikely to exist, but seeking in this direction is vital. It is about finding a person who is widely trusted and can get people to work towards common goals and succeed. Overall, the checklist describes a "superman or superwoman" who is unlikely to exist, but seeking in this direction is vital. It is about finding a person who is widely trusted and can get people to work towards common goals and succeed.

Time needed for the use of the tool

This checklist is an input into defining a Terms of Reference.

Advantages and disadvantages of this tool

ADVANTAGES (+)

+ Provides a list to discuss what is really important

DISADVANTAGES (-)

– No one person is likely to have all competencies

Related tools

Terms of reference of coordinator

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

This list was developed from two main sources: The Royal Town Planning Institute of United Kingdom, a research paper on experience in program management; and the practical insights from the experience of the author.

THE EXTERNAL REFERENCES ARE:

Sohmen, V. S. and Dimitriou, C. K. 2015. Ten core competencies of program managers : an empirical study. *International Journal of Health and Economic Development*, 1 (1), pp. 1-7.

Royal Town Planning Institute (RTPI), Skill and competencies for planners.

Tool 2: Stakeholder analysis

Phase

Phase 1: Getting organized and initial set-up

Sub-phases

Subphase 1.1: Getting organized

Name of tool

Stakeholder analysis

Objectives

- Identify the key stakeholders who have an interest in the outcome of a strategy.
 - Analyse according to levels of interest and influence.
 - Provide the basis of planning and managing the participative planning process.
-

Total time spent on this tool

This process can be carried out in two to four hours as a participative process but needs to be well prepared, which takes more time.

Note: For time spent on each subphase, please see section on description of tool.

Under which circumstances to use the tool

To be used at the start of a strategic planning exercise to identify groups that should participate. Initially it can be carried out by a technical team then repeated with wider participation. It is very important to ensure that key stakeholders are identified and engaged early in the process.

Main actor(s) responsible

Initially the planning team should be responsible, and then the wider participative planning group.

Target / beneficiary

All key stakeholders

Description of tool

THE TOOL AIMS TO IDENTIFY:

- Who has an interest in the outcomes of potential activities in a planning process.
- Which groups have high levels of interest.
- how this relates to their capacity to influence decisions.

Tables are used to help the analysis.

THE MAIN STEPS ARE:

Step 1

Identify key stakeholders by consulting widely to find out those representing those directly interested, including the following: local and central government departments, political representatives, organizations responsible for infrastructure, CBOs, NGOs, residents' organizations and chamber of commerce. Note: stakeholders are defined related to the issues likely to be addressed and their location. Issues themselves will also depend on the stakeholders selected.

Step 2

A number of techniques can be used. One technique is writing on cards, which can be faster and more participative. This is done by the team or larger group of stakeholders writes the names of organizations that they feel should be represented, one on each card. The cards are then arranged on a wall or pin board and grouped into the main categories listed above. Duplicates can be pinned on top of each other. The group reviews the list to see if it includes all major stakeholders. Variations include ranking stakeholders into primary and secondary groups. The references given allow these options to be explored.

Step 3

Make a large version of table 1, below, and place stakeholders in the boxes of the table according to their level of interest, level of influence and capacity.

Step 4

Discuss the implications of the analysis in terms of how to make sure that key stakeholders can participate effectively.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + It draws attention to the groups that have interest but also to those who have influence and capacity, highlighting those that may need support if their voice is to be heard. This is important if marginalized groups are to be empowered to fully participate.
- + It identifies actions necessary to ensure wide participation.
- + It is a simple tool that triggers good questions.
- + It is quick to carry out and can be used both within a technical team and in a wider participative group.

DISADVANTAGES (-)

- The tool itself does not ensure that all relevant stakeholders are selected at the start.

Related tools

This tool helps to give a strong foundation to the overall participative process. Other tools include *participative stakeholder mapping* - UNCHS 2001 p 23.

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

DFID (2003) *Tools for Development* : a handbook for those engaged in development activity, London, Performance and Effectiveness Department, Department for International Development.

UNCHS (2001) *Tools to support participatory urban decision making*, (Urban Governance Toolkit Series), Nairobi, United Nations Centre for Human Settlements, pp. 22-24.

URBACT (2013) *Urbact II local support group toolkit*, Saint-Denis, URBACT

ACADEMIC DOCUMENTS (ACCESS MAY BE LIMITED):

Brugha, Ruairí and Varvasovszky, Zsuzsa (2000) Stakeholder analysis: a review, *Health Policy and Planning*, vol. 15, no. 3, pp. 239-246.

Diagrams and tools

There is a range of table-based tools. The simplest is the *Influence-interest matrix*.

TABLE 6: INFLUENCE - INTEREST MATRIX

STAKE	LOW INFLUENCE	HIGH INFLUENCE
Low Stake	Low priority stakeholder group	Useful for decision and opinion formulation and brokering.
High Stake	Important stakeholder group possibly in need of empowerment	Important and effective group. May need to be balanced with support to weaker groups.

Source: Adapted from UNCHS 2001.

A variation that also looks at capacity, is the influence, interest and capacity analysis.

TABLE 7: INFLUENCE, INTEREST AND CAPACITY ANALYSIS

WHO	INFLUENCE	INTEREST	CAPACITY
Public			
Environment Authority	3	2	3
Provincial Council DMMC	2	2	1
Political Authority DMMC	2	3	2
Environment Officers	2	3	3
Private Sector			
Hoteliers Association	2	3	2
Restaurant Owners Association	2	3	2
CDC	2	3	2
Popular Sector			
Local Experts	1	2	1
NGO	2	3	3

Source: Adapted from UNCHS 2001.

Note: Scale 1 - 3; indicating 1=low, 2=medium, 3=high

Tool 3: Stakeholder coincident and conflict analysis

Phase

Phase 1: Getting organized and initial set-up

Sub-phases

Subphase 1.1: Getting organized

Name of tool

Stakeholder coincident and conflict analysis

Objectives

The tool aims at assessing the stakeholders' interest in the city development to identify areas (sectoral fields of urban development or spatial areas) where these interests coincide or conflict.

Total time spent on this tool

Approximately three weeks (depending on the number of stakeholders and the feedback to the questionnaire)

Note: For time spent on each subphase, please see section on description of tool.

Under which circumstances to use the tool

Use stakeholder coincident and conflict analysis tool:

- When you prepare the CDS process and you identify and analyse the stakeholders.
 - To determine who are the players in the different fields and how can these players be rated (who are the big players, who are playing important roles in the city development, and how their roles will influence the decisions during the CDS).
-

Main actor(s) responsible

Planning team

Target / beneficiary

- Government organizations (central and local)
 - NGOs
 - Private sector organizations (big companies, foreign investors, or small and medium enterprises)
 - Academic institutions
 - Donor agencies and so on
-

Description of tool

The methodology used to determine the position of stakeholders is based on a questionnaire that can be rated by peer interviews. An example of a questionnaire is enclosed. The analysis will go through the following steps:

Step 1: Development of questionnaire (four hours)

The planning team will discuss and revise the questionnaire attached, adapting the content to the local situation and specific needs.

Step 2: Development of questionnaire (four hours)

The questionnaire will be sent along to the list of stakeholders (developed during the stakeholders' analysis), while introducing the CDS activities. The questionnaire will invite the stakeholders to send the questionnaire back as a registration form for further involvement in the CDS process. A response deadline should be mentioned (such as, two weeks).

A separate e-mail account can be opened to receive the returned questionnaires. A tracking system needs to be established electronically that can send a reminder after a period, such as one week.

Step 3: Collection of questionnaires and reporting (two weeks to fill out the form and one week for reporting)

The team will collect the questionnaires according to the deadline and will record the answers. The rating will be done based on the available information supplemented, if necessary, by a telephone interview, in which more detailed information can be obtained.

The conclusion report will offer a general picture on the stakeholders' interests in the city development, highlighting major areas of common interest, or potential conflicts. The report will be useful when planning the consultation process and organizing consultation meetings for specific development issues.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + This tool is a rapid appraisal method for the stakeholders' interest. It provides from the start of the CDS process an overall image of the reliable stakeholders and those stakeholders who might be more resilient to change.
- + It provides incipient information on critical issues in the city, where closer attention might be needed.
- + It builds the stakeholders' confidence that the CDS hears their voice and takes their interests seriously.

DISADVANTAGES (-)

- The tool requires additional time and effort to manage the questionnaire and be persistent with getting the feedback from groups that tend to ignore such activities.
- It makes sense only if all stakeholders participate in the process, otherwise the results might be distorted.

Related tools

Stakeholder analysis tool

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

Africa Peace Forum (2004) Conflict analysis, In: Africa Peace Forum, Conflict-sensitive approaches to development, humanitarian assistance and peacebuilding: a resource pack, s.l., Africa Peace Forum, pp. 1-40.

Poolman, Martine; Munamati, Muchaneta and Senzanje, Aidan (2009) Stakeholder and conflict analysis, In : Andreini, Marc; Schuetz, Tonya and Harrington, Larry (eds.) Small reservoirs toolkit, s.l. Small Reservoirs Project.

Diagrams and tools

TABLE 8: QUESTIONNAIRE FOR ASSESSING THE STAKEHOLDERS' INTEREST IN THE CITY DEVELOPMENT

CITY DEVELOPMENT STRATEGY - CITY OF _____					
STAKEHOLDER REGISTRATION					
Name of organization			Phone/fax		
Name of representative			E-mail		
Position			Website		
Address					
TYPE OF ORGANIZATION					
Governmental		Non-governmental		Private Sector	Academic
National		Vulnerable groups		Industry	University
City Hall		Ideologically inspired		Manufacturing	Training organization
Administrative Body				Retail	Research institution
				Service Provider	
Policy maker				Business association	
Executive responsibility					
				other	
More details of your organization:					
(Year of establishment, No. of staff, Field of activities, Mission, Other information)					

ROLE IN CDS

1	Which field of the city development has the most important influence on your activity?						
2	What is your role in this field? (Are you consumer, provider, involved in the decision-making or another role?)						
3	Can you name other important actors who are active in this field? (List in the order of importance, where A is the most important.)	A					
		B					
		C					
		D					
		E					
4	How would you rate the actors' performance in their specific roles (from 5 to 1, where 5 is the highest performance)?	A	5	4	3	2	1
		B	5	4	3	2	1
		C	5	4	3	2	1
		D	5	4	3	2	1
		E	5	4	3	2	1
5	How would you rate your role in the field when compared to other players in the field, on a scale from 1 (lesser player) to 5 (very important player)?						
6	In your view, who or what are the determining factors that influence your field of activity, both in the positive and negative sense?	POSITIVE			NEGATIVE		
7	Are you willing to participate in the CDS consultation?	Yes			No		
Source: IHS Romania 2010.							

Tool 4: Process planning tool

Phase

Phase 1: Getting organized and initial set-up

Sub-phases

Subphase 1.3: Establish CDS process

Name of tool

Process management diagram

Objectives

- Illustrate the main stages of the planning process.
 - Highlight the varying levels of effort required.
-

Under which circumstances to use the tool

Use the tool:

- To stimulate thinking about process management and effort.
 - To communicate concerning process management.
-

Main actor(s) responsible

Planning team

Target / beneficiary

- Planning team
 - Stakeholders involved in the planning teams
-

Description of tool

The process diagram is a simple tool to help visualize the varying efforts involved in plan preparation and the key points of participation. It is a stylized diagram and thus remains relatively simple and is useful for communication. See the diagram and its explanation.

Step 1: Use the figure from this toolkit.

Step 2: Customise the diagram to fit the strategic process being planned.

Step 3: Use it as an input to discussions on the planning process, focussing on the level of activity involved and its link to preparation for discussions and decision making.

Time needed for the use of the tool

This activity should take a few hours.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + The tool is relatively simple.
- + The tool visually presents the process.
- + The tool focusses on levels of effort at different stages and helps in thinking through the resources needed and the time implications.

DISADVANTAGES (-)

- Although relatively simple, some participants may not be used to working with or understanding abstract diagrams.
-

Related tools

This links to Tool 22 Gantt chart and Tool 23 Swim lanes.

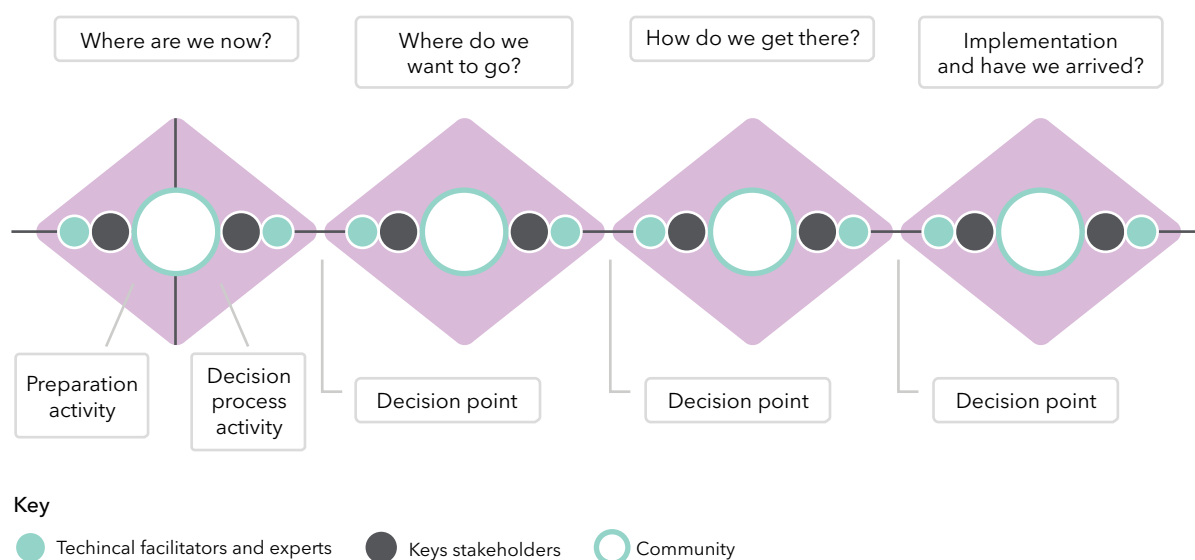
References and further resources

GENERALLY ACCESSIBLE MATERIALS

UN-Habitat (2005) Promoting local economic development through strategic planning : volume 2 : manual, Nairobi, United Nations Human Settlements Programme (UN-Habitat).

Diagrams and tools

FIGURE 16: PROCESS ACTIVITY PLANNING



The diagram helps in visualising the timing of efforts in the process.

The figure is adapted from two sources²⁹. The horizontal line represents the planning and decision making process. The width of the diamonds represents the effort involved within phases. The left side of each diamond represents the effort going into preparation, for example, gathering and analysing information and preparing for participative meetings. The right side of each diamond represents the effort required in taking the results of participative sessions, technical review, further analysis, working group and preparing for decision making. The points between the diamonds are the main decision points.

²⁹ UN-Habitat 2005. Promoting local economic development through strategic planning, Nairobi United Nations Human Settlements Programme (UN-Habitat), volume 2 page 49. This figure emphasized the role of stakeholders. The second source was a presentation by Rob van Gameren on planning experience in Poptahof, Netherlands, where there was an active process management.

Tool 5: Venn diagram tool

Phase

Phase 1: Getting organized and initial set-up

Sub-phases

Subphase 1.4: Establishing a participatory strategy development process

Name of tool

Venn diagram

Objectives

A Venn diagram is a tool to explore relationships between organizations or interests.

Specifically, it does the following:

- Focusses attention on the areas of overlap between interests.
 - Allows common interest areas to be identified.
 - Facilitates discussion about the relationships among organizations and areas of interest.
-

Under which circumstances to use the tool

Use the tool:

- To explore common interest areas.
 - Explore degrees of interaction between organizations.
 - To facilitate discussion on relationships.
-

Main actor(s) responsible

The planning team can use the tool as an input to reviewing institutional areas of interest and interaction.

Target / beneficiary

- Planning team
 - Stakeholders involved in planning teams
-

Description of tool

A Venn diagram is used in mathematics to identify numbers with common attributes. For example, odd numbers can be grouped together.

For planning and management, it is used to identify common interests by drawing circles around areas of interest for each organization.

Time needed for the use of the tool

Venn diagrams can be drawn quite quickly, for example, in 15 to 20 minutes. The total time depends on experience and the complexity of the situation being analysed and could last several hours.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + The tool allows overlapping interests to be examined, which is very important for integrated planning approaches.
- + The tool is relatively simple.
- + It is useful to help discuss relationships.
- + It is useful when trying to find areas of common interest as the basis of building support for a strategy.

DISADVANTAGES (-)

- Although apparently simple, it is not easy to do well.
 - Although simple, it may take some time for people not familiar to grasp the idea.
-

Related tools

Tool 12 (Linkage analysis) can be used to assess whether overlaps are positive and should be encouraged, or negative (conflicting) and need to be minimized.

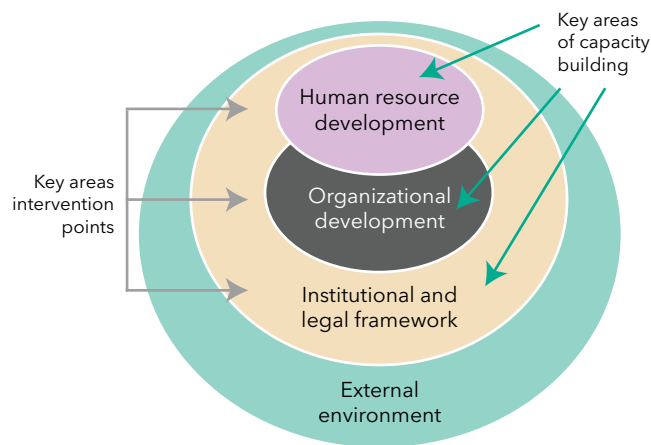
References and further resources

GENERALLY ACCESSIBLE DOCUMENTS

World Bank (n.d.) Tool name : institutional mapping/Venn diagramming, Washington, World Bank.

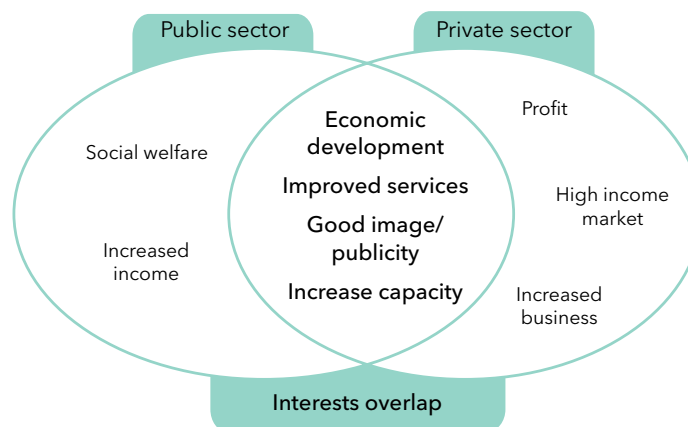
Diagrams and tools

FIGURE 17: VENN DIAGRAM SHOWING CAPACITY BUILDING RELATIONSHIPS



Source: Forbes Davidson for IHS.

FIGURE 18: VENN DIAGRAM SHOWING PUBLIC AND PRIVATE INTERESTS



Source: Forbes Davidson, Mike Lindfield and Carley Pennink for IHS.

Tool 6: Communication strategy tool

Phase

Phase 1: Getting organized and initial set-up

Sub-phases

Subphase 1.1: Getting organized

Name of tool

Communication strategy tool

Objectives

The communication strategy tool is an instrument that facilitates the planning of the communication process within the CDS. The communication strategy will provide a plan for involving specific target groups in all CDS phases, with specific actions, timing and budgets. It will look at the communication objectives for each target group, the nature of the message to be sent, and the channels to be used.

The specific objectives of a communication strategy are the following:

- Identify the needs and demands of specific target groups, and address them in the CDS.
 - Provide timely and accurate information on the development process of the CDS.
 - Involve stakeholders in the decision-making process during the CDS.
 - Emphasize the city government commitment to respond to the population needs, and the need for community support.
 - Improve public understanding and awareness.
 - Promote the local government activities and the city image.
-

When to use the tool

Use communication strategy tool:

- When organizing the CDS process, and planning the participatory process.
 - When assigning tasks to different stakeholders, and making sure that different target groups receive the right message at the right time in the CDS development.
 - When promoting the CDS process and raising the community interest to participate and support its formulation and implementation.
-

Main actor(s) responsible

Communication /marketing specialist (in the municipality, or in the community), with support of planning team

Target / beneficiary

Stakeholders groups: community residents, private and NGO sectors and so on

Description of tool

A communication strategy tool can be built in a series of steps, as follows:

- Step 1. Identify publics, audiences and stakeholders.
- Step 2. Formulate the message.
- Step 3. Select marketing and communication instruments to distribute the message.
- Step 4. Build a conceptual framework to connect the target audiences to CDS phases through communication instruments that ensure a market oriented process.
- Step 5. Plan the communication activities and events, assign budgets and responsible persons.

Step 1. Identify publics, audiences and stakeholders

The first step is linked to the stakeholders' analysis phase. The main target groups include: residents and employees, business and industry, visitors, public or semi-public organizations (local and central government, universities, international agencies, and NGOs), city management and so on. Besides their interests in the city development and development projects, this step also assesses the stakeholders' availability to participate in the CDS process, and the messages to be sent to reach them effectively.

Step 2. Formulate the message

To formulate the message, the first thing is to determine the message objective: what do we want to achieve with the message? Is feedback required (yes or no)?

For example:

- Awareness creation
- Coordination of interventions
- Receiving information
- Support
- Receiving funding and so on.

Step 3. Select marketing and communication instruments to distribute the message

City planners and marketing/communication specialists can use various instruments to distribute their message. These include the following³⁰:

- Advertising is the use of any paid form of non-personal presentation of ideas, goods or services. Thus, the purchase of printed space (magazines, newspapers or billboards), or broadcast time (television, radio or Internet) constitutes advertising. As a communication tool, it can be used to build a long-term image for a city, or launch quick messages on punctual activities that are going on in the city.
- Direct marketing encompasses the use of communication media to reach individuals, or groups of individuals in the audience, where the effect is measurable. The two traditional instruments of direct marketing are direct mail, e-mails and telephone. Individuals in the database can be sent appropriate newsletters and brochures.
- Public relations build good relations with the public by obtaining favourable publicity, building up a good public image, and handling or heading off unfavourable rumours, stories and events. Major public relations tools include press relations, event publicity, meetings and conferences, and lobbying.
- As a particular form of direct marketing, the stakeholders' forum is used as an approach of direct public consultation and involvement in the city development. This forum might have a sectoral approach with consultative aim, representing specific groups or interests of the city community. It provides advice and makes recommendations on broad planning goals and policies, and on sectoral development fields, where the development strategy requests consultation.

A combination of communication instruments, according to the expected feedback, is presented in Table 1.

Step 4. Build a conceptual framework

This step connects the target audiences to CDS phases through the selection of the appropriate communication instrument. See Table 2 for an example.

Step 5. Plan the communication activities and events, assign budgets and responsible persons

The last step is responsible for designing the communication plan: When and where should the communication take place? Which message will be distributed to each target group? Which instrument will be used? Who is in charge? What resources will be necessary? How to monitor the impact? (See Table 3.)

³⁰ Based on Kotler, P.; Haider, D. P., Rein, I. (1993), *Marketing places: attracting investments, industry and tourism to cities, states, and nations*, New York, Free Press.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + The communication strategy tool provides a framework for the communication process to be organized for the whole CDS process.
- + It allows communication activities to be planned in advance (attractive locations to be booked in advance and resources to be made available).
- + It offers a framework to monitor communication activities and evaluate feedback.

DISADVANTAGES (-)

- It requires specialized expertise to organize the communication strategy and identify the most appropriate instruments.
- It needs close monitoring, as the CDS process might register delays, and consequently, the communication plan must be flexible enough to adapt to new deadlines.
- It needs additional budget to implement the activities in the communication plan.

Related tools

This tool is linked to the stakeholders' analysis tool, as it starts with identification of the target audience.

It also provides the framework to develop additional specific tools for public participation in the different phases of the CDS process.

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

ACADEMIC DOCUMENTS (ACCESS MAY BE LIMITED):

Economic Policy Agency, Tbilisi City Hall, 2010, City Development Strategy for Sustainable Development - Marketing brochure, Tbilisi, Economic Policy Agency, Tbilisi City Hall [Institute for Housing and Urban Development Strategies (IHS) and IHS Romania].

Kotler, P.; Haider, D. and Rein, I. 1993, Marketing places: attracting investment, industry and tourism to cities, states and nations, New York, Free Press.

Wates N., (ed.) 2006, The community planning handbook : how people can shape their cities, towns and villages in any part of the world, London, Earthscan.

Diagrams and tools

TABLE 9: INSTRUMENTS TO PRESENT, RECEIVE AND EXCHANGE INFORMATION

PRESENTATION	RECEIPT	SHARING AND EXCHANGE
<ul style="list-style-type: none">• Newspapers and articles• Radio and TV programmes• Speeches and presentations to groups• Field trips and exhibits• School programmes• Films• Brochures• Newsletters• Reports and letters• Conferences	<ul style="list-style-type: none">• Public hearings• Survey questionnaires• Survey on the web• Public inquiry• Media balloting• Public meetings	<ul style="list-style-type: none">• Workshops• Special task forces• Interviews• Advisory boards• Informal contacts• Study group discussions• Interactive events on the Internet• Gaming and simulation

TABLE 10: CONCEPTUAL FRAMEWORK TO CONNECT THE TARGET AUDIENCES TO CDS PHASES THROUGH COMMUNICATION INSTRUMENTS

STRATEGY FORMULATION PROCESS	MARKETING & COMMUNICATION INSTRUMENTS	TARGET AUDIENCE
Phase 1: Situation analysis	Advertising: <ul style="list-style-type: none"> • Design the CDS webpage • Post the city profile, the SWOT analysis on the webpage and link to the city hall webpage 	All stakeholders
	Direct marketing: <ul style="list-style-type: none"> • Internal management meetings • Stakeholders forum on the city profile and the SWOT analysis 	Sectoral consultative groups
Phase 2: Visioning and strategic objectives	Advertising: <ul style="list-style-type: none"> • Post the vision on the webpage and link to the city hall webpage • Invite the website visitors to comment 	All stakeholders
	Direct marketing: <ul style="list-style-type: none"> • Internal management meetings • Stakeholders forum on vision 	Sectoral consultative groups
	Public relations: <ul style="list-style-type: none"> • Press release/publicity on the stakeholders' forum 	All stakeholders
Phase 3: Strategy formulation (defining programmes and projects)	Advertising: <ul style="list-style-type: none"> • Post the strategy document on the webpage and link to the city hall webpage • Invite the website visitors to comment 	All stakeholders
Phase 4: Strategy implementation / Monitoring and evaluation	Direct marketing: <ul style="list-style-type: none"> • Internal management meetings • Stakeholders' forum on the strategy development and action plan • Design CDS brochure and distribute by direct mail to stakeholders 	Sectoral consultative groups
	Public relations: <ul style="list-style-type: none"> • Press release/publicity on the stakeholders' forum 	All stakeholders

Tool 7: Mind mapping tool

Phase

All phases, starting with Phase 1

Name of tool

Mind mapping

Objectives

Mind mapping is used to organize and explore ideas in a transparent and participative manner.

Total time spent on this tool

Time taken can range from a few minutes to a one-hour session, depending on the context.

Under which circumstances to use the tool

The tool is useful to generate creative ideas, structure thinking, plan activities and organize material after a brainstorming session. It can be used to organize information connected to SWOT analysis and problem tree analysis. It can also be used to map out the whole planning process (see Figure 1).

Main actor(s) responsible

The planning team can use mind mapping, which is very useful in participative sessions with a wider group of stakeholders.

Target / beneficiary

All those involved in the planning team and planning process can benefit from greater clarity and seeing clear linkages between activity areas.

Description of tool

A mind map is a way to show and explore connections in a hierarchical manner. The starting point is the key issue being addressed. From this, lines are drawn to the next level of activities or factors, and then the process is repeated. Figure 19 illustrates this process. For example, a problem tree could be drawn with boxes for causes and effects. Each of these groups would then be subdivided. A SWOT analysis can also use a mind map to explore causes and effects related to the factors influencing desired outcomes.

A mind map can be built in many ways from a drawing on a piece of paper, though participative processes using cards, to stand-alone and group access software. Software references are given in the references section. The description here assumes using a computer or tablet based app, but the principles are the same as using pen and paper or cards.

Step 1: State the key issue or objective in the centre.

Step 2: Identify the main components or groups of factors or actions (depending on the subject).

Step 3: For each component or group repeat the action - resulting in a hierarchy of ideas. It is good to work quickly, capture ideas and later come back and organize.

Step 4: Re-organize the ideas as appropriate. If you use software versions, it is very easy to expand and contract branches and drag groups to new locations.

Step 5: Use the mind map to communicate and discuss ideas (it is useful to use a projector for this, if available). It can also be used to structure ideas for a report.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + Stimulates thinking and organising thoughts.
- + Simple to use.
- + Can be used solo and in groups.
- + Makes ideas and assumptions transparent.
- + Links well with other tools.
- + Can be used with and without software.
- + Software is easily and freely available.

+ Documentation of results is easy to do.

DISADVANTAGES (-)

- May seem abstract to those unused to the idea (it is a matter of taste).

Related tools

- SWOT analysis
- Problem tree analysis
- SMART objectives
- Logical Framework
- Gantt chart

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

Serrat, O. (2009) Drawing mind maps. *Knowledge Solutions*, no. 40, 3 p.

SOFTWARE

A web search will provide many sources. The following list gives some examples.

FREE SOFTWARE INCLUDES THE FOLLOWING:

- Freemind (Windows)
- Mindmeister (IOS and Android) - can be used to a limited extent free. Useful for shared access.

Paid software includes Xmind and MindManager (Windows and Mac). Mindmanager is very powerful and links to project management, but is expensive.

- iThoughts (IOS and Mac)
- SimpleMind (Android)

ACADEMIC DOCUMENTS (ACCESS MAY BE LIMITED):

Buzan, T and Buzan, B. (1995) *The mind map book*, London, BBC Books.

Diagrams and tools

FIGURE 19: EXAMPLE OF A MIND MAP



Source: Forbes Davidson for IHS.

The diagram above presents an example of a mind map developed as a starting point to think through a strategic planning process. Note that this is not proposed as a final road map but represents a quick (15-minute) exercise to illustrate typical content.

Tool 8: PESTL analysis tool

Phase

Phase 1: Getting organized and situation analysis

Subphase

Sub-phase 1.5: Situation analysis

Name of tool

Political, Economic, Social, Technological, Legal and Environmental (PESTLE or PESTEL) Analysis

Objectives

PESTLE analysis helps to identify and assess the external factors that may have an impact on an organization, a plan or a situation.

When to use the tool

Use the PESTLE Analysis:

- When you are beginning to launch a new strategic plan or are entering a new area, where the local environment is not fully clear.
 - When you need to anticipate and “map” the principle external factors that could affect your plans.
-

Main actor(s) responsible

All levels of government, civil society and business organizations

Target / beneficiary

The organization carrying out the analysis itself.

Description of tool

There are five main steps in the PESTLE analysis:

*Step 1. **Brainstorm** and list key issues that are outside of the organization’s control.*

*Step 2. Identify the **implications** of each of these key issues.*

*Step 3. Rate the relative importance of each of the key issues to the organization, using a **scale**. For example, the scale might include the following levels: critical; extensive; important; significant; moderate; and minor significance.*

Step 4. Rate the likelihood of the impacts occurring, using a scale. This scale may include the following categories: certain; very likely; likely; possible; unlikely; extremely unlikely to occur.

*Step 5. List the **implications** if the issues identified in step 1 do indeed occur (first four categories in the scale in Step 4).*

Issues to consider as part of the six PESTLE factors include, but are not limited to, the following:

Political issues include changes in government policy, changes in personalities within government (at all levels), other factors affecting legislation or new legislation, bureaucracy, and corruption.

Economic factors comprise the following: overall macro-economic (in)stability and trends; macro-economic factors such as employment; inflation; and interest rates; energy sources; the quality of infrastructure; the price of goods and commodities; taxes, levies and duties; exchange rates; cost of living; ease of doing business; and availability of credit.

Social factors include the following: cultural and social conventions, traditions and beliefs; social (in)stability and trends; patterns of (in)equality; and education levels.

Technological issues comprise the following: the pace of change in technology; new technologies and innovations; manufacturing and data infrastructure including network coverage; and user/consumer patterns and behaviours.

Legal factors to consider include existing and new legislation, regulations and regulatory bodies, the performance of courts, and the overall legislative climate.

Environmental factors include the following: topography; geographical location; weather and climate; quality of environmental resources; natural disasters; extent of susceptibility to disasters; and resilience.

In addition to these general factors outlined above, every individual country, city or environment has its own specific PESTLE issues that need to be considered as part of the analysis.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + Simple, easy to use and comprehend framework for analysis of complex realities.
- + Encourages strategic thinking within the organization, as a basis for strategic planning.

DISADVANTAGES (-)

- Can lead to oversimplification of complex realities, if the analysis is not done well or good data are not available.
 - Needs to be updated regularly for the analysis to remain relevant as a basis for strategic planning.
-

Related tools

Several different forms of PESTLE analysis that may include fewer or more than the six 6 factors are described here.

Additional variations include the following:

- Strategic Trend Evaluation Process (STEP)
- Social, Technological, Economic, Ethical, Political, Legal and Environmental Analysis (STEEPLE)

Social, Technological, Economic, Ethical, Political, Legal, Environmental and Demographic (STEEPLED)analysis.

These other variations all use the same underlying method as PESTLE.

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

Free Management E-Books (FME) (2013) The PESTLE analysis : strategy skills, [Summary of Newton, P. and Bristol, H. PESTLE analysis, s.l., Free Management E-Books (FME)].

Mullerbeck, E. (2015) SWOT and PESTEL, In: Arivananthan, M. 2015. Knowledge exchange toolbox: groups methods for sharing, discovery and co-creation, New York, UNICEF, pp. 136-147.

Diagrams and tools

FIGURE 20: EXAMPLE OF AN OUTLINE FOR PESTLE ANALYSIS

	Political	Economic	Social	Technology	Legal	Environment
Brainstorming key external issues						
Implications						
Importance of implication						
Likelihood of occurrence						
Implications of occurrence						

Tool 9: Force field analysis tool

Phase

Phase 1: Getting organized and situation analysis

Subphase

Subphase 1.5: Situation analysis

Name of tool

Force Field Analysis (FFA)

Objectives

FFA helps planners and decision makers to obtain a comprehensive overview of the overall planning context by identifying forces for change (driving forces) and forces against change (restraining forces) in relation to a plan or proposal.

When to use the tool

Use FFA:

- To systematically analyse complex problems.
 - To identify those factors that must be monitored and addressed, if change is to be successful.
-

Main actor(s) responsible

Planners and decision makers (within government and at community level)

Target / beneficiary

Implementing agencies, planners and communities

Description of tool

In a FFA, the facilitators ask participants to anticipate and analyse the situation impacting on a plan or proposal (defined as a “change”) by identifying likely driving forces and restraining forces. While any force contains multiple interrelated elements, participants should try to separate each force into specific, individual components.

Driving forces are those that are likely to favour change and will, therefore, help to implement the plan or proposal.

Restraining forces, in contrast, are those that are likely to oppose change and represent obstacles to plan or proposal implementation.

There are many ways in which to carry out a FFA. The analysis can be done in a participatory way, in groups, or on an individual basis (where individual results are later compared with one another), depending on what is required. The diagram illustrates one way in which the exercise can be organised, with forces arranged on either side of a plan or proposal depicted in the middle of a sheet of paper, with scores assigned to each force.

The FFA procedure can usefully be broken down into the following six steps.

Step 1

Define the specific plan or proposal being discussed and note this down in the middle of a large sheet of paper (see diagram as example).

Distribute coloured cards to the participants, with one colour for driving forces and another colour for restraining forces.

Step 2

Ask participants to identify driving forces: What are the factors or pressures that support change in the desired direction in the form of the plan or proposal? Participants should assign weights to each of the forces they identify (for example, on a scale of 1 to 5), corresponding to the importance of the force: the higher the number, the more important the force favouring change.

Step 3

Ask participants to identify restraining forces: What are the factors or pressures that present obstacles to the implementation of the plan or proposal? Participants should assign weights to each of the forces they identify (for example, on a scale of 1 to 5), corresponding to the importance of the force: the higher the number, the more important the obstacle.

Step 4

Facilitators of the exercise consider the results of Steps 2 and 3 and the total scores achieved, and check whether the participants are satisfied with the outcome. If not, a discussion takes place to evaluate and (if necessary) adapt the forces or the weights assigned to each force.

Step 5

When Step 4 is completed and all participants agree on the forces identified and the weights assigned, the facilitators ask the participants to discuss how they can change the situation they have identified. Which of the driving forces can be reinforced and which restraining forces can be diminished (Kumar, 1999).

Step 6

In the final step, the discussion turns to interventions to support or mitigate the forces identified. The total scores identified act as a guideline to assess whether driving or restraining forces are anticipated to be more powerful impacts on the plan or proposal. If necessary, participants can use smaller cards of a different colour than the driving or restraining forces to identify interventions required to increase or reduce the magnitude of each force. Interventions should be based on actual resources available to the planners (Kumar, 1999), that is, time, funds available, institutional capacities and so on. Finally, the completed diagram (with the driving and restraining factors, and the interventions identified) should be reproduced or summarized on a new sheet of paper as a basis for subsequent planning steps.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + Provides a useful basis for planners and decision-makers to plan a course of action in a complex situation.
- + Identification of key driving and restraining forces can help decision-makers to focus their efforts and prioritize their actions.

DISADVANTAGES (-)

- If analysis is not thorough, a FFA can result in over-simplification of complex realities.

Related tools

- PESTLE analysis
- SWOT analysis

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

Kumar, S. (1999) Force field analysis: applications in PRA. (*PLA notes*; 36), pp. 17-23, London, International Institute for Environment and Development (IIED).

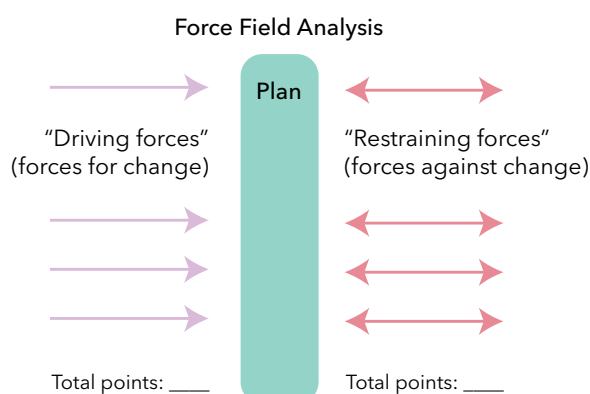
Ramalingam, B. (2006) Tools for knowledge and learning : a guide for development and humanitarian organizations. London: Overseas Development Institute (ODI).

ACADEMIC DOCUMENTS (ACCESS MAY BE LIMITED):

Schwering, R. E. (2003) Focusing leadership through force field analysis: new variations on a venerable planning tool. *Leadership and Organization Development Journal*, vol. 24, no. 7, pp. 361-370.

Diagrams and tools

FIGURE 21: ILLUSTRATION OF INDICATIVE FFA "TEMPLATE"



Tool 10: SWOT analysis

Phase

Phase 1: Getting organized and initial set-up

Subphase

Subphase 1.5: Situation analysis

Name of tool

Analysis of Strengths, Weaknesses, Opportunities and Threats (SWOT Analysis)

Objectives

A SWOT analysis helps examine the internal strengths and weaknesses and the external opportunities for - and threats to - the implementation and improvement of a plan.

When to use the tool

Use the SWOT Analysis:

- As a precursor to a new strategic plan.
 - To anticipate, address and (as needed) mitigate or stimulate critical internal and external factors that can have an impact on a strategic plan.
-

Main actor(s) responsible

All levels of government, civil society, and business organisations

Target / beneficiary

The organisation carrying out the analysis itself

Description of tool

A SWOT analysis typically involves four key steps.

Step 1

Involves the collection and evaluation of key data that could impact strategic planning. These include internal (institutional) factors, as well as external factors, including political, economic, social, technological, legal and environmental issues. Once these key data have been collected and analysed, the capabilities of the organisation or city to manage these factors are assessed.

Step 2

Involves sorting the data into four categories: strengths, weaknesses, opportunities and threats. Strengths and weaknesses relate to *internal* issues within the organisation or city. Opportunities and threats arise from *external* factors outside of the organisation or city that cannot be directly controlled. Whereas strengths and opportunities are likely to be helpful in achieving the objectives of a plan, project or proposal, weaknesses and threats are likely to be harmful in meeting these objectives.

Step 3

Involves developing a SWOT matrix for each plan or project under consideration (see diagram for an example of a matrix). A SWOT analysis can be applied to a particular plan to anticipate and mitigate key issues that may arise. Or a SWOT analysis can be used to help decision-makers evaluate several alternative proposals or courses of action. In this case, a different SWOT matrix should be produced for each proposal or alternative. The matrix with the highest number of strengths and opportunities and the lowest number of weaknesses and threats emerges as the best proposal.

Step 4

Involves incorporating the SWOT analysis into the decision-making process.

One of the challenges of a SWOT analysis is to decide which factors belong in which of the four categories. The following are standard definitions of the two internal and two external factors.

A **strength** is a factor that comes from within an organisation or city and contributes to good performance.

A **weakness** is also a factor that comes from within an organization or city, but which is responsible for poor performance or suboptimal performance.

An **opportunity** is a potentially positive development that arises from changes in the external environment.

A **threat** also emerges from the external environment, but in this case, it is likely negatively impact the city, organisation, proposal or plan.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + Flexible and versatile framework to analyse a wide range of complex realities and situations.
- + A SWOT framework is simple and easy to comprehend and apply by all stakeholders in strategic planning, including community stakeholders.

DISADVANTAGES (-)

- Can lead to oversimplification of complex realities, if the analysis is not done well or good data are not available.
- Decisions about how to categorise different factors and trends (as external or internal, or even as positive or negative) can be highly subjective and depend on one actor's perspective at any given time.

Related tools

Similar tools include the following:

- PESTLE or PESTEL analysis

References and further resources

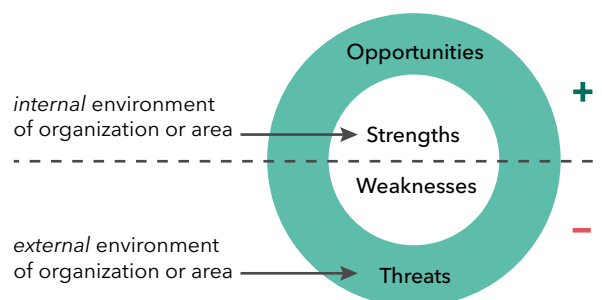
GENERALLY ACCESSIBLE DOCUMENTS:

Harrison, Jeffrey P. (2010) Strategic planning and SWOT analysis, In: Harrison, Jeffrey P., Essentials of strategic planning in healthcare. Chicago, Health Administration Press, pp. 91-97.

Newton, Paul and Newton, Helen, (2013) SWOT analysis: strategy skills, s. l., Free Management Ebooks (FME).

Diagrams and tools

FIGURE 22: ILLUSTRATION OF BASIC SWOT ANALYSIS SET-UP



Tool 11: Problem tree tool

Phase

Phase 2: Where are we going? Vision and strategic objectives

Subphase

Subphase 2.1: Visioning and building consensus on key themes

Name of tool

Problem tree analysis

Objectives

The objective of problem tree analysis is to understand the nature of problems or opportunities, their causes or roots and their effects. The analysis forms a strong basis for setting objectives.

Total time spent on this tool

The process of developing a problem tree normally takes half a day.

Under which circumstances to use the tool

The tool is very suitable to use as part of a participative process. It allows all participants to put forward their ideas and for them to be organised in a clear understandable manner. It helps build a strong foundation for later stages of the planning process.

Main actor(s) responsible

The team organising the planning process should arrange the process. It is apparently simple, but a skilled moderator should lead. It is easy for participants to play a useful role. It is important to engage stakeholders in the activity to ensure wide support for the issues being tackled.

Target / beneficiary

All stakeholders gain from a good process as issues can be put on the table at an early stage in the process.

Description of tool

The tool maps out hierarchies of cause and effect relating to the main issues - problems and opportunities - facing a city or a community. It is most commonly carried out using cards and pin-boards, but can also be done using computer programs and mind mapping (see mind mapping tool). This description assumes that cards are being used.

Step 1

Identify key issues. Organise a meeting of the planning team with representatives of major stakeholders. This should be a key meeting in a planning process. All participants should be given three cards (or A4 sheets of paper cut into three) and markers. In this meeting introduce the main issues facing the city based on prior research. Each participant writes on each of their three cards one of the three issues they consider most important for the city. They then pin their cards to sheets headed by the preidentified issues or on sheets for "other issues."

Step 2

Groups carry out problem tree analysis focussed on the priority issues found. For each topic, a group is set up to carry out the problem tree analysis. Each group should have a facilitator.

Step 3

Group members write down what they feel the problems are connected to the main theme (for example, high unemployment may be the theme for a group). One problem (or opportunity) on one card with large letters so that the group can read from a distance. (15 minutes)

Step 4

Preliminary problem tree. The cards are placed on the pin board, grouped together when the same and arranged so that causes are at the bottom and effects at the top. The aim is to identify the core problem in the middle. Additional cards should be added, refining causes and effects. For example, unemployment could be influenced by poor infrastructure, poor education and training and external market conditions. (30 minutes)

Step 5

Identify the core problem. Try to identify the core problem and test it by applying the questions shown in Table 11 below. Discuss and refine the core problem.

Step 6

Reporting and amalgamating. The teams report on their findings. The moderator presents the conclusions. Photographs should be taken of the final problem trees so they can be recorded as part of the planning process.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + Issues can be identified and agreed.
- + Root causes of problems are identified, which later become the focus of actions in action plans.
- + The method encourages intersectoral thinking and action.
- + Opportunities can be introduced, as well as problems.
- + The effects are identified, which helps build political support for action.
- + It forms a strong foundation for objective setting.

DISADVANTAGES (-)

- It takes time, organisation and a good facilitator.
- If not well facilitated, it can strengthen preconceptions.
- Focus tends to be on problems (it is, after all called 'problem tree analysis').

Related tools

- *SWOT analysis* will already have brought up internal and external problems and opportunities. This allows logical cause and effect relationships to be thought through.
- *SMART objectives*. Core problems can be turned into core objectives and then improved through use for SMART objective tests.
- *Logical framework*. The logical framework uses the same cause and effect logic, so the problem tree analysis helps to set a good basis.
- *Monitoring and evaluation tools*. These tools link back into objectives and problems and issues
- *Stakeholder analysis*. Links to the questions of whose problem it is.
- *Mind mapping*. A tool to think through connections between subjects can be used for problem analysis and planning.

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

MDF (2005) MDF Tool : problem tree analysis, Ede, MDF.

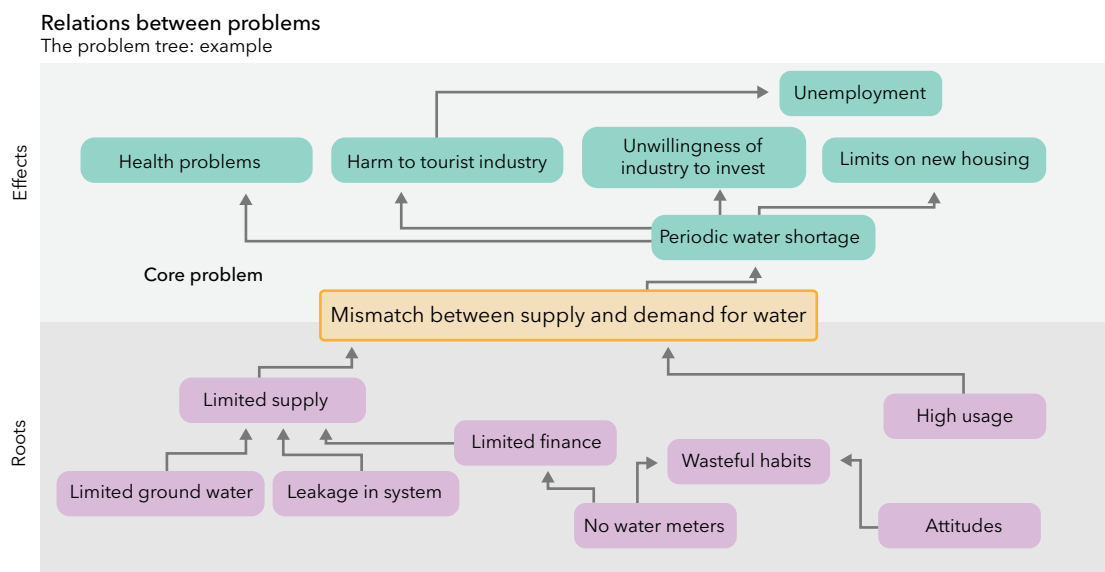
Roberts, B. H. (2015) Tool kit for rapid economic assessment, planning and development of cities in Asia, Manila, Asian Development Bank (ADB).

UNCHS (1991) Guide for managing change for urban managers and trainers, (Training materials series) Nairobi, United Nations Centre for Human Settlements.

URBACT (2013) Urbact II local support group toolkit, Saint-Denis, URBACT.

Diagrams and tools

FIGURE 23: PROBLEM TREE EXAMPLE



Problem clarification

The following questions are designed to help you think through your problem.

TABLE 11: PROBLEM ANALYSIS QUESTIONS

KEY QUESTIONS
1. What is the problem? (Write a rough description and underline key words and phrases)
2. Why is it a problem? What would it look like if it were solved?
3. Whose problem is it? Who owns it?
4. Who would be interested in a solution? Name individuals and organizations who might be willing to put some effort into finding a solution. Who would be the most important person or group?
5. Where is it a problem? The whole town, part of the town or part of the surrounding district?
6. When is it a problem? Special time of day? Seasonal?
7. How long has it been a problem? Weeks? Months? Years?
8. Are you dealing with the real problem? It may be a symptom of a bigger problem or a solution to a problem. If it is either, go back to question one and redefine the problem.
9. What would happen if nothing was done about the problem?

Note: This exercise is adapted from charts included in "Guide for managing change for urban managers and trainers", UNCHS 1991.

Tool 12: Linkage analysis tool

Phase

Phase 3: How are we going to get there? Strategy formulation

Subphase

Subphase 3.1: Develop strategic options and prioritization

Name of tool

Linkage Analysis

Objectives

Linkage analysis is used to explore the connections between objectives and potential activities and between the activities themselves.

The objectives of linkage analysis are the following:

- To identify where potential activities have strong positive relationships to objectives and other activities (can create a synergy).
- To identify where strong negative relations can create a conflict between objectives and other activities.

This allows the team to see which activities should be connected in location or timing.

Time required

This can be carried out in two to three hours, depending on the complexity.

Note: For time spent on each subphase, please see section on description of tool.

Under which circumstances to use the tool

Use tool to do the following:

- To explore the connections between potential activities already proposed or developed during brainstorming.
 - To ensure the developing strategy keeps focussed on objectives.
-

Main actor(s) responsible

The planning team will be responsible to organize, if possible using a neutral moderator. It is good to work on this with participation of the same people involved in other major steps of the process, that is, technical departments, infrastructure organizations, residents' representatives, according the nature of the potential activities.

Target / beneficiary

The team involved in developing the alternative strategies.

Description of tool

The tool is used together with the mapping of potential activities. This allows location based linkages to be seen.

The preparation of the linkage analysis has the following steps:

Step 1

Locate any of the potential activities identified on a map that covers the city at scale sufficient to be able to find sites but still cover the whole city.

Step 2

Using the table below as a guide make a wall chart.

- List the main activities that have been identified down the left-hand side (row headers), and along the top (column headers).
- List the main objectives of the strategic plan, but only on the left-hand side.
- Blank out the connection boxes where the same items connect.

Step 3

For each pair of connections in each box mark the relationship as follows:

- Positive relationship: where one project helps another (is compatible with) or supports the other: strong: ++, slightly: +.
- Negative relationship: where one project interferes (is not compatible) with the other: strong: --, low: -.
- Neutral relationship: mark with 0.

Step 4

For each pair with a strong relationship write a short note (Table 24) indicating how benefits could be obtained or problems minimized. Examples could include integrated spatial planning, coordination of organization, link with taxation or coordinated timing.

Step 5

Rate each of the activities against the objectives.

The result is identified groupings of activities that will help with the formulation of alternative strategies.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + Introduces the spatial dimension.
- + Helps the team explore potential synergies.
- + Helps avoid conflicting activities.
- + Keeps a focus on objectives.
- + Is relatively quick, taking half a day.

DISADVANTAGES (-)

- Is an additional step, but normally is worthwhile.
-

Related tools

Linkage analysis has a strong relationship with GAM, but is carried out as part of developing strategies, rather than testing and comparing strategies.

References and further resources

IHS and DPU originally developed this material, which was included in the draft guidelines for sustainable urban development prepared for the European Commission.

GENERALLY ACCESSIBLE DOCUMENTS:

European Commission (2002) Towards sustainable urban development : a strategic approach, (C IHS and DPU IHS and DPU IHS and DPU consultative guidelines for urban development co-operation), Brussels, European Commission.

Diagrams and tools

FIGURE 24: PROPOSED SET-UP FOR LINKAGE ANALYSIS

PROJECT OR MAJOR ACTIVITY AND OBJECTIVES											
1	1										
2		2									
3			3								
4				4							
5					5						
6						6					
7							7				
8								8			
9									9		
10 Objective A										10	
11 Objective B											11
12 Objective C											

Source: Forbes Davidson, IHS.

In each box mark the relationship as follows: Positive relationship: where one project helps another (is compatible with) or supports the other: strong: ++, slightly: + Neutral relationship: 0. Negative relationship: where one project interferes (is not compatible) with the other: strong: --, low: -.

Implications

Where strong positive or negative relations are indicated, note them in a simple table like the one below with a brief note about their implications for developing the project. This will provide an input to developing and appraising the project.

STRONG RELATIONSHIP	WHAT BENEFIT OR PROBLEM, AND FOR WHOM?	IMPLICATION FOR STRATEGY - HOW TO MAXIMIZE BENEFIT OR MINIMIZE RISK

Tool 13: Brainstorming

Phase

Phase 2: Where are we going? Vision and strategic objectives

Subphase

Subphase 2.2: Set strategic objectives

Name of tool

Brainstorming

Objectives

Brainstorming is used to develop action ideas based on earlier analysis using tools such as force-field analysis (Tool 9).

Specifically, it does the following:

- Stimulates the development of a range of possible actions and strategies that potentially can meet the originally defined objective.
 - Encourages thinking outside of the normal or routine approaches.
 - Facilitates participation and ideas from stakeholders not normally involved.
-

Under which circumstances to use the tool

Use the tool:

- To develop action ideas.
 - As a base for developing strategic options.
 - With a technical team, but should also be used with a wider group to develop more ideas.
 - With stakeholders in a well-moderated participation meeting.
-

Main actor(s) responsible

The planning team should organise a moderated session as part of the planning process. The main stakeholders should agree the contents.

Target / beneficiary

- Planning team
 - Everyone participating in the planning process
-

Description of tool

There are two main forms of brainstorming: oral and written. They are similar, except that the written form starts with each individual writing ideas down first, which encourages more areas of thought and is a more productive form.

Ideas are written on cards, which is used in the meta-plan approach. There are simple, but important, rules that are explained in the exercise.

Step 1

The main areas where action is necessary are identified. These are identified using tools such as force-field analysis (Tool 9). For example, lack of finance might be identified as an area limiting action. This can then become an area for brainstorming.

Step 2

Group areas where action ideas are needed. Typical groups would include the following:

- Resources
- Institutional capacity
- Physical approaches.
- Prepare large sheets of paper on a wall and put the heading on a card.

Step 3

Provide participants with cards or A4 sheets of paper and markers and ask them to write one idea on one card.

Step 4

Remind participants of the brainstorming session what the problem is and give them three minutes to come up with ideas.

Step 5

Ask participants to fix their cards on the sheets of paper.

Step 6

The moderator goes through the ideas, groups them and stimulates more ideas directly from the participants. He or she can also use provocations (crazy ideas) to stimulate thinking in new directions. The role of the moderator is important. For example, participants may come with ideas on how to get more resources but then be stimulated to think of ideas about improving efficiency.

Time needed for the use of the tool

A brainstorming session should be managed as a high-intensity, high-energy activity. Emphasis should be on keeping the momentum and flow of ideas. When ideas dry up, move on. Depending on the number of action areas it may take about three hours. It may be necessary to manage the time within what is realistically available.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + The tool can stimulate useful and creative approaches.
- + The tool is relatively simple.
- + A well-moderated session can be fun and builds ownership.
- + It helps build support for approaches that will be further developed as part of a strategy.

DISADVANTAGES (-)

- Although apparently simple, it is not easy to do well.
- For success, it requires a skilled and knowledgeable moderator.
- May not work well in certain cultures.

Related tools

Brainstorming is often used after Force Field Analysis and as an input to strategy development.

Mind mapping can be used to show the connection between action ideas and as an alternative way to organise brainstorming. The mind map can be projected on a screen and participant ideas typed in directly. This is quick and the results can easily be distributed.

Well-moderated focus group discussions can also be used. Again, the quality of moderation is very important.

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

UN-Habitat (1989) Community participation in problem-solving and decision-making (2): leadership, Nairobi: UN-Habitat.

Tool 14: SMART objectives

Phase

Phase 2: Where are we going? Vision and strategic objectives

Subphase

Subphase 2.2: Set strategic objectives and build consensus on strategic directions

Name of tool

SMART objectives

Objectives

The aim of the tool is to encourage the development of objectives, which will provide a good basis for project development and later evaluation.

Under which circumstances to use the tool

Use tool to do the following:

- Refine objectives and make measurable.
-

Main actor(s) responsible and participating

The planning team is responsible. This is an activity where the development of the smart objectives is best done by a planning team, but the result should be discussed and agreed with a wider representative group.

Target / beneficiary

- The planning team
 - The wider participatory group
-

Description of tool

SMART stands for five important qualities of objectives relating to urban development. Objectives should be the following:

- **S**pecific in terms of place.
- **M**easurable in terms of what is to be achieved (not how to achieve it).
- **A**ceptable, that is, an objective should be accepted by key stakeholders. The process to set and agree the objective should be participatory to maximise acceptance. (Note" some sources use 'achievable' but that is very similar to 'realistic'.)
- **R**ealistic, in that, it should be possible to reach the objective with regard to resources including finance and organizational capacity.
- **T**ime bound, in that, it is critical that objectives are related to a meaningful time frame, which should be linked to political and social realities, as well as to physical development aspects.

The process to develop SMART objectives goes through the following steps:

- Step 1: The starting point of this tool is the initial or draft objective developed though another tool. *Problem tree analysis (Tool 11)* is recommended for this, but is not the only means. It enables core problems to be identified and these can be turned into objectives. For example, a problem identified as 'no access to basic infrastructure in a certain area' could be turned into the broad objective 'ensure access to basic infrastructure in a certain area'.
 - In addition, it is important to look at objectives that may be developed from the visioning process and SWOT analysis.
 - Step 2: Make each objective specific by adapting it so that it answers the four questions linked to SMART. This can be done by individual participants with suggestions written on cards or sheets of paper (see brainstorming, Tool 13). If using cards or paper, then pin or stick them on a wall, whiteboard or flip chart.
 - Step 3: Discuss and refine each objective until:
 - It meets the SMART criteria.
 - Group members agree on the objective and its formulation.
-

Total time required for use of the tool

Objective setting is fundamental for the development of a strategy, and is more difficult than it appears. Allow half a day for a participative exercise.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + It is easy to remember.
- + Helps create a sound foundation to strategy development.

DISADVANTAGES (-)

- Although it looks simple it is difficult to do well (applies to all objective setting).
 - SMART represents only a limited selection of questions about the quality of an objective. Other lists are more thorough.
-

Related tools

- *Problem tree analysis* is a useful starting point.
 - *SWOT* analysis identifies issues that can be reformulated into objectives.
 - *Visioning* tools provide a wide framework.
-

References and further sources

The version of SMART described here is developed for IHS.

GENERALLY ACCESSIBLE DOCUMENTS:

UNCHS (1991) Guide for managing change for urban managers and trainers, (Training materials) Nairobi, United Nations Centre for Human Settlements.

Tool 15: Project programming sheet

Phase

Phase 3: How are we going to get there? Strategy formulation

Subphase

Sub-phase 3.1: Develop strategic options and prioritization

Name of tool

Project programming sheet

Objectives

The project programming sheet is a tool that helps the process of translating the SMART objectives into strategic options, which are concrete programmes and projects, through the following:

- Identifying umbrella organizations over groups of related project.
- Coordinating a number of related projects over time to deliver benefits to the organization.

Programs are used to categorize large work efforts into smaller set of related projects, some of which are executed sequentially, while others are executed in parallel.

Under which circumstances to use the tool

Use project programming sheet:

- When identifying strategic options for the implementation of the SMART objectives.
- When identifying projects that address the problems and development needs identified in the situation analysis.
- When coordinating thematically and spatially the list of projects that have been identified.

Main actor(s) responsible

Members of the planning team, supported by members of municipal departments, and technical experts whose expertise is considered useful for specific projects.

Target / beneficiary

- Municipal departments that are responsible for project implementation.
- Project beneficiaries, such as community residents, other stakeholders' groups and so on.

Description of tool

To develop a project programming sheet, the planning team should go through the following steps:

Step 1. Review the long list of projects.

The team will go through the list of projects identified and collected from the community and stakeholders' groups. This step is important for checking if the projects respond to the actual needs, if there are needs that have not been addressed (and additional projects are needed), or if redundant projects need to be eliminated from the list.

Step 2. Coordinate projects.

The team will coordinate the projects with the SMART objectives, and among themselves, according to their theme and their spatial location. A certain number of project categories will result for each SMART objective. These categories are the development programs.

Step 3. Fill in the project programming sheet.

The team will fill in the sheet attached (Table 12), where under each SMART objective, will write down the name of the programs, and the list of projects that belong to each program. For each project, some basic information is needed: a project code (to be easily found in the project list), title, location and brief description of project components.

Time needed for the use of the tool

According to the number of projects, to develop project programming sheets for all SMART objectives might take one to two days.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + The project programming sheet is a useful tool for organising projects and ensuring the logic sequence vision, objectives, programs and project.
- + It is also an instrument that provides a basis for further prioritisation of projects.

DISADVANTAGES (-)

- It is time consuming and requires professional expertise and consultation. It is difficult sometimes to differentiate between a big project and a small program, and clarity about the content of projects might be lacking at this stage.

Related tools

- Project prioritization tool
 - Logical framework (log frame)
-

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

Racoviceanu, S. Constanta; C., and Marius; C., et al. (2016) The integrated urban development strategy for the Ploiesti growth pole : 2014-2020. Washington, World Bank.

Academic documents (access may be limited):

Pennink, C. and Racoviceanu, S. (eds.) (2013) Integrated Planning and Urban strategies (IPUS): participants' handbook, Rotterdam, Institute for Housing and Urban Development Studies (IHS).

Diagrams and tools

TABLE 12: PROJECT PROGRAMMING SHEET

TITLE OF SMART OBJECTIVE:	Program title:			
	Project number and project code:	Project title:	Location:	Project description (main themes):
	1			
	2			
	3			
	n			
	Program title:			
	Project number and project code:	Project title:	Location:	Project description (main themes):
	Program title:			
Project number and project code:	Project title:	Location:	Project description (main themes):	
Source: IHS Romania training manual on Integrated planning (2010).				

Tool 16: Logical framework

Phase

Phase 3: How are we going to get there? Strategy formulation

Subphase

Sub-phase 3.3: Strategic action planning

Name of tool

Logical framework (Log frame)

Objectives

The logical framework provides, in a short and clear form, the most important aims and measures of a strategy or project. At the time of design, it clarifies what has been agreed. After implementation, it provides a base for evaluation.

Specifically, it does the following:

- Clarifies the overall goal.
 - Specifies the main objectives.
 - Identifies the key activities to reach the objectives.
 - Clarifies the assumptions and risks.
-

Under which circumstances to use the tool

Use the tool:

- To discuss and agree the main measures of a strategy or project.
 - As a base for designing and implementing a monitoring and evaluation process.
-

Main actor(s) responsible and participating

The planning team should develop the framework based on objectives developed in a participative manner. The main stakeholders should agree with the contents.

Target / beneficiary

- Planning team
 - Everyone participating in the planning process and all beneficiaries
-

Description of tool

- The tool forms a standard summary of the key measures of a project. As such it is used by many development agencies as a required part of the process because it gives a clear framework for agreement and a basis for monitoring and evaluation. The preparation and discussion of the tool is important in ensuring there is clarity and agreement.
 - The logic of the framework on the vertical axis (going down) is that the broad goals identified at the top are progressively refined into objectives and then actions. On the horizontal axis, the means of measurement are identified and the assumptions concerning availability of resources and risks.
 - Preparation goes through the following steps:
 - Step 1. Read the definitions of the different elements in the logical framework and ensure that those involved understand them.
 - Step 2. The planning team fills in the form helped partly by the outputs of other tools, for example, SMART objectives.
 - Step 3. The completed framework is discussed and agreed with the wider group of participative planning stakeholders to ensure common understanding and agreement.
 - Step 4. Once agreed the framework forms the basis of agreements, monitoring and evaluation. The identified risks and stated assumptions form the basis of flexibility in implementation.
-

Time needed for the use of the tool

The time taken to fill the form depends on whether all the background work has been done. For a planning team, it might take half to one day, depending on levels of agreement. As a tool for a participative session, allow two to three hours to discuss and hopefully agree. It may take longer, if issues are contentious.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + The document is clear and concise.
- + It focuses attention on the most important elements.
- + It is functional as a basis for clarity and agreement
- + It forms a clear basis for monitoring and evaluation.

DISADVANTAGES (-)

- Although apparently simple, it is not easy to do well.
- If the entry point is problem analysis, too much attention may go to the problems, rather than opportunities.
- In theory, it is flexible (risks and assumptions are explicit), but there may be bureaucratic inflexibility to changes in activities and targets losing flexibility.

Related tools

The logical framework uses as inputs *SMART objectives* and the strategy and action plans developed using tools, such as force-field analysis, brainstorming and linkage analysis. It is also the basis of working with *monitoring and evaluation tools*.

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

DFID (2003) Tools for Development : a handbook for those engaged in development activity, London, Performance and Effectiveness Department, Department for International Development.

This is a useful practical guide:

ACADEMIC DOCUMENTS (ACCESS MAY BE LIMITED):

GOPP, SIPU International, Davidson et al. (2011) Toolkit for strategic planning for Governorates and Marakez, Cairo.

Diagrams and tools

FIGURE 25: SAMPLE LOGICAL FRAMEWORK

Structure of a logframe				
Objectives, purpose, etc.	Baseline (the starting situation)	Performance Indicators	Means of Verification	Assumptions / Risks
The Long-term overall objective (goal):				
Short-term, specific objective (outcome):				
Results (outputs):				
Activities:		Inputs	Costs	Assumption / risks
Activity 1				
Activity 2				
Activity 3				
Activity 4				
Activity 5				

TABLE 13: LOGICAL FRAMEWORK - DESCRIPTION OF CONTENTS

NARRATIVE	VERIFIABLE INDICATOR(S)	MEANS OF VERIFICATION	ASSUMPTIONS, PRECONDITIONS, RISKS
<p>Goal</p> <p>The broader (national, sectoral or program level) development impact to which the project contributes.</p>	Measures of the extent to which a contribution to the goal has been made (used during evaluation).	Sources of information and methods used to collect and report it.	
<p>Purpose</p> <p>The development outcome expected at the end of the project to which all components will contribute.</p>	Conditions at the end of the project indicating that the purpose has been achieved (used for project completion and evaluation).	Sources of information and methods used to collect and report it.	Assumptions concerning the purpose/goal linkage.
<p>Objective</p> <p>The specific outcome of each project component, achieved as the result of delivering specific outputs.</p>	Measures of the extent to which component objectives have been achieved (used during review and evaluation).	Sources of information and methods used to collect and report it.	Assumptions concerning the component objective and purpose linkage.
<p>Output(s)</p> <p>The direct measurable results (goods and services) of the project which are largely under project management's control.</p>	Measures of the quantity and quality of outputs and the timing of their delivery (used during monitoring and review).	Sources of information and methods used to collect and report it.	Assumptions concerning the output and/ component objective linkage.
	Inputs and outputs		
<p>Activities</p> <p>The tasks carried out to implement the project and deliver the identified outputs</p>	<p>Inputs, such as budget allocations, can be listed here as well as outputs</p> <p>Implementation/work program targets (used during monitoring)</p>	Sources of information and methods used to collect and report it	Assumptions concerning the activity/output linkage

Source: Adapted from GOPP et al 2011.³¹

³¹ GOPP, SIPU International, Davidson et al. (2011). Cairo: Toolkit for strategic planning for Governorates and Marakez.

Tool 17: Goal Achievement Matrix (GAM)

Phase

Phase 3: How are we going to get there? Strategy formulation

Subphase

Subphase 3.1: Develop strategic options and prioritization

Name of tool

Goal achievement matrix (GAM, project prioritization)

Objectives

GAM is a tool that facilitates the process of project prioritization. During CDS formulation, the planning team will be faced with a long list of project options, and they will have to prioritize them in an objective and transparent way. This will require working with a multi-criteria decision making process to choose.

When to use the tool

Use GAM tool for the following:

- When the programmes and projects are formulated, and there is a long list of projects, which cannot be implemented entirely.
 - When building a participative process for prioritization of projects, by involving stakeholders from the sectoral and thematic groups.
-

Main actor(s) responsible and participating

Members of the planning team, supported by members of municipal departments, the mayor and city council representatives, as well as thematic stakeholders' working groups

Target / beneficiary

- Municipal departments that are responsible for project implementation.
 - Project beneficiaries, such as community residents, other stakeholders' groups and so on.
-

Description of tool

The GAM tool operates a scoring calculation on a long list of projects (usually in an Excel sheet, if available), based on a set of objective criteria. For this reason, a prioritization team (that is, the planning team, supported by thematic working groups) will go through the following steps:

Step 1: Determine criteria relevant to the strategy.

The most important point is the criteria chosen for assessment. The prioritization team will discuss and select the criteria relevant for the strategy, criteria which help achieving the strategic objectives already formulated. These could include the following:

- Focus on the objective
- Technical feasibility of the project
- Financial feasibility (resource availability)
- Commitment from key decision makers
- Coordination with other projects
- Others.

Step 2: Select weights and scoring indicators.

- Criteria can either be all given the same importance or weight, or they can be differentially weighted. For example, if the overall strategy is aiming to improve living conditions for the poor, then a criterion that indicates strong targeting of the poor should get a higher weight than a criterion related to visual appearance.
- The prioritisation team will fill in Table 14 below. On the top are the criteria. Below, the characteristics of each criterion to be measured are described, in three levels. See the example in Table 15.

Step 3: Fill in the GAM

Using the results of Step 2, the prioritisation team will fill in the GAM in Table 16.

Step 4: Conclude the assessment

The prioritization team will discuss the results, applying common sense. Do the results seem to make sense? If not, why not? Perhaps some of the criteria or weightings do not make sense. Based on these discussions, they can try to adjust weightings and see what happens. If commonly decided, weightings could be changed. But in general terms, results need to be combined with additional prioritisation tools.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + GAM is a highly visible, transparent tool to select priority projects, allowing a broad participation of stakeholders in thematic groups.
- + As the criteria used to choose projects is decided in a transparent manner by the people involved, there is no feeling on the part of stakeholders that projects were chosen indiscriminately.

DISADVANTAGES (-)

- It is time consuming and needs technical expertise to use Excel sheets to integrate the prioritisation results from various persons and working groups.
- It still provides room for subjective bias, as the final score could sometimes lead to decisions that are not supported by the community (or by the decision makers). Criteria might need re-adjustment, or additional prioritisation tools should be used as well.

Related tools

This tool is linked to the linkage analysis tool and the impact assessment matrix, as they all are complementary tools for project prioritization.

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

Racoviceanu, S. Constanta; C., and Marius; C. et al. (2016) The integrated urban development strategy for the Ploiesti growth pole : 2014-2020. Washington, World Bank.

Diagrams and tools

TABLE 14: GAM SCORING CRITERIA

GROUPS	WEIGHT	PROJECT 1	PROJECT 2	PROJECT 3	PROJECT ...N
Project name					
EXAMPLE					
Criterion: Coverage	5	Score	Score	Score	Score
100%		4	4	4	4
75%		2	2	2	2
50%		0	0	0	0
Criterion:		Score	Score	Score	Score
		4	4	4	4
		2	2	2	2
		0	0	0	0
Criterion:		Score	Score	Score	Score
		4	4	4	4
		2	2	2	2
		0	0	0	0

TABLE 15: EXAMPLE OF SCORING CRITERIA

STRATEGIC OBJECTIVE:		
Project to be assessed	Score	Score
Focus:		
The project is focused directly on the objective	4	
The project will help meet the objective, but indirectly	2	
The project is not focused on the above objective	0	
Adequacy:		
The project is adequate to achieve the objective	4	
It is marginal in achieving the objective	2	
It will not meet the objective	0	
Feasibility of implementation:		
The project is very feasible to implement	4	
The project is questionable in terms of feasibility	2	
The project is unlikely to be feasible	0	
Resource availability:		
Can be implemented with existing resources	4	
Requires getting resources together which would be difficult	2	
Not possible to get the resources together	0	
Commitment:		
Will get the commitment of senior decision makers	4	
Will be difficult to get commitment	2	
Will certainly not get commitment	0	
Integration:		
The project will have positive benefits on meeting other priority planned objectives	4	
The project has no impact on meeting other planned objectives	2	
The project will have negative impact on meeting other planned objectives	0	
Other criteria: *		
*Note: If other criteria are used, overall scoring should be adjusted.		

TABLE 16: GAM CRITERIA, SCORES AND WEIGHTS

CRITERIA/ WEIGHT	PROJECTS/SCORES X WEIGHTS							
Total								

Tool 18: Impact assessment matrices

Phase

Phase 3: How are we going to get there? Strategy formulation

Subphase

Subphase 3.1: Develop strategic options and prioritization

Name of tool

Impact assessment matrix (project prioritization)

Objectives

To test the projects against relevant criteria

Under which circumstances to use the tool

When developing strategic options, the city will come up with a long list of potential projects. This tool is used when prioritising and choosing a project from this long list

Main actor(s) responsible and participating

The CDS team, members of the planning team, supported by members of municipal departments, the mayor and city council representatives, as well as thematic stakeholders' working groups

Target / beneficiary

- Municipal departments that are responsible for project implementation.
 - Project beneficiaries, such as community residents, other stakeholders' groups and so on.
-

Description of tool

An impact analysis looks at the wider impact of the project, if the plan is implemented. Economic feasibility is part of the impact analysis. It has a broader view than financial analysis.

Other aspects of impact include impact on the environment, the job market, or social situation.

The actors using the tool will rely on the table to stimulate discussion on the shorter and longer term impacts of the projects in economic, social, political, environmental and cultural terms. Rating these impacts makes perceptions during the discussion explicit and is effective in communicating with the municipality these perceptions.

Step 1

The planning team reviews each potential strategy against the main headings in the table below. The team discusses both the short-term impact (up to five years), and the longer term (20 years plus) impacts with the team and rate as to whether the impact is likely to be positive, unclear or negative. For these discussions, it is preferable to be able to refer to properly executed impact analysis but if these do not exist it is still important to discuss, and where considered important or legally necessary, then a proper study should be organized as an input.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + This tool allows for a rapid appraisal of the situation.
- + It sets in motion the idea of discussing impact from different perspectives and makes these explicit.

DISADVANTAGES (-)

- It can lead to oversimplification of complex realities, if the analysis is not done well or good data are not available.
-

Related tools

This tool is linked to the linkage analysis tool and the GAM, as they all are complementary tools for project prioritization.

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

UN Habit (1991) Guide for managing change for urban managers and trainers, Nairobi, United Nations Centre for Human Settlements (Habitat).

Material for this note is adapted from this.

Impact assessment rules, such as environmental impact assessment, differ between countries. It is important to check local regulations.

Other areas include social impact assessment and resilience assessment.

Diagrams and tools

TABLE 17: IMPACT ASSESSMENT FORM (CIRCLE THE APPROPRIATE NUMBER)

IMPACT OF STRATEGY:			
	positive	unclear	negative
Economic			
Short term	2	1	0
Long term	2	1	0
Social			
Short term	2	1	0
Long term	2	1	0
Political			
Short term	2	1	0
Long term	2	1	0
Environmental			
Short term	2	1	0
Long term	2	1	0
Cultural			
Short term	2	1	0
Long term	2	1	0
TOTAL			

Tool 19: CLIMACT Prio

Phase

Phase 3: How are we going to get there? Strategy formulation

Subphase

Subphase 3.1: Develop strategic options and prioritization

Name of tool

CLIMACT Prio

Objectives

The CLIMACT Prio tool aims to provide support to decision-makers to identify and prioritise local adaptation and mitigation actions at a city level (in a given case). The analysis is undertaken not only to identify adaptation and mitigation actions but also to prioritise which actions should be implemented first. CLIMACT Prio tool applies a multi-criteria analysis (MCA) evaluation.

Total time spent on this tool

The CLIMACT Prio Tool can be used to inform real-life decision-making on climate adaptation and mitigation planning. When used in this context, the authors recommend taking at least one day to run the first two steps of the tool (formulating an initial wish list of actions and feasibility assessment) and one to two full days for the remaining steps (criteria selection, impact matrix, weighting of criteria, and final results). The process can take longer depending on the availability of stakeholders.

Note: For time spent on each subphase, please see section on description of tool.

Under which circumstances to use the tool

The need to tackle the risks posed by the impacts of climate change to development and poverty reduction goals has triggered a growing range of tools to integrate adaptation and mitigation into development cooperation and planning. For a long time, development planners and project managers have used a variety of tools to manage a range of environmental risks, including those posed by climate variability. Some of these tools have now been modified to take into account the risks posed by climate change.

At the same time, there has been a recent emphasis on developing more dedicated tools that explicitly focus on screening for climate change risks and on prioritising adaptation actions for local governments to conduct local climate change adaptation action plans.

These kinds of tools can be used both for informative decision making and capacity building purposes. It is within this set of tools that CLIMACT Prio tool was developed.

Main actor(s) responsible and participating

The actors responsible to utilise CLIMACT Prio are diverse depending on the use of the tool:

- Main use: city adaptation or mitigation planning.
Responsible actor: the task force in charge of the climate adaptation or mitigation action plan.
 - Main use: training of city, regional and national government officers.
Responsible actor: a public officer trained to use CLIMACT Prio.
 - Main use: training master course students.
Responsible actor: course leader or climate expert trained to use CLIMACT Prio.
-

Target / beneficiary

CLIMACT Prio Tool's main target groups are local and national governments, urban planners, city managers, academic and research institutions in the field of climate change in urban areas.

Description of tool

CLIMACT Prio is a climate awareness, decision support and capacity building tool for screening and prioritising local climate change actions. CLIMACT Prio utilises a multi-criteria approach to assist decision makers and urban planners to identify a range of decision criteria and set priorities among objectives, while analysing and assessing climate change mitigation or adaptation actions.

This method does not necessarily identify an "optimal" option, but rather requires the user to draw conclusions by looking at different components of the whole picture of the assessment and prioritisation process, while seeking a consensus decision between stakeholders with different needs, concerns and priorities.

CLIMACT Prio tool provides an interactive format to help users structure and define the decisions under consideration. The tool asks the user to enter information through a guided menu of instructions and uses a menu-driven graphic representation of results for the evaluation of climate change actions.

The user first identifies specific actions to be screened according to their feasibility and then picks the impact assessment criteria and objectives that will be used to assess the selected actions. While following the climate actions prioritisation process, the users rates the relative importance of criteria and assign scores (qualitative and quantitative) to describe how each option meets each criterion. The CLIMACT Prio tool is structured in six main steps:

- *Step 1. Identification of preliminary wish-list of actions* based on cities vulnerability profiles, broader development goals and visions (this step forms the basis to use the tool). (Main actors: policymakers and city officers).
- *Step 2. Feasibility Assessment:* Consists in the screening of each action identified in the wish-list against pre-defined feasibility criteria and formulation of a shortlist of actions to take further into the assessment. (Main actors: policymakers and city officers)
- *Step 3. Evaluation Criteria Identification:* Based on city vulnerability profiles, broader development goals and the preliminary list of adaptation actions, evaluation criteria are identified. (Main actors: city officers and civil society.)
- *Step 4. Impact assessment:* Consists of experts' judgments and impact assessment matrix along with normalised scores and graphs. (Main actors: relevant experts and consultants depending on the type of actions.)
- *Step 5. Weighting of criteria:* Consists in the weighting of criteria by the stakeholders and the generation of relevant graphs. (Main actors: policymakers, city officers, civil society, private sector.)
- *Step 6. Results:* Consists of the presentation of weighted scores, final ranking and the generation of relevant graphs. (Main actors: All those who are part of previous steps.)

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + The CLIMACT Prio facilitates the use of both quantitative and qualitative measurement scales, and this makes it possible to address interdisciplinary problems, such as those involving the multiple sets of values and objectives underlying climate change and broader environmental issues. Multi-criteria analysis (MCA) offers a platform for problem solving by reaching a compromise or defining a coalition of views, without dictating the individual or collective judgments of the partners.
- + It stimulates dialogue and the creation of an environment where policy-makers and city officials scrutinise their priorities and recognise existing strengths and gaps but are also able to foresee the challenges ahead in terms of reaching consensus about different value sets in urban development.
- + It enhances chances of knowledge transfer and identification of knowledge holders of both scientific and technical nature by both scientists (acting as experts) and practitioners, hence also confronting the two different working logics that too often function separately.
- + It empowers stakeholders that use it to justify the choice of a specific course of action in the eyes of city leaders (such as mayors) for buy-in.

DISADVANTAGES (-)

- It is difficult to add reliable estimates of non-market variables.
- The tool has a certain degree of subjectivity in the choice of actions, criteria and assigning of weights.
- Bringing together stakeholders from different government levels, departments or civil society to discuss and reach a consensus on city priorities may be challenging because of conflicting agendas, schedules and values.
- MCA is a data-intensive analysis.

Related tools

- Cost-effectiveness analysis
- Cost-benefit analysis

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

(CLIMACT Prio) tool Capacity building and Decision Support tool: CLIMate ACTions Prioritization [online] Available at: http://www.ihs.nl/research/research_projects/climact_prio_tool/ [Accessed 11 July, 2016].

Olivotto, V. (2014) CLIMACT Prio: A Decision Support Tool for CLIMate ACTions Prioritization (Presentation at Resilient Cities 2014, 5th Global Forum on Urban Resilience and Adaptation, 29-31 May, 2014, Bonn, Germany) [online] Available at: http://www.blueap.eu/site/wp-content/uploads/2014/06/CLIMACTPrio_ICLEI2014_Olivotto.pdf [Accessed 11 July, 2016].

ACADEMIC DOCUMENTS (ACCESS MAY BE LIMITED):

Haque, A. N.; Grafakos, S. and Huijsman M. (2012) Participatory integrated assessment of flood protection measures for climate adaptation in Dhaka, *Environment and Urbanization*, vol. 24, no. 1, pp. 197-213.

Tool 20: Organizational change checklist

Phase

Phase 3: How are we going to get there? Strategy formulation

Subphase

Subphase 3.2: Establish process for continuous strategy development

Name of tool

Organizational change checklist

Objectives

This tool allows key actors to do the following:

- Discuss the key elements of organizational change necessary to guide the implementation of the CDS.
 - Discuss the positive and negative aspects of this change.
-

Under which circumstances to use the tool

When considering the organizational change that will be necessary to execute projects.

This tool focuses on the organizational implications, in local government, of executing a CDS. Doing this may require new roles and responsibilities and new capacities.

Executing a CDS may require the following:

- Thinking through how improve service provision.
 - How to organise relationships between the departments to implement new projects effectively.
 - How to work with partners and what this would mean for the organisations in government.
-

Main actor(s) responsible and participating

Mayor or mayor's office, department heads, in certain circumstances, project managers

Target / beneficiary

Municipal departments that are responsible for project implementation

Description of tool

This tool is a simple table that provides questions to guide discussions and making issues explicit. It also directs the user in considering the effects of change for the staff and the actions that must be taken. It helps to plan.

Executing a CDS may require the following:

- Thinking through how improve service provision.
- Considering how to organise the departments to implement new projects effectively.
- Thinking how to work with partners and what this would mean for the organizations in government.

Step 1. Organize a focus group discussion with a skilled and neutral moderator.

Step 2. Circulate the list of questions to participants in advance.

Step 3. A key person explains the potential requirements arising out of a CDS.

To begin the discussion, participants are asked to consider and discuss the following questions in the context of being able to conduct and implement a CDS.

- Will the work undertaken by staff change (for example, from the actual collection of waste to the monitoring of waste collection by someone else)?
- Will the organizational change require new skills and capacity? Should training be obtained?
- Would the needs of departmental cooperation require new working relationships?
- How should staff who will be affected by the partnership be involved in the process?
- Might any changes to decision-making structures be required?
- Might a department or division of the local government need to be restructured, shut down or started up?
- Might the local government be required to retrench staff or hire new staff?

Please fill in the table below. The table asks you to consider the organisational change necessary, for whom this might have implications and what types of implications these might be, as well as the actions that will be necessary to implement the organizational change.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + This tool allows for a rapid appraisal of the situation.
- + It sets in motion the idea of discussing organisational change from different perspectives and makes explicit who these changes will affect.
- + It helps to consider actions that are required to implement change.

DISADVANTAGES (-)

- It can lead to oversimplification of complex realities, if the analysis is not done well or good data are not available.
- The nature of changes may not be clear to the participants.

Related tools

This tool is linked to the linkage analysis tool and the GAM, as they all are complementary tools for project prioritisation.

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

University of Queensland (2013) The University of Queensland guide to leading organizational change, Brisbane, University of Queensland.

Diagrams and tools

TABLE 18: TEMPLATE FOR ASSESSING ORGANIZATIONAL IMPLICATIONS

POSSIBLE ORGANIZATIONAL CHANGE	IMPLICATIONS FOR WHOM?	REQUIRED ACTIONS
Will the work to be undertaken by staff change and how?		
Will relations between departments change?		
Will restructuring be required?		
Will retrenchment or redeployment of staff be required?		
Will it be necessary to employ new staff?		
Will existing staff require new capacities (such as knowledge, attitudes or skills)?		
How should staff affected by the changed approaches be involved in the process?		
Will any changes to decision-making structures be required? And how should key decision makers be involved?		
Other?		
<i>Note: This template should be revised according to the potential changes being considered.</i>		

Tool 21: Project fiches

Phase

Phase 3: How are we going to get there? Strategy formulation

Subphase

Subphase 3.3: Strategic action planning

Name of tool

Project fiches

Objectives

The project fiche is a tool that supports the action planning process, detailing each project briefly, and helping the team to do the following:

- Formulate project objectives, target groups, project activities and expected results.
 - Estimate costs of project components.
 - Identify performance indicators to measure results.
 - Determine institutional arrangements necessary for project implementation, monitoring and evaluation.
-

Total time spent on this tool

Approximately eight hours per project (depending on the project complexity)

Note: For time spent on each subphase, please see section on description of tool.

Under which circumstances to use the tool

Use project fiche:

- When the project prioritization phase is finalized and the list of priority projects is agreed upon.
 - If you want to support the implementation process with a detailed project portfolio.
 - When you prepare a project application to be submitted to a funding agency.
-

Main actor(s) responsible and participating

Members of the planning team, supported by members of municipal departments, and technical experts whose expertise is considered useful for specific projects

Target / beneficiary

- Municipal departments that are responsible with project implementation.
 - Project beneficiaries, such as community residents and other stakeholders' groups and so on.
-

Description of tool

The project fiche is a tool that is organised on specific sector programmes. On each program, a working team takes the priority projects one by one and details each project according to the table below and to the following steps:

Step 1: Project identification (1 hour)

The team will discuss the project in terms of its contribution to the strategy objectives and its location characteristics.

Step 2: Project description (4 hours)

The team will identify the project objectives (SMART objectives) and the target group(s). Then the project will be broken down into several components (activities), whose value and deadline need to be roughly identified. Project results, as well as the specific indicators to measure results, will be identified as well.

The team will discuss the potential risks in the project implementation, as these risks might impact the revision of the project components and project design.

Step 3: Institutional arrangements (3 hours)

The team and departments staff will also define who will do what on the project, as this may involve a range of stakeholders. They will establish institutional roles and mechanisms for relevant stakeholders, as well as operational arrangements needed for project funding, implementation and monitoring.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + The project fiche is a useful tool for project preparation as it identifies the project components and the necessary steps for the project implementation. It might lead to the amendment of the priority list, as some projects may be unfeasible if carefully analysed.
- + It is also an instrument for project funding as it represents the first draft of a project application form.
- + It is a first step for an organisational change (restructuring) as it highlights the various actors that need to be involved and their specific tasks and responsibilities.
- + It also underlines the specific expertise that is needed in the different implementation stages, and it provides an initial view on the further procurement activities.

DISADVANTAGES (-)

- It requires professional expertise and accurate information on technical aspects and prices. If this information is wrong, the conclusions can distort the implementation decision.
 - Although it looks like an action plan, it is only a first, quick assessment of the project design. Therefore, the project fiche should be further developed into a project action plan, or into a project application, based on specific requirements and templates provided by different funding agencies.
-

Related tools

- Project prioritization tool
 - Gantt chart
-

References and further resources

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Diagrams and tools

TABLE 19: INDICATIVE CONTENT OF A PROJECT FICHE

1. PROJECT IDENTIFICATION		
Project title		
Project code		
The objective to which the project contributes		
Location and location characteristics		
Location map		
2. PROJECT DESCRIPTION		
Project objectives		
Target group		
Project components	Estimated value	Implementation time
1		
2		
3		
4		
5		
Expected results		
Indicators to measure results		
Potential project risks and mitigation measures		
3. INSTITUTIONAL ARRANGEMENTS		
Mechanism for political process and community involvement		
Responsible organization: Project management Monitoring Evaluation Adaptation to unexpected obstacles		
Operational arrangements: Concession, lease, public-private partnership, etc.		
<i>Source: IHS Romania training manual on Integrated planning (2010).</i>		
Note: This template should be adapted according to available information and donor requirements.		

Tool 22: Gantt chart tool

Phase

Phase 3 Strategy Formulation

Subphase

3 Strategy Action Planning

Name of tool

Gantt chart

Objectives

The aim of a Gantt chart is to sequence activities in a manner that takes account of the functional and time relations between activities, clarifies responsibilities and resource needs, and makes efficient use of resources. Specifically, the tool is used to do the following:

- Identify connections between activities.
 - Clarify timing and relative timing of activities.
 - Plan relative timing related to logic of activities and use of resources.
-

Under which circumstances to use the tool

Use tool to work on action plans, but can also be used at a broader level on the overall strategy:

- To develop a strategy or action plan from a broad collection of possible activities to a set of agreed and actionable tasks.
 - To communicate, discuss and adapt a plan of action.
-

Main actor(s) responsible and participating

The core planning team typically uses this tool. In a participative context, it can be used by the whole group that is participating in major planning steps. The tool described here is the participatory form.

Target / beneficiary

- Municipal departments that are responsible with project implementation.
 - Project beneficiaries, such as community residents and other stakeholders' groups and so on.
-

Description of tool

The tool is a staple of project management and there are many software tools, such as Microsoft Project which can be used at a detailed technical level. It is also possible to use spreadsheet software and free computer based tools, e.g. open workbench.

The version of the tool used here is adapted for use in a participatory context. This can be further developed and used with software after the main participatory phase.

The main steps are as follows:

- *Step 1. Divide strategy into tasks.* A task is a distinct piece of work that has a defined output, and a starting and an ending point. To be able to use tasks to plan work you need to be able to define responsibility, resources needed and the connection of a task to other tasks. See sample card (Figure 26). Aim for 15 to 20 main tasks. The key is to identify main groups of activities needed to reach objectives. Each of these can later be subdivided.
 - *Step 2. Once the main activity groups are agreed upon and tasks identified, enter the information on cards or half sheets of paper (see model).*
 - *Step 3. Put a large sheet of paper on a wall, make a rough time schedule along the top in weeks and months and down the left margin, make sure there is space for the main tasks identified (see illustration).* Fix the task cards to the chart using a means such as pins or post-it notes that allow cards to be re-arranged.
 - *Step 4. For each task indicate the start and end date using sticky notes or similar.*
 - *Step 5. Rearrange to take account of relationships between tasks and the ability to manage them.*
-

Time needed for the use of the tool

This activity can be undertaken in three to six hours, depending on the complexity.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + Simple to use and appropriate for participative approach.
- + Visible and transparent.
- + Agreed version can be captured photographically.

DISADVANTAGES (-)

- The results need to be copied manually to a computer-based system.
-

Related tools

The Gantt chart uses the outputs of tools, such as force-field analysis and brainstorming. It also connects to capacity needs assessments.

References and further resources

There is much information available on different forms of Gantt charts³².

ACADEMIC DOCUMENTS (ACCESS MAY BE LIMITED):

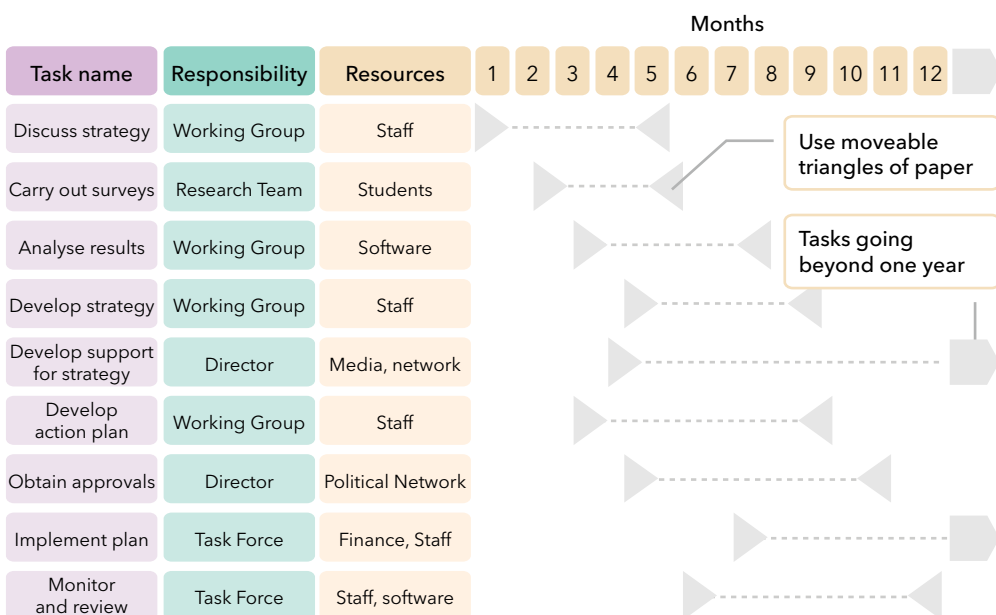
Geraldi, J. and Lechter, T. (2012) Gantt charts revisited : a critical analysis of its roots and implications to the management of projects today, *International Journal of Managing Projects in Business*, vol. 5, no. 4, pp. 578-594.

Maylor, Harvey (2001) Beyond the Gantt chart : project management moving on, *European Management Journal*, vol. 19, no. 1, pp. 92-100.

Wilson, J. M. (2003) Gantt charts : a centenary appreciation, *European Journal Operational Research*, vol. 149, no. 2, pp. 430-437.

Diagrams and tools

FIGURE 26: GANTT CHART ILLUSTRATING PARTICIPATIVE PROCESS



Source: Forbes Davidson for IHS

³² The approach described here was developed by Forbes Davidson for his.

Tool 23: Swim lane diagrams

Phase

Phase 3: How are we going to get there? Strategy formulation

Subphases

Subphase 3.1: Develop strategic options and prioritization

Subphase 3.3: Strategic action planning

Name of tool

Swim lanes diagram

Objectives

A swim lane diagram is used to help map a process and its relationship with different stakeholders.

Under which circumstances to use the tool

Use the tool to do the following:

- To explore the relationship between planning and implementation activities and different stakeholders through the different project phases.
 - To map out processes for obtaining agreement to proposals. It is particularly helpful at this.
-

Main actor(s) responsible and participating

Planning team

Target / beneficiary

- Planning team
 - Stakeholders involved in planning teams
-

Description of tool

A swim lane diagram is a way to relate the activities in a planning process with the main institutions involved over planning phases. It is particularly useful when a complicated set of approvals is necessary, often involving different organizations and both central and local governments.

The planning team can do the work with the tool. It is good to work through the tool with representatives of the different organizations involved, so that there is agreement on the process.

- *Step 1: Prepare a chart with the time across the top, subdivided by the four phases.* This can be on a computer, but for participation it is good to make it on a large sheet of paper. The example below shows how this works in practice. The example is for a strategic planning process in Egypt where approval of different levels of government is necessary.
 - *Step 2: Down the right-hand side of the chart enter the main actors.*
 - *Step 3: Make a list of the main activities.* Put each on a sticky note label or piece of paper (or a text box using a computer).
 - *Step 4: Place the label or box opposite the main organization that needs to act (initiate, develop, organise or approve) and under the appropriate date and time.* Draw a horizontal line representing the time the activity will take with that organisation.
 - *Step 5: Next, extend the line vertically (up or down) to the next organisation or organisations who need to act.* Continue through the four phases
 - *Step 6: Repeat for the other activities.*
-

Time needed for the use of the tool

This activity should take a few hours.

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + The tool is relatively simple, relying on work that should be done anyway.
- + The tool makes clear the process visually and focuses on the time necessary for approvals (planning teams are often over-optimistic about how fast external decisions can be implemented).
- + The tool works well in a participative context.

DISADVANTAGES (-)

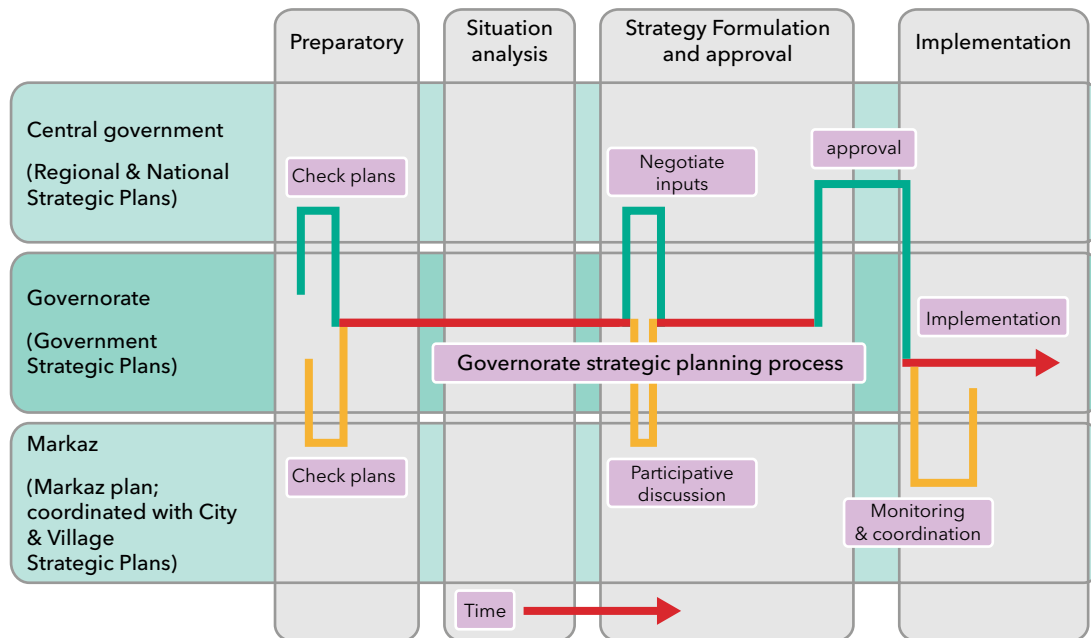
- Although relatively simple, some participants may not understand or be used to working with process diagrams. Some learning time is required.

Related tools

Gantt chart

Diagrams and tools

FIGURE 27: RELATIONSHIP BETWEEN THREE LEVELS OF GOVERNMENT (CASE OF EGYPT)



Note: The figure above shows the relationship between three stakeholders - in this case, levels of government - and the phases of a strategic plan³³.

³³ Source: Forbes Davidson and Khaled Abdel Halim, Guidelines for Strategic Planning for Governorates for UN-Habitat Egypt, 2011.

Tool 24: DAC/OECD evaluation questions

Phase

Phase 4: How to implement and know if we are on track?

Subphases

Subphase 4.2: Monitoring and evaluation of the strategy

Name of tool

OECD-DAC evaluation questions

Objectives

To ensure that the questions asked during an evaluation cover important aspects

Total time spent on this tool

Monitoring should become a routine operation. Evaluation is normally a significant exercise and depending on the scale can take a team several weeks to complete.

Note: For time spent on each subphase, please see section on description of tool.

Under which circumstances to use the tool

Monitoring and evaluation should be planned from the start of the process. This helps to identify aspects to monitor, which will make the later evaluation easier and more effective. Agreeing who will be involved in monitoring and evaluation also helps to identify the appropriate measures and tools.

Main actor(s) responsible and participating

The planning team should ensure that monitoring and evaluation responsibilities are identified at an early stage. Stakeholders potentially involved should agree with measures and responsibilities.

Target / beneficiary

The beneficiaries are potentially all impacted by a strategic planning process and those supporting the process.

Description of tool

The OECD Development Assistance Committee has developed a useful set of questions to help understand important aspects of a development activity. The questions form a useful framework for undertaking monitoring.

The questions are the following:

Relevance

The extent to which activities meet policies and priorities. Specific questions include the following:

- To what extent are objectives still valid?
- Are objectives consistent with overall goals?
- Are activities and outputs consistent with intended impacts and effects?

Effectiveness

The extent of achievement of the objectives.

- To what extent are the objectives met or likely to be met?
- What are factors influencing this?

Efficiency

The extent that the outputs achieved made good use of the inputs.

- Were activities cost-effective?
- Were activities achieved on time?
- Was implementation efficient related to alternatives?

Impact

This refers to the changes as a result of project activities. They can be positive or negative, intended or unintended. It should also pick up influences from external factors, such as the overall economic situation. The scale of impact should be assessed. Here are some OECD and DAC questions:

- What has happened as a result of the programme or project?
- What real difference has the project made to the beneficiaries?
- How many people have been affected?

Sustainability

This deals with whether activities are likely to continue after specific programmes or projects cease. It includes social, economic and environmental sustainability. Questions include the following:

- Are the activities likely to continue after the project activities cease?
- What were major factors helping or hindering implementation? Are they likely to continue?

Advantages and disadvantages of this tool

ADVANTAGES (+)

- + It provides a good set of questions that explore important aspects of development.
- + It has wide familiarity and acceptance.

DISADVANTAGES (-)

- It needs refinement to meet requirements of specific activities.

Related tools

This has strong links with monitoring and evaluation tools, SMART objectives and logical frameworks.

References and further resources

GENERALLY ACCESSIBLE DOCUMENTS:

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OECD (2002) Glossary of key terms in evaluation and results based management = Glossaire des principaux termes relatifs à l'évaluation et la gestion axée sur les résultats = Glosario de los principales términos sobre evaluación y gestión basada en resultados, Paris, DAC Working Party on Aid Evaluation, Organisation for Economic Co-operation and Development.

ACADEMIC DOCUMENTS (ACCESS MAY BE LIMITED):

Chianca, Thomaz (2008) The OECD/DAC criteria for international development evaluations : an assessment and ideas for improvement, *Journal of MultiDisciplinary Evaluation*, vol. 5, no. 9, pp. 41-51.

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